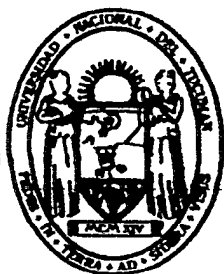




III^{er} SEMINARIO INTERNACIONAL DE GESTIÓN EN EDUCACIÓN SUPERIOR

8 al 15 de setiembre
1997

Tucumán - Argentina



QUALITY ASSURANCE IN HIGHER EDUCATION

Chronology

Pre 1964	No formal quality assurance systems in UK Universities
1964	Council for National Academic Awards (CNAA) established
1990	CVCP Academic Audit Unit established
1992	Further and Higher Education Act places statutory responsibility for Quality Assessment with HEFCs
1992	Higher Education Quality Council established
1997	Quality Assurance Agency established

QUALITY ASSURANCE IN HIGHER EDUCATION

The concern about Quality in Higher Education

Impetus - External Demands

1. Cost of Higher Education
2. Expansion of Student numbers
3. Power of the Market
4. Price of Autonomy
5. Public and Political Scepticism

Impetus - Internal Demands

1. Professionalism
2. Reflective Self Criticism
3. Doing More with Less
4. Maintaining Academic Standards
5. Defending Academic Values

QUALITY ASSURANCE IN HIGHER EDUCATION

What is Quality in Higher Education?

- Excellence
- Consistency
- Fitness for Purpose
- Transformation
- Value for Money
- Standards

QUALITY ASSURANCE IN HIGHER EDUCATION

- **Quality Control**

Mechanisms within institutions for maintaining and enhancing quality of provision

- **Quality Audit**

External Scrutiny aimed at providing guarantees that institutions have suitable quality control mechanisms in place

- **Quality Assessment**

External Review of, and judgements about, the quality of teaching and learning in institutions

QUALITY ASSURANCE IN HIGHER EDUCATION

Responsibility for assuring the quality of education provision in UK rests with:

- **HE Institutions as autonomous, self-regulatory bodies, who award own degrees and set own standards**

and since 1993 three agencies:

- **The HE Funding Councils**
- **Higher Education Quality Council (HEQC)**
- **Professional and Statutory Bodies (PSBs) - accreditation of vocational/professional courses (eg OFSTED, Engineering Institutes)**

QUALITY ASSURANCE IN HIGHER EDUCATION

HEQC - AUDIT

- **Audit = institution-wide review of how HEI discharges its responsibilities for education it provides**
- **150 HEIs audited 1992-1997**
- **Audit focuses on:**
 - **internal quality assurance procedures**
 - **staffing**
 - **communications (internal and external)**
 - **learning environment**
 - **collaborative provision (UK and overseas)**
- **Quality Enhancement through published reports and good practice guidelines**

TEACHING QUALITY ASSESSMENT

- Different systems in England, Scotland, Wales
- Teaching Quality Assessment (TQA) = subject level assessment of quality of education and teaching

English system:

- Programme 1993-2001
- Over 60 subjects in around 150 HIEs
- 1500 assessments 1993-1996
23 subject areas *93% F.T. / 6%*
- 1400 trained assessors
- Direct costs £6.7M 1993-95 and rising

QUALITY ASSURANCE IN HIGHER EDUCATION

Teaching Quality Assessment

Impact on:

- Recruitment
- Funding
- University Profile/Status

QUALITY ASSURANCE IN HIGHER EDUCATION

FUTURE DEVELOPMENTS

- **Review by CVCP/Funding Councils
1995/96**

- **Joint Planning Group report (December
1996)**
 - **single Quality Assurance Agency
(from summer 1997)**

 - **new methodology from October
1998**

 - **closer integration of assessment,
audit PSBS, internal processes
(‘lighter touch’)**

QUALITY ASSURANCE IN HIGHER EDUCATION

Dearing Recommendations: A new role for the Quality Assurance Agency

The remit of the Quality Assurance Agency to be extended to include:

- **quality assurance and public information**
- **standards verification**
- **the maintenance of the qualifications framework**
- **a requirement that the arrangements for these are encompassed in a code of practice which every institution should be required formally to adopt, by 2001/02**

QUALITY ASSURANCE IN HIGHER EDUCATION

Dearing Recommendations:

Quality Assurance Agency should:

- **provide benchmark information on standards**
- **create a UK-wide pool of academic staff from which external examiners will be selected**
- **develop a system for complaints relating to educational provision**
- **review current arrangements for granting degree awarding powers**
- **specify criteria for franchising arrangements**
- **periodically review the provision of careers education and guidance**

Argentina 1997

Developments in the Assessment and Evaluation of Research

OVERHEAD

1. It seems a long time ago, but it was in fact only in 1985, that the British government through its funding body for higher education first wrote a letter to all universities about research assessment. The letter indicated that it would be introducing progressive selectivity in the funding of research. The letter said that *"the general objective was to encourage the redistribution of resources for research, both within and between institutions, towards individuals and groups of special strength and promise."*

2. This relatively simple statement has set in train one of the more significant shifts in the way that UK universities are funded. Late in 1996, the results of the 4th Research Assessment Exercise were announced and their effect on funding for the 1997/98 year followed in late February of this year. These announcements received enormous attention in the UK press and are seen by many people as definitive statements about how the standing of particular universities. Given the public appetite for league tables and the government's obsession with accountability and value for money, there seems little doubt that periodic assessments of research will now continue in the UK and that these will continue to influence how funding is allocated. What I want to do in this talk is to look at the reasons for introducing a national system for the evaluation of research and then to consider the methodology used for this purpose and what its strengths and weaknesses are.

3. Prior to the first Research Assessment Exercise in 1986, there was little attempt by the government's funding body for higher education to distinguish in its grant announcements between money allocated for teaching and research. The principle of the block grant was followed whereby, with only general guidance, universities did not know how their individual grants had been calculated. This practice raised two sets of questions. Firstly, the government began to express its concern that it had no way of knowing if the money that it was providing for research was being spent by universities effectively and also had no way of knowing what they were receiving for the investment. They knew that universities were variable in quality but did not have any objective measures to support this view. It seemed clear that some universities were producing more research of a better quality than others but there was no systematic way of evaluating these differences and then matching funding accordingly.

4. From the point of view of universities, there was little incentive to improve performance in research if there was no obvious financial penalty or benefit that could be identified in the block grant. Equally, universities did not have the comparative performance measures by which to assess how well particular departments or groups were doing and from which they could make their own internal judgements. Thus, while the suggestion that there should be some national evaluation of research performance was met with suspicion at first and seen as an encroachment on universities' autonomy, I think it is fair to say that most institutions had accepted the need and potential benefits of the system by 1989, the date of the second exercise. As we shall see, there are justifiable criticisms of how the Research Assessment Exercise operates and the effects that it has, but there have been acknowledged benefits which must not be forgotten and which have improved the career development of individuals, the management of resources and the strategic thinking of universities.

5. The Evolving Methodology

As I said earlier, there have been four RAEs in the UK to date: 1986, 1989, 1992 and 1996. While the process for conducting the evaluations and the methodology used has changed each time, the essential principles have remained remarkably constant. The exercise is coordinated by the Funding Councils and the same rules apply to each of the countries that make up the United Kingdom (this has not been true to date for the assessment of teaching quality). This ensures that the judgements made about all universities are based on the same criteria so that comparisons are fair. The assessments are made by panels of experts in each of the fields under review. The experts are drawn from universities sometimes augmented by colleagues from non-academic areas where their expertise might be particularly valuable (for example Engineering). There are currently 70 panels of experts to cover all the main disciplinary areas of academic activity.

Universities may choose whether they wish to submit material for assessment and whether to leave some departments out and which staff to declare as being research active. Of course, if a university chooses not to subject itself to the assessment then it will not receive any funding linked to research. Equally, funding is also reduced if fewer staff are submitted. In general the number of universities and departments submitted has increased with each exercise (this was of course particularly true in 1992 when the former polytechnics were eligible for assessment for the first time). The number of staff has also increased but one of the more controversial points has been the tactics adopted by some institutions deliberately to leave out staff who are not considered to be top researchers in order that their ratings might improve. At Warwick we

have always taken the view that as a research university in which staff are employed both to teach and research the assumption must be that everyone is submitted.

The evidence required for submission is broadly based on the following elements:

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Publications of each member of staff (for a given period)

Research Students in the department

Amount and Source of externally-won research grants and contracts

Statement of Research Strategy

General Observations (which might include other esteem factors such as academic honours)

OVERHEAD

“Research” is defined as: *Original investigation undertaken in order to gain knowledge and understanding.*

Research activity (as measured by outputs) can include work of direct relevance to the needs of commerce and industry as well as to other organisations. As well as the more usual books and journal articles, it can include inventions and the generation of images, performances, artefacts and designs and software programmes. Materials produced for teaching are excluded from consideration (such as textbooks).

As for the *quality* of research, this is defined as follows:

OVERHEAD

If research is to be taken to be the generation of new knowledge, then the quality of research can be described as the degree of impact (i.e. the extent to which general understanding is increased) that this knowledge has.

OVERHEAD

The quality of the research of each department submitted to a particular subject panel is rated against a 7 point scale which includes a brief explanation of what each point means. The scale was extended to 7 points following the RAE in 1992 when 5 points were used. The principal reason for extending the scale to include the 5* rating is because of the continuing improvement in the ratings being awarded. The average rating for the pre-1992 universities in 1989 was, for example, 3.2 but had risen to 3.8 by 1992. There was a real danger that the top grade of 5 would become too common with the result that it would be harder to distinguish the very few excellent departments from the rest. It also provided the means, as we shall see, to make the funding for research even more selective than it had been. The previous rating of 3 was also split into 3a and 3b in order to distinguish between the potentially large group of average departments. This longer scale is a considerable development of the three point scale used originally in 1986 when departments were either rated as below average, above average and starred (for particular distinction).

6. I now want to look in more detail at the performance indicators that have been used to provide information to the panels when they make their judgements about the quality of research in the departments they are assessing.

(a) The principal indicator of quality is **the published output** from research activity by members of staff. "Published" in this context means publicly available. It is not felt to be relevant to these exercises if research is undertaken for a single contractor (for example an industrial company) and a report is written which is then confidential for say commercial reasons. "Published" also means in print at the census date for the exercise. It is not sufficient

for an article or book to have been submitted and accepted for publication but to have not appeared in print by the census date. As I indicated earlier, the period in which an article or book must have appeared is also clearly defined. For the 1996 exercise for example, for all subjects apart from those in the humanities, the publication had to have appeared in the four years before the census date. In recognition that in some humanities subjects, the process of research is often very different than in the sciences (a great book may take several years of thought and research before it is written), the period was extended to six years before the census date. This extension also took account of the longer delays for the publication of books and articles in these subjects.

For each member of staff submitted for assessment, up to four pieces of work had to be cited for the 1996 exercise. No account was taken of the overall number of pieces that any individual had published in the period: quantity was therefore not a factor and the emphasis was placed entirely on quality. Indeed, there was to be no automatic penalty if someone did not have four pieces to cite. It would be up to the panel to decide if the reason for this was the fact that someone had just started their career and it was therefore unrealistic to expect a full count of four or if, for an established academic, she or he had obviously been working on a major piece of research whose quality and significance far outweighed the fact that there were less than four articles and books. It is also worth noting that past reputation does not compensate for a lack of publication either. You may be a Nobel prize winner but if you do not have any publications in the period being assessed, then the panel will mark you down regardless of what you have previously achieved. This is consistent with the purpose of the exercise which is to assess the quality of research in the notified period and not to take too strongly into account past success or future promise.

Ignoring the number of publications in the period was a significant change from the 1992 exercise which had required a count of all publications in the period under review. This was felt however to give the wrong signals about the purpose of the exercise which is intended to be about quality and was also intended to prevent what is sometimes known as salami slicing publication whereby an academic deliberately publishes a completed piece of research in instalments in order to give the appearance of great activity. Another change from 1992 which affected the returns on publication was the abandonment of the several different categories of publication which the 1992 exercise had required. The intention had been to guide the panels about the type of publication that had been written so that they could judge the relative merit of the activity in the context of their subject. There had also been an intention at that time to compile a national database of research activity which would count publications by category. However, this had suggested 20 different categories which was asking for too much fine distinction and would have inevitably led to inaccuracies and misleading information about the extent and type of research activity in the UK. Nonetheless, the 1992 exercise did request cited output to be divided into one of twelve categories. It is still worth looking at these however to see the potential scope of the assessment:

OVERHEAD

The time taken to allocate output into one of these categories was considerable and caused great difficulty for some departments. There was also a suspicion that the panels would prejudge the value of a piece of work solely by where it had been published and that there would not be consistent evaluation given to them across all panels. For these reasons, the 1996 exercise only required a minimal classification of pieces of work into four categories: books, articles, conferences and other (to capture software etc.).

We could I think all agree that the products of research - the published output in respectable journals or in books published by high quality publishers - are rightly given the greatest significance in the evaluation of how good a researcher a member of staff is. You may be a great thinker with terrifically good ideas but unless you are able to communicate these and to subject them to criticism by your academic peers by publishing them, they will always have limited value and will die with you. It is always sad to see great minds in universities who are unable to publish and thereby change the nature of their subject. It is therefore not surprising that so much emphasis is placed on evaluating publications in a research assessment exercise. Many panels would read the works cited by members of staff, some of them they would know already and some panels would take into account where the piece had appeared. Subjects like economics for example have a shared view of the hierarchical value of certain journals and the difficulty of being published in them. This can act as a legitimate proxy for the perceived quality of the article since the review procedure for acceptance of the article would have been rigorous.

Finally, before moving on from published output as a key determinant of the research assessment exercises, it is worth spending a few minutes on why the UK has not chosen to use citation indices to evaluate the impact of research: a practice quite common in the USA and which is deemed to be valuable in certain subject areas. The use of citation indices to assess the impact of a particular journal is becoming more accepted (and talk of impact factors is closely linked to the evaluation of journals which I mentioned a few moments ago). However, the main weaknesses with citation counts for individual pieces of work are twofold: firstly, that a flawed or wrong piece of research is likely to be cited frequently as the findings are refuted by subsequent scholars in the field; and secondly, that the significance of truly ground-breaking research may not be fully appreciated for some time after its publication (or

even in the lifetime of the scholar who published the work). In such a case, the citations will be misleadingly low and will have had no correlation with the quality of the work. There is also a suspicion that citations are sometimes generated deliberately by colleagues to improve the ratings of a particular piece of work in return for similar treatment. This might be particularly true in some disciplines or communities in which citation counts are used, for example, to determine promotion. I am not saying that the use of citations or impact factors are wrong but that they need to be used with caution and in the company of other criteria so that they are cross-referenced with other factors.

(b) The ability of academics in the sciences and social sciences to generate grants for research competitively from external bodies is also deemed to be important in the assessment of research. In the UK, there are two main sources of research grants for particular projects: the five main government-funded research councils (for medicine, space research, biological based research, engineering and the physical sciences and the social sciences) and industry or other public bodies. Competition for project grants from the research councils is very fierce with low success rates in some subjects. Applications are rigorously reviewed by senior academics in the field and very high ratings are needed to ensure that the project is funded. For these reasons, information collected on the amount and number of awards received over the period of assessment is given a high value in the overall exercise. Grants from other bodies tend to receive less value as indicator of research quality since they may not have been obtained in the same competitive way but are nonetheless particularly strong indicators in some subjects like Engineering of the relevance of the research undertaken.

It will be clear that the value attached to obtaining research grants will vary from subject to subject. It is obviously of less value as an indicator in the humanities where small sums are

available and the nature of research is very different from the experimental sciences. Equally, industrial contracts are likely to be of less account in some disciplines than in others depending on the value that is placed on their relevance.

Relevance however is a growing factor in the assessment of research in the UK. Because of the pressures that we looked at earlier on universities to demonstrate their value to society and the needs of the economy, there has been an increased emphasis on establishing national research priorities that are intended to predict the needs of the country over the next period. An elaborate exercise called Technology Foresight was mounted that attempted to foresee the direction that research should go in order to keep the UK at the forefront of world excellence and protect its position as a wealth generator. All of the research councils now have clearly defined themes that link to the exercise and to which their money is allocated. Less money is available for the pursuit of new ideas that do not fit into this framework. This has dangers of course since predicting the future course of research may have the unintended consequence of stifling work which will genuinely change the nature of a subject or lead to unforeseeable advances in medicine or some other field. Think of how many major advances in the past century have arisen from scientists pursuing research for its own sake and following their hunches. However, as long as a balance is kept between channelling money into identifiable areas of priority and what is sometimes called blue skies research, there is a need to ensure that we get the best value for money from research investment. This expectation is inevitably becoming part of the assessment process in the RAEs.

(c) There is a general view that the number of research students in a department, the number that each academic supervises, the rate at which they complete their doctorates and the ability of departments to raise funding for them are all good indicators of a healthy research

environment that need taking into account in the assessment of research. We shall see that research students have a double value in the RAEs. Firstly because they are taken as an indicator of quality of the department as a whole and of an individual; and secondly because they are an element in the funding formula applied to the results. The latter factor in particular led to a considerable increase in the number of such students nationally which you might think is a good thing. Well it is, but some of the increase was generated by departments creating all kinds of research student grants and there has been a suspicion that in some universities, the quality of the research students admitted has not been as high as it might be. While it is right therefore that quantity is an indicator, qualitative factors need also to be taken into account. Greater emphasis is now placed therefore on the rate of completion of students (it is generally thought good practice that a research student receives their degree within four years of starting their studies) and where the grant or studentship has come from.

(d) The final part of the submission required of each department is a brief narrative of their **research plans** and the research environment together with an optional account of any particular factors that need to be taken into account but which may not be obvious from the other documents. This could cover for example the illness of a member of staff during the period which explains a poor output; or factors of esteem like elections of individuals to professional bodies or societies like the the Royal Society; or major prizes and awards won. These documents are intended to provide the panels with a context for the submission and are not themselves a major element in the assessment process like the other factors we have looked at. But this context can be important particularly when seen with the information about staffing that each submission also contains. A complete list of all staff who are currently in the department together with their date of appointment and age is required. This list also include all those who have left in the period with their date of leaving and where

they went. The panel can also see if a member of staff is a permanent appointment or on a temporary contract, part-time or full-time. This provides the raw material to build up a profile of the department: it will indicate whether particularly good researchers have left and the time spent by recent arrivals in contributing to the research effort. The narratives provided by the department might help explain how it has changed and why. These are all potentially relevant factors for the panel.

But in the final analysis, it is the output of publications that has the greatest influence on what rating is given to a department. Input measures such as the value and number of research grants are important but the resulting publications are seen as being the key factor in developing an individual's reputation and the overall strength of the department and university. This particular emphasis on quality of publication has always been present in the RAEs but was strongly to the fore during the 1996 exercise. Some people would say that it was too strongly emphasised and that there needs to be a swing back to take greater account of research funding and the overall context. But it is very understandable why the quality of output remains the main factor.

7. When the results are published by the Funding Councils, they are inevitably used to construct league tables of universities for research which often are seen as proxies for the best universities. You may be interested to see a composite table of universities taking into account all the RAEs since 1986.

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Prestige through these tables and the results of individual departments is very important. They themselves can lead to preferential funding from other sources since they are increasingly used by industry and government bodies as a factor in determining whether or

The basic formula which is then applied to each department is to multiple the volume of its activity by a weighting which derives from the rating it received for its research. The volume is the sum of the number of active researchers submitted plus the number of research students in the particular year (multiplied by 0.15), plus the number of research associates (postdocs) (multiplied by 0.1) and a small factor for certain kinds of research grants obtained from large charitable foundations. It will be obvious that the key figure in this formula will be the weighting applied to the research ratings. And here, we saw a significant change in 1996. It was agreed that there had to be a preferential weighting for 5* departments and that the steps between the other ratings had to be steepened to ensure that the government's requirement that there was greater selectivity in research funding was followed. In addition, it was agreed that departments rated 2 or lower would not be funded at all. The scale looked like this:

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You will see that 5* gets a 20% premium over 5 (and this had a significant effect on the finances of some universities) and that the other steps are 50% jumps. There was therefore a severe penalty for not obtaining the higher ratings.

One final thing needs to be said about the formula. Like all such algorithms, it needs moderation to ensure that no institution suffered a catastrophic drop in funding in one year or received an unmanageable increase. We have a particular problem in the UK in that Oxford and Cambridge are so very good that, if the formula was followed exactly, they would receive a very high proportion of the available funding. For this reason and the need for moderation, brakes were placed in the application of the formula. But even so, the new formula was a radical development in the history of the RAEs.

8. The Effects of the RAE

What I would now like to do is to examine the consequences of the RAEs and to look at their positive and negative features (since I do not believe that they are beyond criticism).

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Positive Features

Peer Review: The assessments are carried out by colleagues and experts in the same discipline; these are not judgements arrived at by anonymous inspectors from outside higher education. This leads to a greater trust in the results.

Credibility: Notwithstanding inevitable criticism and what I will say about some of the negative features of the RAE, the results have gained credibility in universities and are generally thought to be fair and accurate. Concerns about cheating by universities in the exercise itself are mainly countered by an auditing process run by the Funding Councils which checks entries and can, if necessary, visit universities to look at the evidence on which the claims have been based.

Thoroughness: The assessments are thorough and painstakingly professional. It is important that the RAE is run professionally and that the panels all operate on a similar basis.

Promotes Improvement: There is no doubt that working to the horizon of the next RAE has made most universities and departments more aware of the need to have research strategies in place in order to produce research of the highest possible quality.

Publicity: The RAE exercise and the results generated by them have led to greater public awareness and interest in research in universities and the achievements of the best places. It has helped users of higher education to be well informed about strengths and weaknesses in particular institutions.

Accountability: You will recall that a wish for greater accountability was one of the factors that led to the establishment of the cycle for the assessment of research in the first place. Having a method for assessing research and then using this to allocate public monies for research is a major step in meeting the condition of greater accountability.

Efficiency: The RAEs are a major undertaking and, as we shall see, cause considerable anxiety, but they are a relatively efficient way of determining a fair but selective way of distributing large sums of public money. The costs of the last RAE were estimated to be barely 1% of the total distributed in the first year.

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Negative Features

Interdisciplinary Work: There is a lack of focus on interdisciplinary work despite the numerous panels. The best research is often done at the boundaries between two or more subjects. There is a concern that work of this kind is not receiving due attention in the disciplinary-based panels. Nobody however is sure of the solution except to heighten awareness of the problem.

International Comparators: You will remember that one of the criteria for distinguishing research on the 7 point scale is work of international quality. However, these judgements are

nearly all made by UK-based academics and the question of whether there is truly an international perspective is doubtful. There has been a call for the panels to include a distinguished contributor from overseas expert in that field so as to provide the perspective that may be missing at present.

Comparability of Panels and Subjects: The exercise is intended to ensure that a rating in one subject is of equal value to the same rating in another subject. Thus a 5* in Physics is intended to represent the same distinction as a 5* in History. However, there are continuing suspicions that some panels are operating with different standards and that this ideal comparability is difficult to achieve. The results of all the panels are moderated but nonetheless there may always be a concern that some subjects are harder than others and that some panels have been too generous or too mean with their results. Given the money that then follows these outcomes, this is quite a serious matter for the departments involved.

Effects on Behaviour: I mentioned previously the practice of salami-slicing publication. There is concern that too much emphasis on the RAEs has resulted in over publishing and also on short term publishing. It is certainly true that there are many more articles and books published today than even 20 years ago. It seems that some journals are founded only to provide outlets for work which will qualify for the RAE and there is a danger that we will become awash in a sea of increasingly mediocre research findings. Secondly, the criticism remains that worries about achieving something for the next RAE has meant that the kind of research that needs a long period of consideration and thoughtfulness is being squeezed out by the need to produce something immediately. The brilliant scholar who may come up with one great breakthrough in his lifetime may get ignored or undervalued because he happens not to have published anything for a number of years.

Anxiety Levels: There is undoubtedly a rise in anxiety as the RAE approaches. Academics feel pressured about their reputations, academic managers feel pressured about the financial health and standing of the university and none of this may be in the best interests of the institution.

Transfer Markets: We have witnessed an increase in the movement of academics between universities as different institutions wish to capitalise on the RAE and seek to buy in expertise to secure a good rating. This is all rather like the football market with some star academics commanding high salaries and favourable conditions to move. The danger however is that research funds are being absorbed on high salaries rather than new research and established research groups are broken up because of the movement of a key individual. Since it takes time to re-establish research in these circumstances, this may not serve anyone's interests very well.

Game Playing: The rules of the RAEs have had to become more complicated in order to counter the increased sophistication of the way in which universities have sought to find an advantage from the exercise. You may not be surprised to learn that there has been considerable bending of the rules or even minor dishonesty to boost the chances of a particular department. The danger is of course that the whole thing becomes so complicated that its credibility will be damaged at some future point.

Downgrading of Teaching: The final point I wish to make is that the nature of the RAE: the assessment of all subjects in all universities simultaneously every 3 or 4 years is such a major event in the higher education cycle that it tends to overshadow the greater enterprise of

universities which is teaching. In some ways, too much attention is placed on research by these exercises. Anxiety levels are too high and the wrong conclusions can be drawn from the league tables and the results. This is not an argument for not having an evaluation of research but it may be an argument for phasing the assessments rather like the teaching assessments on a rolling cycle. This would provide continuity and would also calm down some of the fevered interest in the process of evaluation and the publication of the results.

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Technology Transfer

1. You will remember that when we looked at the Dearing Inquiry in my first talk in this seminar, I discussed the terms of reference of the Dearing Committee. Among these were an assumption that higher education needed to serve better the needs of society and industry in terms of teaching and research. Specifically, two of the terms of reference are worth looking at again:

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My purpose today is to look at how and why universities should be aware of their obligations to make their research findings and expertise available for the betterment of society either through partnerships with industry or through dissemination of applied research to a wider audience regionally, nationally and internationally. In some ways this sounds very obvious to us now, but the concept of technology transfer - the means by which new inventions, discoveries and expertise can be exploited and brought to market - was virtually unknown much before the 1980s at least in the UK. This is not true of the United States which has always been far more advanced in harnessing the skills resident in universities to national needs (for example Los Alamos or the space race) or specifically company needs (the Bell Labs for example). It was also in the United States that science parks were first built and the concept of joint university and private high technology enterprises was originated. Japanese and German models of collaboration are also pertinent to this topic: in both countries there

had always been a closer tie between academic work and industrial companies with apparently better economic results for both countries as a result. But in the UK, one of the failings that most universities stood accused of at the beginning of the 1980s was that there was no consistent and policy-driven linkage between universities and industry. Indeed, for many people, the very idea was anathema with fears that short-term industrial needs would have precedence over longer term purer research with disastrous consequences for the health of academic subjects. It was felt too that this might compromise academic freedom - the right to pursue ideas and thoughts without fear of reprisal or political interference. At an earlier stage in its history, a famous pamphlet was written by members of Warwick about these very fears and called Warwick University Ltd.

Recent policy in the UK has continued to stress the need for universities and industry to work closely together for their mutual benefit and the overall advantage of the country and its economy. I should add that the earlier distrust which characterised the relationship was mutual: industry was, and perhaps still is, somewhat suspicious of what higher education has to offer and it did not extend the hand of friendship any more than did the universities. But I do not want to provide you with another history lesson. What I shall do instead is to examine the different forms that technology transfer can take and then look at how a university might want to promote these and to manage them.

2. The Framework which Drives Technology Transfer

Government Action

Industry Needs

Regional Priorities

University Priorities

It is worth reminding ourselves that "technology" does not just mean scientific or engineering technology but can encompass new ideas, analysis or social research in a broad spectrum of activities including service industries (like health, retailing, public administration) as well as the traditional view of technology in the engineering sector. In other words, your university does not need to have a strong science base in order to have services and products and ideas that can be exploited by the user community.

Indeed, it was once said by the (male) head of a major company in Britain that he knew of three ways of losing money quickly: gambling was the quickest by far; women were the most enjoyable; but investing in technology was by the far the most certain. A breakthrough solution to a problem or in opening up a new consumer market does not necessarily need a new invention but may be based on an innovation, a new way of using an old invention. For example, during the last World War, the British codebreakers who read the German Enigma codes, invented and built huge computer-like machines to run through all the possibilities. After the war, the machines were thought to be redundant. They had served their purpose. But a decade later, IBM saw the commercial possibilities of this first computer and the rest as they say is history. The laser was invented by the defence industries of America but has probably found its greatest commercial success in the music business because someone saw the new possibilities of an existing invention.

What examples can we give of these four headings in the framework that drives the need for technology transfer:

Government Action: stated policies, technology foresight ideas, distribution of grants based on strategic or applied research, etc.

Industry Needs: pressure for the right kind of training and statement of policy through industry organisations or by powerful individuals. Criticism of universities.

Regional Priorities: articulated through local government higher education partnerships, awareness of regional industrial or commercial strengths and weaknesses.

University Priorities: often articulated through particular individuals who champion ideas; or by university governing bodies in response to the framework from government, region and industry.

3. Types of Technology Transfer

Exploitable Research

Bearing in mind the illustrations I gave of how "old" inventions were successfully exploited for new applications, there will be few universities where some existing research is not going to be of value to someone for a commercial or near-commercial purpose. What is needed is the recognition of the exploitable research to bring out its possibilities. At one level therefore

technology transfer may not need a change of research direction by a university but the recognition of what it is already doing having an application beyond the university. How this process might be managed to be systematic rather than based on serendipity will be the theme of the second part of my talk. However, a stage further on from the scrutiny of existing research to see its possibilities in the external world, would be deliberately responding to initiatives promoted by governments and industrial corporations. The British government has taken a much greater strategic view of the research it is prepared to fund in recent years. Following the publication of an important discussion paper - Realising Our Potential - a few years ago, the Technology Foresight project was established and greater direction given to the government-funded research councils about the themes which they were to concentrate their resources on. This has had the effect of changing behaviour in universities who wish to continue to obtain research grants since it will be obvious that if a proposed piece of research does not fit with one of the themes, then it will be less likely to be funded. The aim is to get as much benefit as possible out of the national budget for research to meet short and longer term needs. But there are dangers with this approach. I for one am uncomfortable with the idea that it is possible to predict the course of science and technology so accurately; history tends to show the opposite. Also, there has to be a balance between this aggressive pursuit of applied research and the opportunity for people to carry out basic research and to follow their own instincts about their subject. This balance is preserved in theory in the UK by the combination of the project-based research undertaken with grants from the research councils and the funding from the RAEs which provide the means to finance basic research facilities and staff. It is important in my view that the balance is maintained because tomorrow's exploitable research comes from today's basic research. This is also the view of the Japanese government, a country which has an excellent record in exploiting new technologies. The Japanese support basic research to a high level on the grounds:

"that basic scientific research provides the bedrock upon which applied technologies are built and its promotion in universities and research institutions will be essential to the development of science and technology in Japan."

University-Industrial Development Collaboration

A stage beyond the identification of exploitable research and its consequential use by the non-university community is the deliberate establishment of joint industry-university collaborations. Such developments recognise that each partner has something to offer the other. Technology transfer should be a two-way process. An industrial engineering company might well want academic expertise but can offer access to real life applications, state of the art equipment and industrial know-how in return. Engineering of all subjects is not much use if it remains theoretical. Its very purpose is practical. There are many ways in which university-industrial collaborations can take place.

OVERHEAD

A joint research group based either in the company or in the University

This could be as small as two people or be very large. Its distinctive feature is that the group are probably brought together to work on a specific problem or project and may not continue in being after that project is completed. It may of course be the seed of other and longer collaborations. It is also important to remember that such research groups need not be just in

the applied sciences. Such projects exist in the UK on school education research, management, health policy and in a range of other academic disciplines.

A new company combining university and the industrial company's expertise

Another way to organise an industrial collaboration is to form a new company which deliberately sets out to find new exploitable technologies. This has the advantage of setting the projects at one remove from the parent industrial company and also has some of the other advantages that we looked at when examining income generation. The establishment of a company implies a longer-term collaboration or that a particular invention or innovation is potentially of such importance that it might develop into a significant industry in its own right (for example some biotechnology techniques might fall into this category). It might also be that a venture capital company would seek to invest in such a company if it thought that the resulting product was highly exploitable.

A long-term collaboration based around core funding and specific projects

A good example of this would be the Warwick Manufacturing Group which has a long-term relationship with Rover alongside its other partnerships. Rover has committed itself to the relationship by providing core funding to the Group which is not specifically allocated for a particular project but is intended to support ongoing research and technology that will provide the background to particular projects which also form part of the relationship. The relationship is governed by contracts but is not a separate company. The basis of the relationship provides security to the University as well as representing a good investment to Rover who knows that it will receive a good return on its investment in product development

from a Group with a proven track record. This is preferable than constantly seeking new partners with consequential high start-up costs. The relationship is based on trust and mutual understanding forged over a number of years.

An industrial research establishment bringing in university expertise on short-term assignments

Many companies have their own research establishments and groups of researchers. This will be true of all the great multi-national technology companies as well as for companies in the service sector and for smaller concerns too. But universities can play their part in these to good effect too. Such establishments may well want to buy-in particular expertise for a particular purpose and will fund secondments or small periods of leave for the academics to work alongside the permanent employees. The benefits are again mutual: the academics are exposed to high quality laboratories and new ideas from a different set of colleagues and the company gains the knowledge and experience it needs from the university.

Government-backed initiatives

These kinds of relationships can be facilitated by government initiatives which range from making research money available specifically for joint bids from university and industry (now a common feature in the UK) to establishing particular kinds of higher education institutions like the German Fraunhofer institutes and the new Berufshochschulen which deliberately provide curriculums and research based on partnership. Industry has had an equal say in the establishment of such institutions and they are deliberately designed to exploit the best features of both universities and companies.

Science Parks

It was the Americans who first developed the idea of the science park: a community of usually small to medium-sized high technology companies developing research ideas into new products and services. These were usually placed in or on the borders of university campuses and might be totally or jointly owned by the university. As we all know, the idea took off and science parks or technology parks are now relatively common. Cambridge University had the first one in the UK and my University opened its science park in 1984. Warwick's has been particularly successful and has thrived through economic downturns as well as the better times. It has about 70 companies on site which range in size from two person organisations to much larger research arms of established multi-nationals. It has recently opened a satellite site in a neighbouring town and has been involved in the development of the concept in Russia and other European countries. The trick with science parks however is how to prevent them being just an opportunity to lease land to external companies. How do you ensure that there is a mutual flow of expertise and benefit between the companies in residence and the university?

Warwick's science park is a joint venture between the University and local government. It is a separate company in which the University has the majority share. This ensures that decisions on tenancy and its development are taken with the best interests of the region and the university in mind. The whole idea of the Park came out of the appalling economic downturn in Coventry's industrial base at the end of the 1970s which was heavily dominated by car manufacturing. From being a prosperous city, Japanese and other European

competition in car manufacturer eroded its base to the point where it had very high male unemployment and no prospect of developing alternative employment opportunities. The University leaders of the day and the local government saw that the establishment of a science park might provide the stimulus for new forms of high-tech, computer-based industry for the region. It was not the prospect that the science park resident companies might provide mass employment (although over 1200 people are employed in them) but that they might themselves promote a new manufacturing base to exploit the technologies they would develop. I think it is true to say that the Park has had an influence on local industrial policy and has certainly acted as one of the magnets to attract new companies to Coventry on what is a transformed sub-region on the southern border of the City around the university.

Another particular feature of our Science Park is that the tenant companies are expected to have existing links with University departments or a clear commitment to develop such links. This condition ensures that the basis of a relationship with academics is in place and has led to very fruitful collaborations in a number of fields. The fact that we have never lacked for tenants and that the site is always full suggests that the companies also welcome this condition are benefiting from it. The University has also extended use of the campus facilities (Library, Sports Centre, Arts Centre, etc) to members of the companies so that they are made to feel part of the University community and are encouraged to use it.

The Science Park Company has also invested in developments through a trust fund and the provision of scholarship schemes for bright students to work with companies on site. By these means it has taken a view that it can promote similar activities and fund clever ideas for its own benefit and the benefit of the region. It acts with commercial discipline but spreads the financial benefits to others to give them the opportunities that the Park provides.

I would not wish to pretend that Warwick is alone in having developed a Park of this kind. Nothing could be further from the truth. Chalmers University in Gothenburg in Sweden also has a remarkable record in having stimulated a network of small and medium-sized industries around its campus and other universities have based enterprise-training programmes for their students and graduates around Science Park activities. What I hope to have illustrated however is that a science park works best when it is a genuine partnership with the University and other partners and when it has clear strategic objectives that are embedded in its operation and the way in which it attracts tenancies.

Training Programmes

It is easy to forget the role that training can have in technology transfer. The role that universities can play in exploiting their expertise in partnership with an outside organisation need not be research-based. I mentioned earlier, the Berufshochschulen that are being established in Germany. These are a joint government-industry initiative (the industries including giants like Bosch and Daimler-Benz) to create institutions where shorter, more relevant higher education programmes are jointly designed by the partners. Employers therefore share the responsibility with academics of designing and controlling an institution of work-related training with the outcome that the graduates come out with above average employability and skills of immediate advantage to their companies.

This is perhaps an extreme example of what we all know to be relatively common these days: programmes of study which are specifically designed for a particular employer or sector of

industry in mind. We have been doing it for years at Warwick both through the Warwick Manufacturing Group and Warwick Business School but the influence of such programmes is now at the heart of many other degrees too. We are currently developing a new form of partnership engineering degree where the companies become the laboratory and the University is the classroom with the students already being in employment with their company.

It may be of course that training programmes of this kind could develop out of research links or that research could be the next stage of a training relationship. Either way, there are enormous opportunities which are yet to be fully exploited.

Consultancy

I mention consultancy only briefly but it is a form of technology transfer usually conducted by individuals. In some disciplines (like business management) there are plenty of opportunities for consultancy work which can be highly lucrative for the person concerned but not usually for the institution unless it is fortunate enough to have established clear rules about the sharing of the proceeds. However, given the state of academic salaries and the demand for people of talent in certain subject areas like business and engineering, permitting academics to undertake consultancies for personal gain can be a way of retaining their services for the university. This is certainly the case at many UK universities. But there can be other rewards for the institution. The contacts that are made through consultancies can lead to research initiatives, they can inform teaching programmes through providing useful case studies and they can enrich the academic's experience to everyone's benefit. Here again,

however, we should not forget that consultancies can be two-way. There are considerable benefits to be gained from inviting leading or senior businesspeople to teach on university programmes and to impart their experience directly to students or, via seminars, hold discussions with academics about particular issues or concerns. Both sides can learn from each other and this too may be the platform for a longer-term relationship of the kinds I have described.

4. I hope that I have provided a fairly comprehensive overview of the kinds of university-industry collaborations that are possible. But you may ask, how do these things happen? Can a university stimulate them and regulate them to its best advantage. As with so many things, the inspiration for new partnerships and developments comes from individuals and the willingness of those individuals to look outside their own institution to make possibilities become realities. We would not have had a Warwick Manufacturing Group without Professor Bhattacharyya; America would not have had a Los Alamos without Robert Oppenheimer. But beyond the inspirational academics and the many networks that develop between individuals, there is perhaps a role for the institution to provide leadership and support to assist the process and to implement a policy to seek industrial collaboration and to exploit fully technology transfer opportunities. What I would now like to do is to look at the kind of office structure that might be needed and the issues that it will need to be involved in.

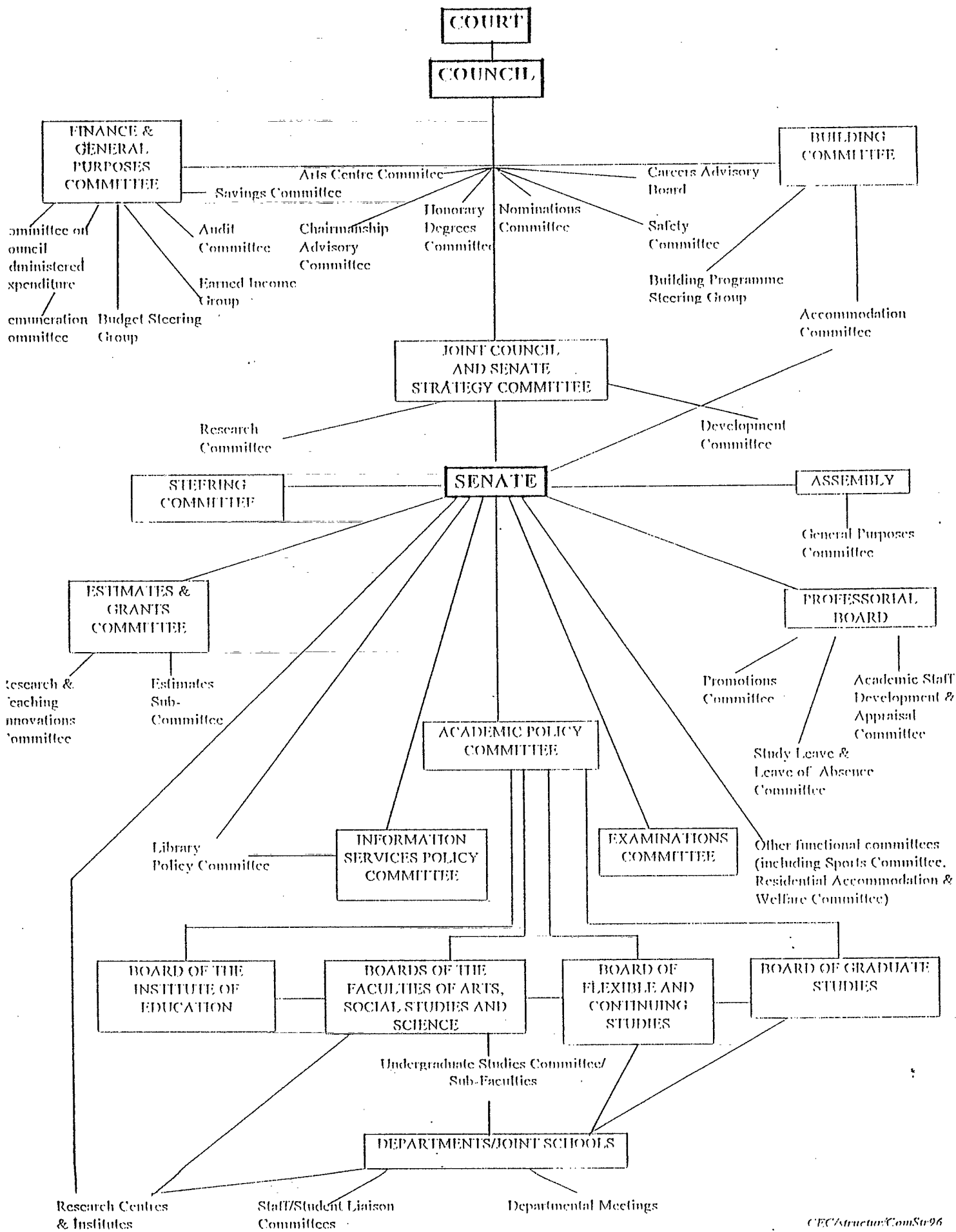
5. It would be quite common to find in UK universities a Research Office or Research and Development Services Office that would have the task of managing and facilitating many of the kinds of projects that I have discussed in this talk. If you will permit me to take Warwick's Industrial Development Office as a case study, I will try to show how it operates and the roles that it can play in getting the fullest benefit from industrial partnerships.

SPECIALIST ADMINISTRATIVE CAREERS IN HIGHER EDUCATION

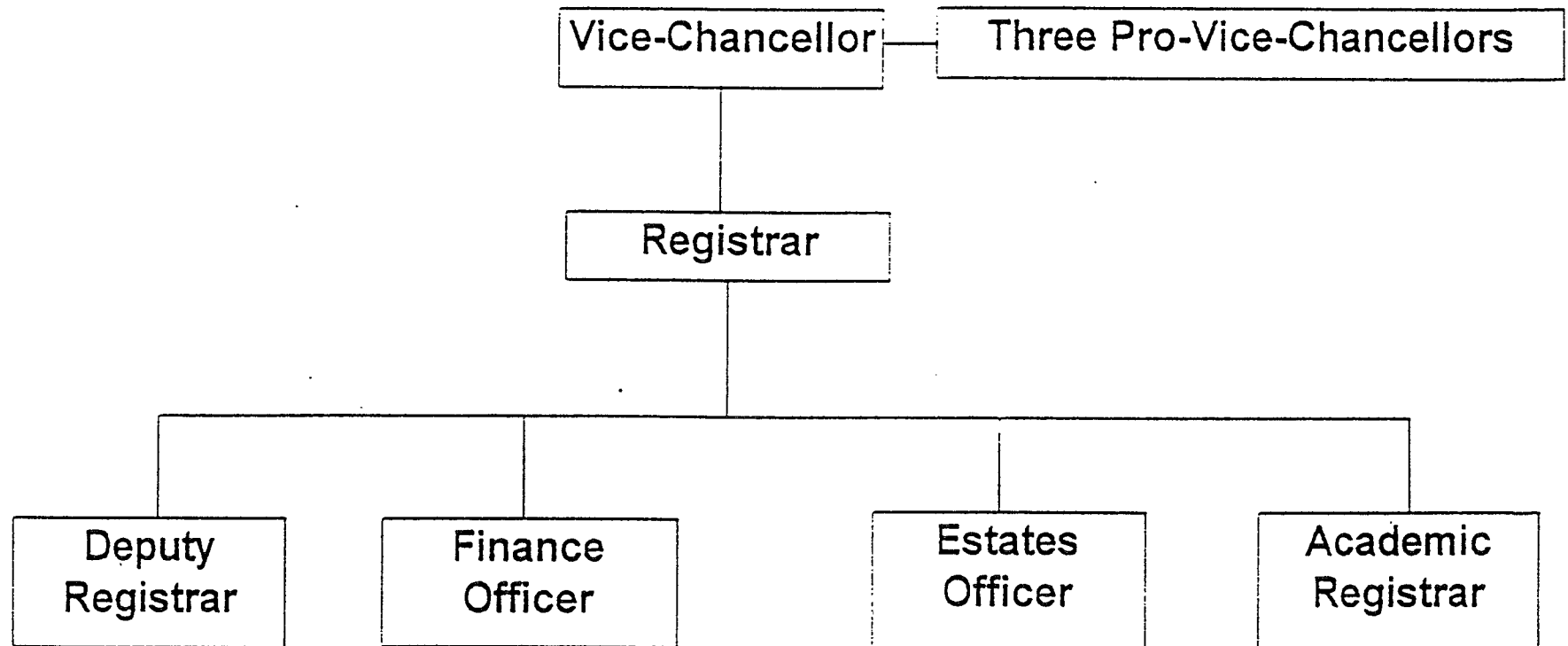
Historical Organisation of Administration in UK Higher Education

- **clearly defined roles and responsibilities**
- **'classic' areas of responsibility; finance, buildings, students affairs, committee secretariat**
- **professional/career administrators**

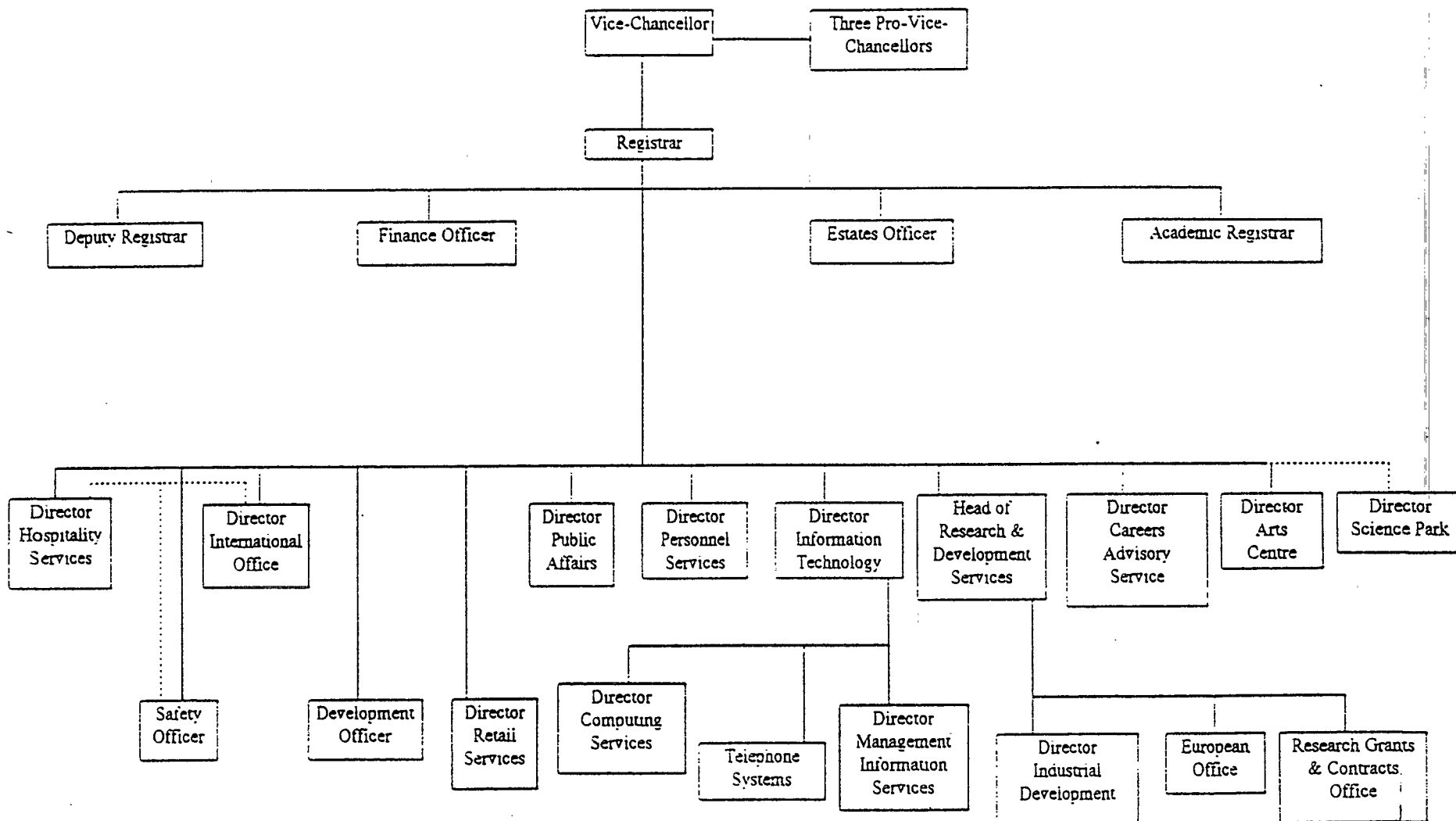
UNIVERSITY OF WARWICK COMMITTEE STRUCTURE



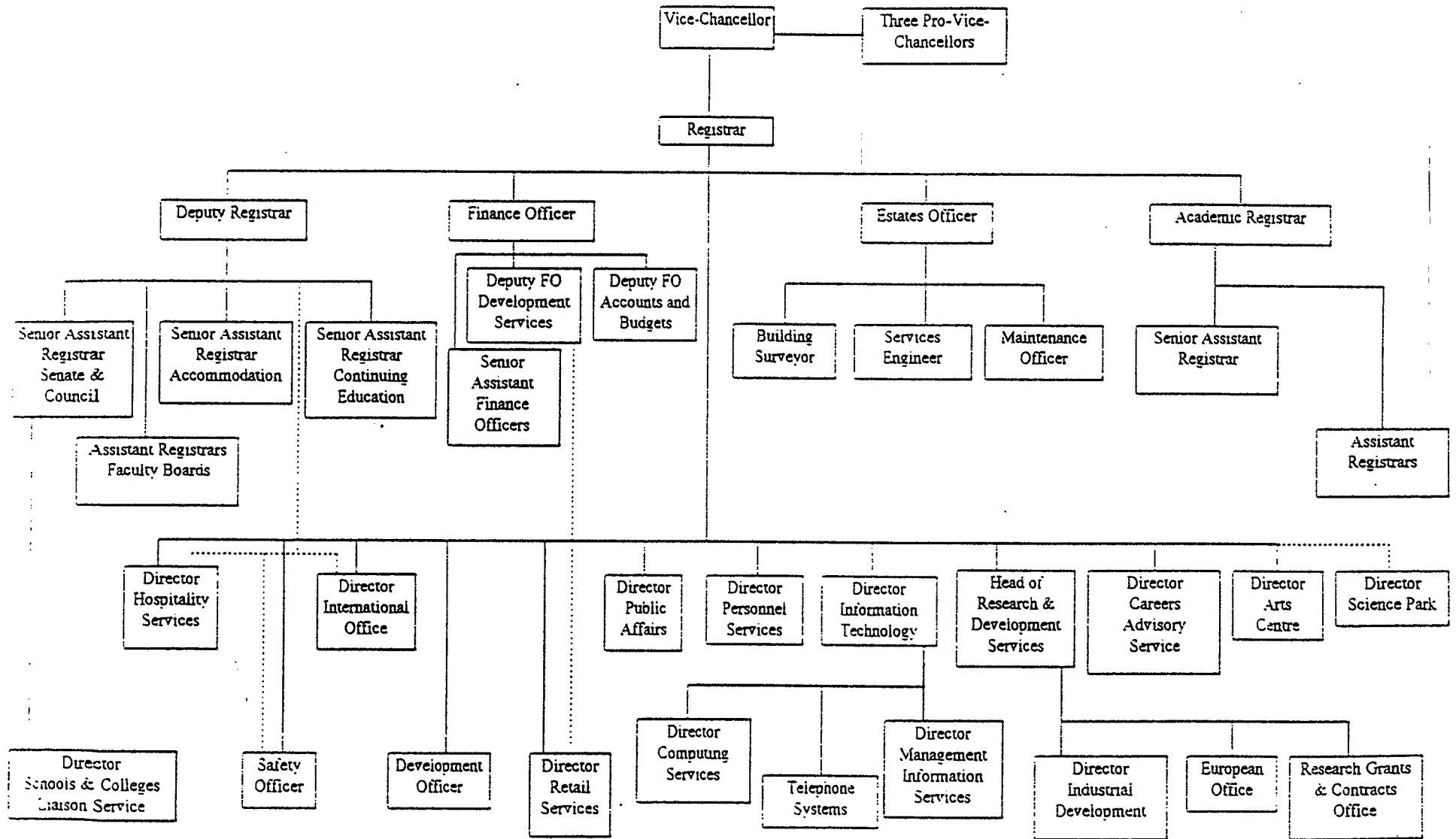
MANAGERIAL STRUCTURE OF THE UNIVERSITY OF WARWICK



MANAGERIAL STRUCTURE OF THE UNIVERSITY OF WARWICK



MANAGERIAL STRUCTURE OF THE UNIVERSITY OF WARWICK



SPECIALISED ADMINISTRATIVE CAREERS IN HIGHER EDUCATION

Emergence of specialised staff to meet new demands and requirements

- **more sophisticated teaching methods**
- **constraints on finances**
- **increased accountability**
- **'customers' expectations**
- **expansion and increase in complexity of areas of activity**
- **competitiveness**
- **the 'Information Superhighway'**

SPECIALISED ADMINISTRATIVE CAREERS IN HIGHER EDUCATION

Specialised Careers

- **Legal**
- **Marketing**
- **Public Relations**
- **Development/Fund Raising**
- **Hospitality and Catering Services**
- **IT**

SPECIALISED ADMINISTRATIVE CAREERS IN HIGHER EDUCATION

Web Editor

- **Speed, ease and cost-effectiveness of communication**
- **Dissemination of information to national and international audience**
- **Marketing/Promotion/PR Opportunities**
- **Coherent framework for presentation of material on the World Wide Web**

SPECIALISED ADMINISTRATIVE CAREERS IN HIGHER EDUCATION

Web Editor

- **Location**
- **Reporting Lines**
- **Skills/Expertise Required**
- **Responsibilities**

Business Plan and Costings
M.A in IPE

M.A in International Politics and Economics

1995 Prices

Costings

	£ Year 1 1996	£ Year 2 1997	£ Year 3 1998	£ Year 4 1999	£ Total (Year 1 to 4)
Fee Income					
Overseas	267,975	291,150	419,100	450,000	1,428,225
U.K	72,900	117,900	178,600	200,000	569,400
Total Income	340,875	409,050	597,700	650,000	1,997,625

Staff Costs

Academic Staff	183,369	183,369	212,008	212,008	790,754
Clerical Staff	24,629	24,629	24,629	24,629	98,516
Total Staff Costs	207,998	207,998	236,637	236,637	889,270

Expenses

Travel & Subsistence	750	750	2,500	2,500	6,500
Hospitality	1,200	1,200	3,000	3,000	8,400
Equipment	5,000	0	2,500	0	7,500
Equipment Maintenance	0	200	200	300	700
Advertising	8,000	8,000	16,000	16,000	48,000
Other Promotional Exps	1,000	10,000	10,000	10,000	31,000
Telephone & Fax	750	750	1,000	1,000	3,500
Postage & Stationery	375	375	500	500	1,750
Photocopying	1,125	1,125	1,500	1,500	5,250
Books	7,500	2,500	5,000	5,000	20,000
Room Hire	2,500	2,500	2,500	2,500	10,000
Equipment Hire	1,200	1,200	1,200	1,200	4,800
Contingencies	3,000	3,000	10,000	10,000	26,000

Total Expenses	32,400	31,600	55,900	53,500	173,400
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Overheads @ 40% of All Costs (excluding room hire)	95,159	94,839	116,015	115,055	421,068
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Total Costs incl Overheads	335,557	334,437	408,552	405,192	1,483,738
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Surplus / (Deficit)	5,318	74,613	189,148	244,808	513,887
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Assumptions

Students					
U.K	30	30	40	40	
Overseas	45	45	60	60	
Total	75	75	100	100	

Fees (Full Time)

U.K	2,430	3,930	4,465	5,000	
Overseas	5,955	6,470	6,985	7,500	

At present the M.A is run through the Matrix system and as such costs are not specifically identifiable. However we have used our best estimates to create the figures shown in column 1, which we believe indicate the financial position if the M.A was transferred now to a self financing basis in its current format.

DTS

24-Jun-96

MA in INTERNATIONAL POLITICS & ECONOMICS

Draft Costing 1 as at

05-Sep

SUMMARY at 1995/96 prices

		Year 1	Year 1	Year 2	Year 3	Year 4
		Matrix System	Self-Financing	Self-Financing	Self-Financing	Self-Financing
		£	£	£	£	£
ASSUME:-	Student Numbers - UK (Home)	30	30	30	40	40
	- Overseas	45	45	45	60	60
	Fees (Full-Time) - UK (Home)	2,430	2,430	3,930	4,465	5,000
	- Overseas	5,955	5,955	6,470	6,985	7,500
INCOME :-						
	Home Fees	72,900	72,900	117,900	178,600	200,000
	Overseas Fees	267,975	267,975	291,150	419,100	450,000
	Sub-Total Income	340,875	340,875	409,050	597,700	650,000
NB:- Income shared as follows:-						
	University	213,399	340,875	409,050	597,700	650,000
	Department	127,476				
EXPENSES :-						
Staff Costs	Academic Staff - University (3.8)	141,506	183,369	183,369	212,008	212,008
	- Department (1.3)	41,863				
Clerical Staff	- Department (1.0)	17,944				
	- University (0.5)	6,685	24,629	24,629	24,629	24,629
	Sub-Total Staff Costs	207,998	207,998	207,998	236,637	236,637
	Other General Expenses					
	University	3,350	32,400	31,600	55,900	53,500
	Department	14,100				
	Sub-Total Expenses	225,448	240,398	239,598	292,537	290,137
VB:- Expenses shared as follows:-						
	University	151,541	240,398	239,598	292,537	290,137
	Department	73,907				
OVERHEADS :- (40% on all costs)						
			95,159	94,839	116,015	115,055
JB:- Overheads shared as follows:-						
	University (75%)		71,369	71,129	87,011	86,291
	Department (25%)		23,790	23,710	29,004	28,764
NET						
		115,427	5,318	74,613	189,148	244,808
IB:- Course Surplus shared as follows						
	University (50%)		2,659	37,306	94,574	122,404
	Department (50%)		2,659	37,306	94,574	122,404
SUMMARY - OVERALL EFFECT						
To :-	University	61,858	74,028	108,436	181,585	208,695
	Department	53,569	26,449	61,016	123,578	151,168

Large M.A Politics and International Studies

Costing (4 years)

No of Students

At 1995 Prices	% Of salaries £	Annual Salary £	On Costs N.I and Pension	Annual Total £	75 Total Year 1 £	75 Total Year 2 £	100 Total Year 3 £	100 Total Year 4 £
STAFF COSTS								
Academic Salaries								
	25%	24,132	6,938	31,070	7,767	7,767	7,767	7,767
	50%	30,446	8,753	39,199	19,600	19,600	19,600	19,600
	25%	39,595	11,384	50,979	12,745	12,745	12,745	12,745
	50%	31,356	9,015	40,371	20,185	20,185	20,185	20,185
	25%	26,430	7,599	34,029	8,507	8,507	8,507	8,507
	20%	20,677	5,945	26,622	5,324	5,324	5,324	5,324
	100%	12,000	1,224	13,224	13,224	13,224	13,224	13,224
	60%	25,035	7,198	32,233	19,340	19,340	19,340	19,340
	25%	30,446	8,753	39,199	9,800	9,800	9,800	9,800
	50%	20,676	5,944	26,620	13,310	13,310	13,310	13,310
	33%	58,671	16,868	75,539	24,928	24,928	24,928	24,928
New Posts								
Midpoint Lecturer B	100%	22,374	6,265	28,639	0	0	28,639	28,639
Midpoint Lecturer B	100%	22,374	6,265	28,639	28,639	28,639	28,639	28,639
Total Academic Salaries		364,212	102,150	466,362	183,369	183,369	212,008	212,008
Clerical Staff								
Clerical G5	100%	14,654	3,290	17,944	17,944	17,944	17,944	17,944
Clerical G3	50%	10,919	2,451	13,370	6,685	6,685	6,685	6,685
Total Clerical Salaries		25,573	5,741	31,314	24,629	24,629	24,629	24,629
TOTAL STAFF COSTS		389,785	107,891	497,676	207,998	207,998	236,637	236,637
EXPENSES								
Travel & Subsistence		£150 x 5			750	750		
		£500 x 5					2,500	2,500
Hospitality		£100 x 12			1,200	1,200		
		£250 x 12					3,000	3,000
Equipment (3 New P.C's)	New Staff	£2500 x 3			5,000		2,500	
Equipment Maintenance		£100*3				200	200	300
Advertising - Mailshot		5000 x 0.50			2,500	2,500		
		10000 x .50					5,000	5,000
- Journals		£500 x 6			3,000	3,000		
		£500 x 12					6,000	6,000
- Leaflets		5000 x 0.50			2,500	2,500		
		10000 x .050					5,000	5,000
Other Promotional Expenses					1,000	10,000	10,000	10,000
Telephone & Fax		£10 per student			750	750	1,000	1,000
Postage & Stationery		£5 per student			375	375	500	500
Photocopying		75 x 100 x .15			1,125	1,125		
		100 x 100 x .15					1500	1500
Books		Library set up			7,500	2,500	5,000	5,000
		£100 per student			2,500	2,500	2,500	2,500
Room Hire		10hrs x 40 wks						
Equipment Hire (OHP, Video etc)		£30*40			1,200	1,200	1,200	1,200
Contingencies					3,000	3,000	10,000	10,000
TOTAL EXPENSES					32,400	31,600	55,900	53,500
TOTAL COSTS					240,398	239,598	292,537	290,137
OVERHEADS								
40% of all costs excluding Room Hire					95,159	94,839	116,015	115,055
TOTAL COSTS INC OVERHEADS					335,557	334,437	408,552	405,192

COME		inc in yr 2						
es (full time)								
K and E.C	2,430	3,930			72,900	117,900	178,600	200,000
erseas	5,955	6,470			267,975	291,150	419,100	450,000
TOTAL INCOME					340,875	409,050	597,700	650,000
IRPLUS / (DEFICIT)					5,318	74,613	189,148	244,808
SPLIT OF O'HEAD AND SURPLUS								
erhead								
iversity (75%)					71,369	71,129	87,011	86,291
partment (25%)					23,790	23,710	29,004	28,764
					95,159	94,839	116,015	115,055
urplus								
iversity (50%)					2,659	37,306	94,574	122,404
partment (50%)					2,659	37,306	94,574	122,404
					5,318	74,613	189,148	244,808
otal					100,477	169,452	305,163	359,863
otal to University					74,028	108,436	181,585	208,695
otal to Department					26,449	61,016	123,578	151,168
otal					100,477	169,452	305,163	359,863
assumptions								
o of Students								
K and E.C					30	30	40	40
erseas					45	45	60	60

DTS
05/09/97



**Eleventh Report of the Earned Income Group
on the Generation of Non-HEFCE Income
1994/95 to 1999/2000**

**Eleventh Annual Report of the Earned Income Group
on the Generation of Non-HEFCE Income
1994/95 to 1999/2000**

- 1. Introduction and Overview**
- 2. 1995/96 Results**
- 3. Plans for the Period to 1999/2000**
- 4. Other Issues and Developments**

**Annex 1: Summary Tables on Earned Income Results
- 1990/91 to 1995/96**

**Annex 2: Summary Tables on Earned Income Projections
- 1994/95 to 1999/2000**

**Annex 3: Detailed Tables by Activity
- 1994/95 to 1999/2000**

Annex 4: Senior Officers

Annex 5: Link Officers

EARNED INCOME GROUP

ELEVENTH ANNUAL REPORT 1994/95 TO 1999/2000

1. INTRODUCTION AND OVERVIEW

1.1 Eleventh Annual report

This report describes the progress and performance of the University's earned income activities in 1995/96 and their plans and projections for the period to 1999/2000.

1.2 Internal Audit Report

During the year, an Internal Audit report, entitled "*EIG Organisation and Budgetary Control*", raised several issues and made many recommendations concerning various aspects of the Group. The Audit Report was widely circulated for comment and fully discussed at a special meeting of the Group. A major theme of the Internal Audit report dealt with terms of reference, constitution, roles and procedures.

1.3 Terms of Reference

As a result, Earned Income Group's Terms of Reference have been agreed by Finance and General Purposes Committee as follows:

- To stimulate, expand, monitor and account for the earned income activities of the University and, subject to the Finance and General Purposes Committee and appropriate other bodies in the University (eg, Estimates and Grants Committee), to be responsible for their management.
- To consider and give advice to Finance and General Purposes Committee on investment in new and expanding earned income activities.
- To approve, subject to appropriate reports to Finance and General Purposes Committee, recommendations on staffing issues within the range of earned income activities, it being understood that there would be appropriate reference or consultation with the Review Body for non-academic staff or the Estimates and Grants Committee.
- To submit an annual report and a revised five year earned income forecast to the Finance and General Purposes Committee on matters controlled by them.
- To make recommendations to Finance and General Purposes Committee on any matter relating to the earned income activities of the University.

1.4 Constitution

The Group's membership for 1996/97 is as follows:

M L Shattock*	- Registrar (Chairman)
Professor Sir B K Follett	- Vice-Chancellor
J D M Hearth	- Treasurer
J Rushton*	- Deputy Registrar
H J Hunt*	- Finance Officer
D Chambers*	- Deputy Finance Officer
R A Drinkwater*	- Senior Assistant Finance Officer
J A Davies*	- Director of Industrial Development
J W Nicholls	- Academic Registrar
Professor R Burgess	- Pro Vice-Chancellor
Professor M McCrae	- Chairman, Graduate School
Professor R Ormerod	- Warwick Business School
D N E Rowe	- Director, Science Park
Tba	- Warwick Manufacturing Group

(* denotes also member of Working Party on Five-Year plans)

In addition to the above, Pro Vice-Chancellors receive all EIG papers.

1.5 Senior Officers and Link Officers

A list of Senior Officers and their roles, responsibilities and powers is included as Annex 4 to this report. Similar details of Link Officers are set out in Annex 5.

1.6 1995/96 Headlines

- The Group's combined income for the year was, at £76.18m, £6.94m above the 1994/95 achievement and £1.34m above the year's forecast.
- This income represents 56.8% of the University's total consolidated income for the year of £134m, leaving 43.2% from HEFCE grant, home fees and other non-EIG sources.
- After deducting expenditure, the activities' combined contribution was £21.2m £1.95m more than in 1994/95 and £363k above forecast.

1.7 Future Plans

The combined plans for the next four years reflect continued growth in income and contribution of 4.0% and 8.6% respectively.

1.8 Explanatory Notes

The activities continue to be monitored in four groups:-

- (i) "Academic-driven" activities, which are based in academic departments and are concerned with the provision of teaching and research on a fee-paying basis. These constitute about half the earned income total by value;
- (ii) "Spin-off" activities, which are sales of services arising incidentally from mainstream University activities;
- (iii) "Stand-alone" activities, which are run both to provide services and also to generate surpluses for University funds;
and
- (iv) "Self-financing" activities, which provide services but which have a target of breaking even or operating within a fixed subsidy from the University and are not expected to generate surpluses.

Chart 1 illustrates the breakdown of the activities into these categories for 1995/96, showing both income and contribution.

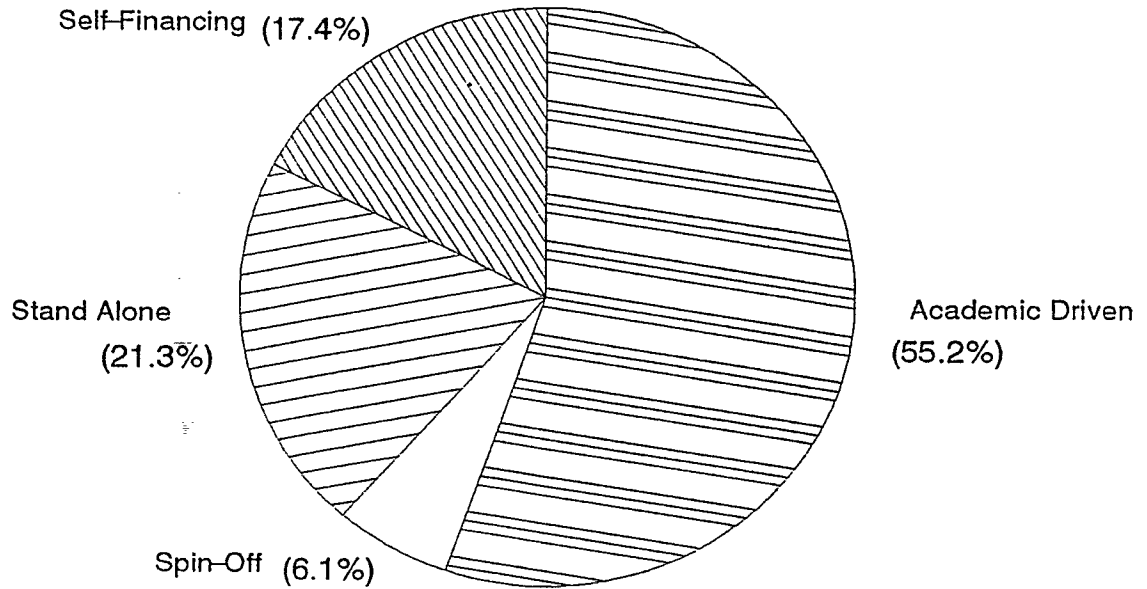
1.9 Terms

The following terms are used to describe aspects of the activities' financial performance:

- **Income**: payments received by the activity from both external and internal sources. Internal transfers are netted out in the overall totals.
- **Contribution**: the "gross surplus" available after each activity has met its direct cost of staff and other running expenses, but before payments to Departments and special funds such as renewals.
- **Payments to General University Funds**: the "net surplus" available to the University for re-allocation to other purposes, after some of the contribution has been paid to Departments, reserve funds, the Foundation Fund and various other special funds.

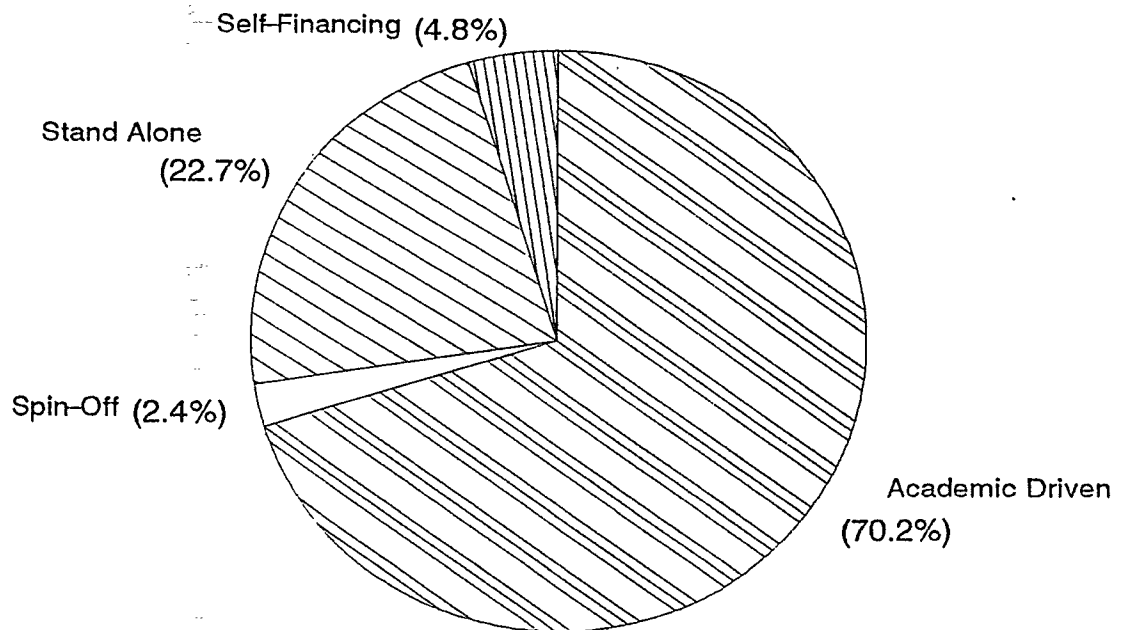
INCOME ANALYSIS BY CATEGORY 1995/96

£77.4 million



CONTRIBUTION ANALYSIS BY CATEGORY 1995/96

£21.2 million



2. 1995/96 RESULTS

2.1 During 1995/96, the Earned Income Group monitored 55 activities against their plans, and against their previous performance. This is three less than last year due to the following changes:

- (i) The Microcomputer Application Clinic has ceased to be treated as a separate activity and is included within Miscellaneous Short Courses.
- (ii) A restructuring of Warwick Business School's activities has resulted in the loss of Business Management Systems. Consortium MBA and Modular MBA have been included within Modular Programmes.
- (iii) The Photographic department is now an EIG activity, being part of Retail Services.

2.2 The combined financial results for these activities in 1995/96 were:

TABLE 1: Earned Income Activities - 1995/96 Out-turn
(1995/96 prices except 1994/95 actual)

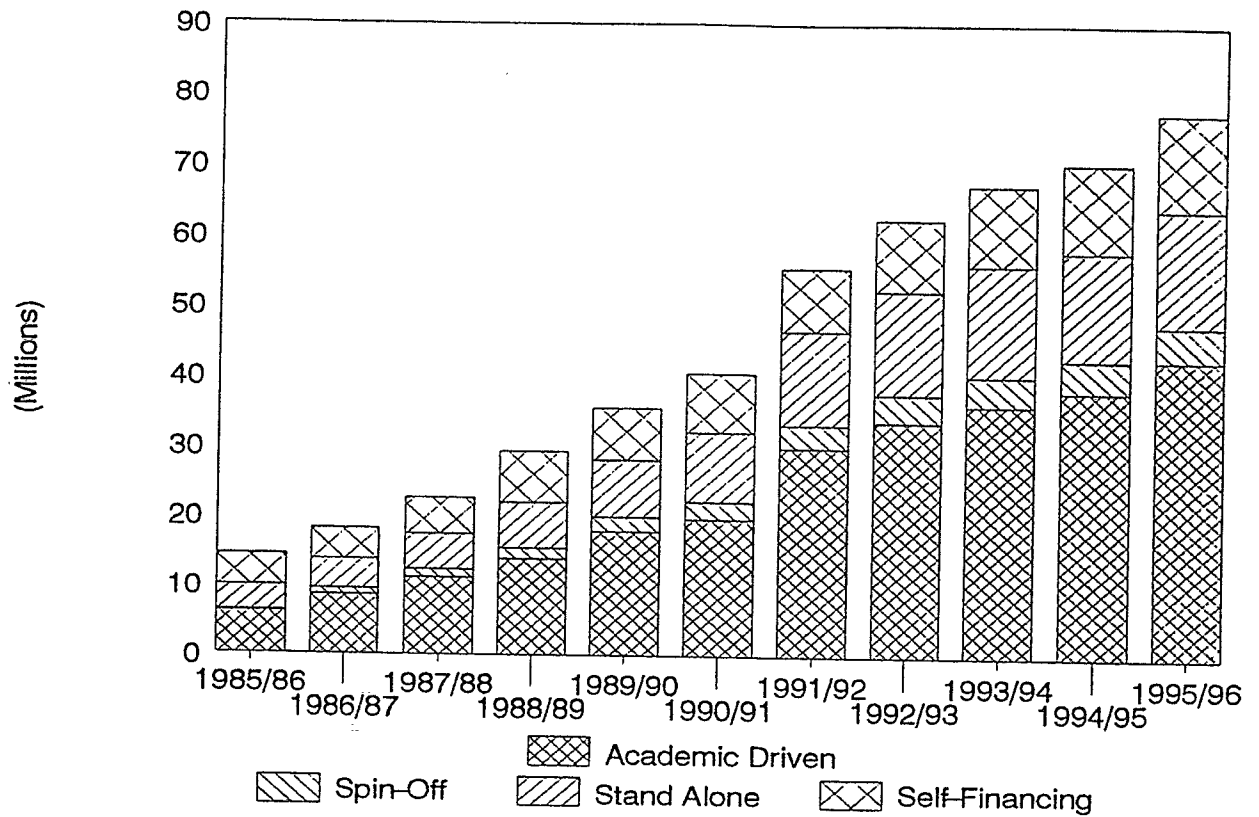
	1994/95 Actual £'000	1995/96 Budget £'000	1995/96 Actual £'000
Income	69,246	74,845	76,183
Expenditure	<u>49,982</u>	<u>53,996</u>	<u>54,971</u>
Contribution	19,264	20,849	21,212
	-----	-----	-----
Composed of:			
Overheads	6,144	6,467	6,457
Surpluses	13,120	14,382	14,755
Distributed to:			
Departmental Funds	4,438	5,024	4,831
General University Funds	10,793	11,486	11,945
Other Funds	<u>4,063</u>	<u>4,339</u>	<u>4,436</u>
	19,264	20,849	21,212
	-----	-----	-----

2.3 The activities had a total turnover of £76.18m, which was £6.94m (10%) up on 1994/95, and £1.34m (1.8%) up on budget.

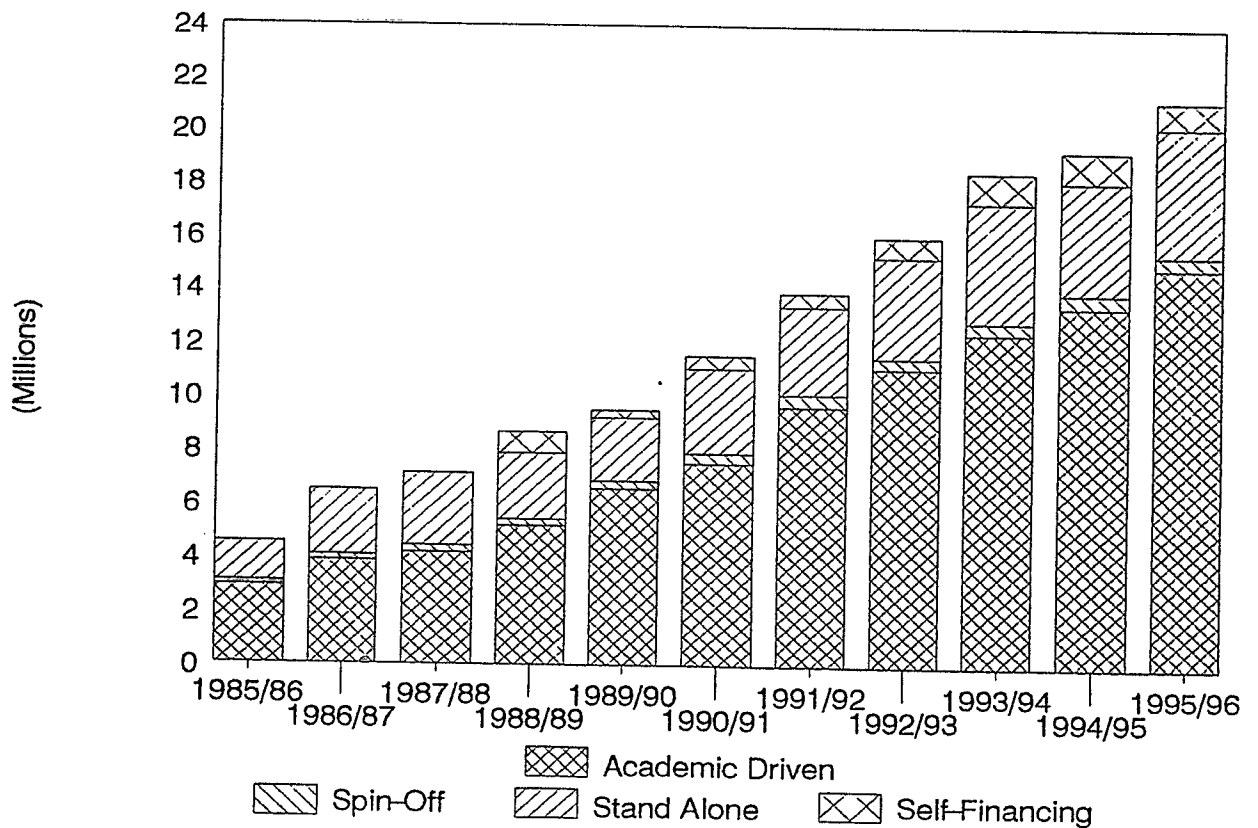
The contribution was £21.2m, which was £1.97m (10%) up on 1994/95, and £363k (1.7%) up on budget.

Chart 2 demonstrates the split of income and contribution between the four categories for the past eleven years.

INCOME BY CATEGORY



CONTRIBUTION BY CATEGORY

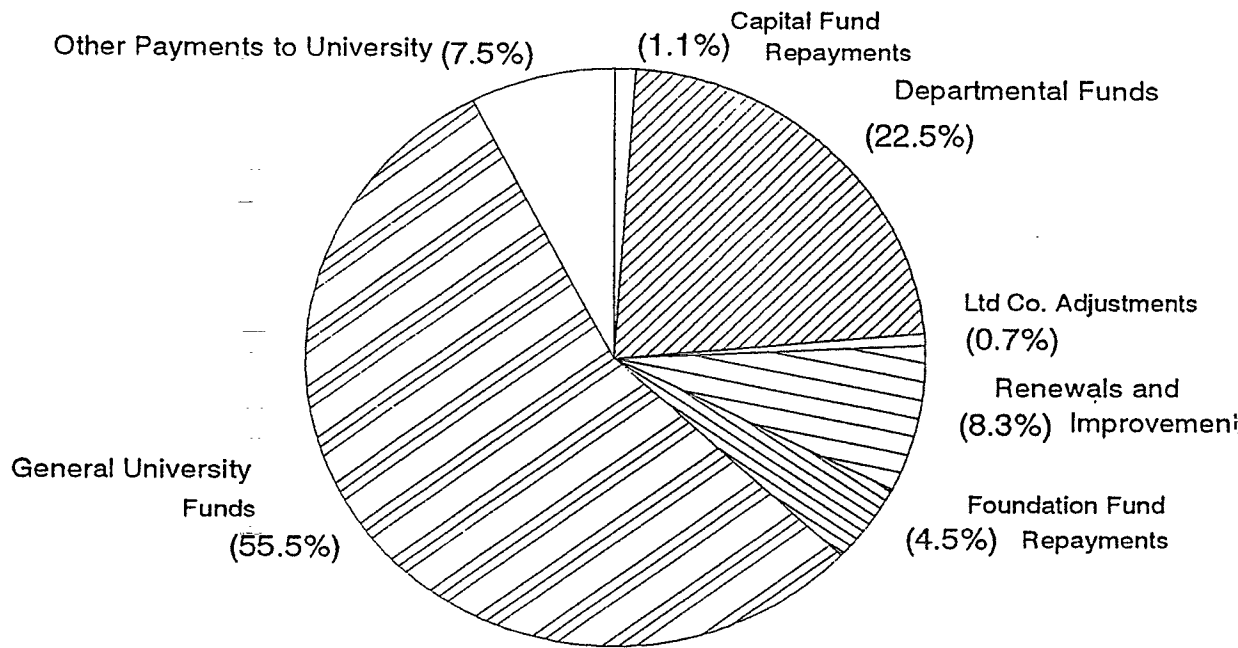


2.4 The contribution was distributed between Departmental, University and other funds in the usual way.

Chart 3 illustrates the application of the contribution between the various funds.

1995/96 ACTUAL CONTRIBUTION

£21.2 million



2.5 The most significant variations from budget by activities in 1995/96 were:

TABLE 2: Major Variations from Budget by Activity in 1995/96

Activity	Variance		Comments
	Income £'000	Contribution £'000	
Warwick Manufacturing Group	+708	+10	Activity has held up on all fronts and the year has been very successful in terms of consolidation of existing programmes and for expansion into new fields of activity and new output locations.
Catering	+328	-267	Excellent sales increase but inadequate cost control.
Warwick Research Institute	+266	+46	Income 38% above forecast resulted in a smaller negative contribution than anticipated.
Research Contracts	+250	-93	Major research contracts have come on stream raising income but low overhead recovery on some contracts has not enabled contribution forecast to be met.
Scarman House	+233	+456	An increase in income has come from a substantial improvement in lettings in previously slacker periods. This, together with cost reductions and lower lease payments, has produced a large contribution increase.
Warwick Business School	+211	+1	This year's plan provides encouraging evidence that the efforts made over the past two years to revitalise the School's earned income activities are now being rewarded.
Radcliffe House	+198	+178	A similar experience to Scarman House, with the month of February being exceptionally good having a significant effect on profit.

Overseas Students	+123	+141	The results reflect the positive effect of developing secondary markets to offset some decline in numbers from the most important traditional sources of recruitment.
Conferences	-151	-118	A variety of factors combined to leave income, and hence contribution, below budget.

2.6 Annexes 1.4, 1.5 and 1.6 tabulate, by activity, the actual income, contribution and distribution to General University Funds respectively for the six years 1990/91 to 1995/96. An overall summary of these three figures is:

TABLE 3: Summary figures - Six Years 1990/91 to 1995/96
(Actual prices)

	1990/91 £'000	1991/92 £'000	1992/93 £'000	1993/94 £'000	1994/95 £'000	1995/96 £'000
Income	<u>38,656</u>	<u>53,742</u>	<u>60,293</u>	<u>65,027</u>	<u>69,246</u>	<u>76,183</u>
Contribution	<u>11,534</u>	<u>13,880</u>	<u>16,004</u>	<u>18,452</u>	<u>19,264</u>	<u>21,212</u>
General University Funds	<u>5,767</u>	<u>7,287</u>	<u>8,234</u>	<u>9,756</u>	<u>10,793</u>	<u>11,945</u>

2.7 Annex 1.4 reveals income achieved for each year 1990/91 to 1995/96 by activity. The overall 6-year increase is 97%, with many large percentage increases in individual activities.

2.8 Annex 1.5 is the equivalent schedule for contribution and shows an 84% increase over six years. The academic-driven activities are consistently responsible for over 65% of the total.

2.9 Annex 1.6 shows the break-down of the portion of the contribution accruing to General University Funds rising from £5,767k in 1990/91 by 107% to £11,945k in 1995/96.

3. PLANS FOR THE PERIOD TO 1999/2000

- 3.1 The five-year planning process worked better in 1996 than in 1995 but there is still much scope for improvement and streamlining of procedures. Several points in the Internal Audit Report were incorporated into the process but many plans were still received late and were unnecessarily long.
- 3.2 As last year, the first tranche of plans received made it clear that the forecasts for future years were less optimistic than those prepared a year ago.
- 3.3 The individual plans are set out in detail within Annex 3 and in summary form in Annex 2. Chart 4 illustrates the actual income and contribution growth from 1985/86 to 1995/96 together with the forecasts for the subsequent four years to 1999/2000.
- 3.4 The plans in aggregate are summarised in Table 4:

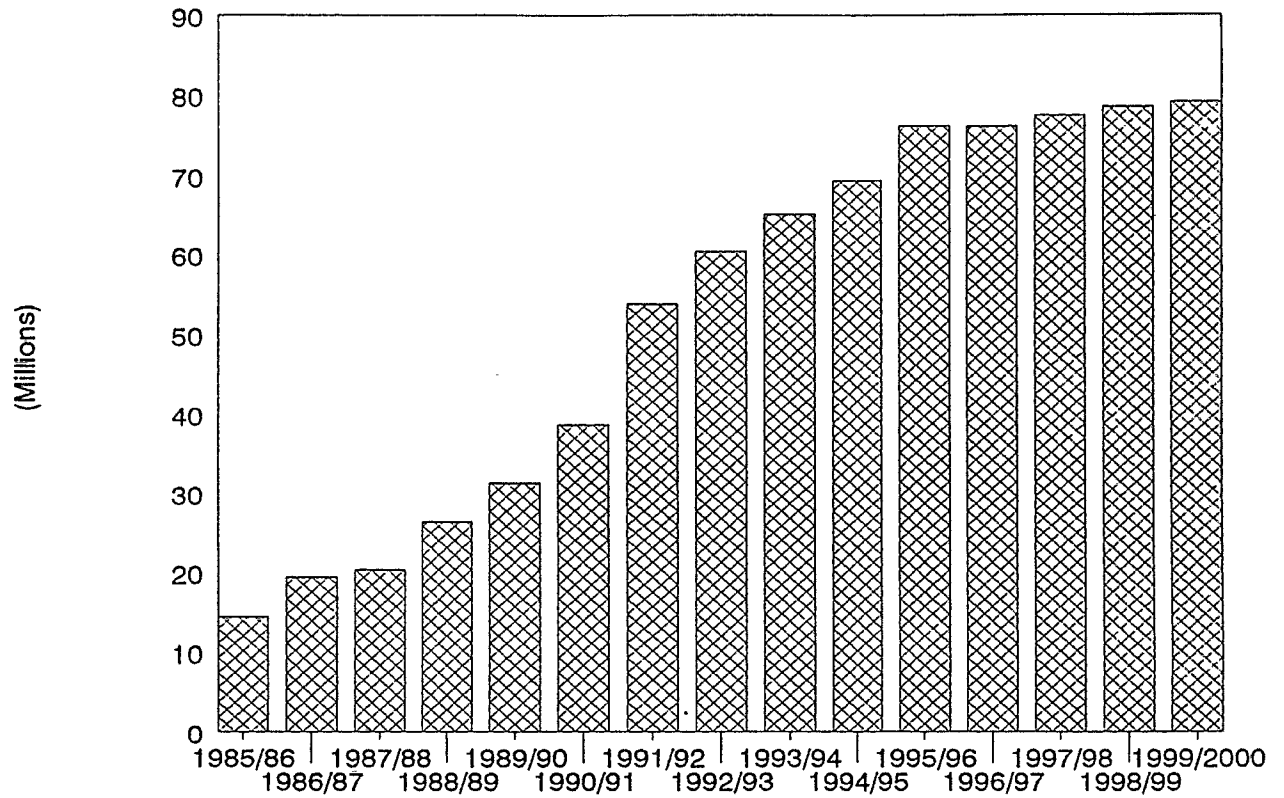
Table 4: Summary of Earned Income Plans to 1999/2000
(1995/96 prices)

	1995/96 Actual £'000	1996/97 Forecast £'000	1997/98 Forecast £'000	1998/99 Forecast £'000	1999/00 Forecast £'000
Income	76,183	76,112	77,572	78,627	79,252
Expenditure	<u>54,971</u>	<u>55,208</u>	<u>56,052</u>	<u>56,234</u>	<u>56,222</u>
Contribution	21,212	20,904	21,520	22,393	23,030
	-----	-----	-----	-----	-----
Composed of:					
Overheads	6,457	6,397	6,811	7,107	7,092
Surpluses	14,755	14,507	14,709	15,286	15,938
Distributed to:					
Departmental Funds	4,831	5,110	5,660	5,915	6,126
General University Funds	11,945	11,663	11,756	12,357	12,600
Other Funds	<u>4,436</u>	<u>4,131</u>	<u>4,104</u>	<u>4,121</u>	<u>4,304</u>
	21,212	20,904	21,520	22,393	23,030
	-----	-----	-----	-----	-----

- 3.5 The total income is projected to rise by 4% to £79.25m in 1999/2000 above the 1995/96 achievement, while over the same period, contribution is planned to rise 8.6% to £23m. This forecast growth is all from the existing activities with no new activities currently planned to start.

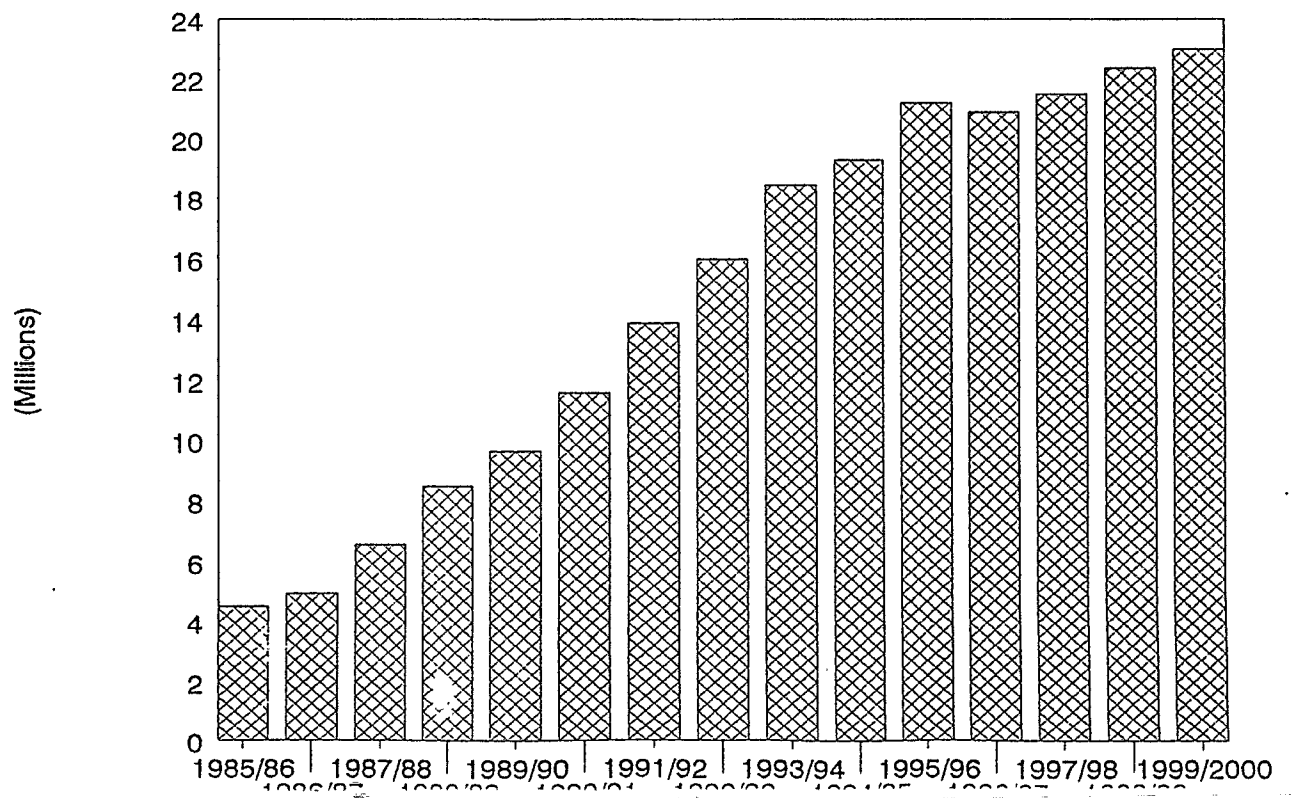
INCOME 1985/86 to 1999/2000

(actuals to 1995/96 then forecast)



CONTRIBUTION 1985/86 to 1999/2000

(actuals to 1995/96 then forecast)



3.6 The most significant areas of projected growth are:

TABLE 5: Areas of Significant Projected Growth to 1999/2000

Activity	Increase		Comments
	Income £'000	Contribution £'000	
Research Contracts	+1,291	+381	A large dip forecast in 1996/97 is projected to improve steadily throughout the remainder of the plan.
Overseas Students	+930	+697	Several growth points are forecast and a high level of promotional activity will be undertaken in these countries.
Warwick Business School	+655	+260	Growth is forecast to come from the Evening MBA and Modular Programmes, together with the MSc in Economics and Finance.
Miscellaneous Short Courses	+650	+300	The income and contribution increases are forecast to come from the MA in International Political Economy.
Teaching Companies	+360	+224	Growth reflects the success of the Teaching Company Centre.

3.7 Of the activities not covered above, there are some plans worth noting:-

- (i) **Scarman House:** Income and contribution are forecast to drop to reflect the decision of KPMG to discontinue its contract at the break-point. However, current indications are that bookings are being received to replace this reduced business, albeit at a lower price. A clearer picture will emerge next year.
- (ii) **Advanced Technology Centre:** This activity is now treated as a separately identifiable division of Warwick Manufacturing Group, to reflect the management responsibilities and nature of the activity, rather than as a free-standing activity.
- (iii) **Warwick Research Institute:** The review of WRI, chaired by Professor Palmer, in progress last year, has been completed and the decision taken to close the activity. Figures are included up to 1995/96 only.

Research projects formerly linked to WRI have been included within Research Grants and Contracts and total about £3.7m in turnover from August 1996 onwards - a significant contribution to the University's research activity.

- (iv) **Statistical Consultancy Unit:** This activity had been subsumed within Warwick Research Institute from 1995/96 but in view of WRI's closure (see above) is again being treated as a free-standing operation from 1996/97. The activity is re-named "Risk Initiative/Statistical Consultancy Unit" to reflect the changed nature of its core activity.
- (v) **Centre for Education and Industry/Schools Curriculum Industry Partnership:** As stated last year, the difficulties faced by both these activities in 1994/95 led to a major reorganisation being necessary - especially of SCIP. Accordingly, last year's report included only provisional figures pending a further review to include discussions with sponsors and customers.

A comprehensive review has been undertaken in 1995/96, together with regular monitoring, and CEI and SCIP have now merged their activities. This report contains combined figures from 1996/97 which have been approved but regular monitoring will continue with quarterly reporting to FGPC.

- (vi) **Hospitality Services:** The financial performance of the Catering and Conference activities has given cause for concern during 1995/96 and this concern has been added to by unreliable management accounting information. There has also been a significant number of senior staff changes. Two "challenge" meetings have been held to discuss the five-year plans but the plans have not been accepted by the Working Party on Five year plans and a further meeting has been arranged to take place after this report has been finalised. Accordingly, the figures included in this report must be considered to be provisional and subject to change.
- (vii) **Warwick Manufacturing Group:** An interim meeting will be held early in 1997 to review the financial forecasts with the benefit of later available information on major contracts.

- (viii) **Arden House:** The tenancy agreement between Warwick Manufacturing Group and Arden House came to the end of the second three-year period on 31 July 1996 and falls due for renewal/renegotiation. At the time of this report, the negotiations are not complete and next year's plans will reflect any changes in the terms of the agreement.

4. OTHER ISSUES AND DEVELOPMENTS

- 4.1 Taxation: It was reported last year that, following the issuance of Inland Revenue guidelines, the trade of Radcliffe House was transferred, after taking legal, taxation and Counsel's advice, into a separate limited company, Warwick University Services Limited.

Taxation computations have now been prepared covering other non-student lettings and research and consultancy for the year ended 31 July 1995. These computations, which show taxable losses, have been submitted to the Inland Revenue who have confirmed that they have no questions to raise. Computations will be prepared annually and the situation constantly monitored and steps taken to shelter the trade(s) in companies, if appropriate.

- 4.2 Risk: The Internal Audit Report also formally raised the issue of risk, with particular reference to the need for the level of risk of each activity to be assessed. The results of this exercise are recommended to be used in decisions such as the level of contact required with the activity and the level of seniority needed of staff responsible for producing management accounts and five-year plans.

The recommendations in the Report and the concept of risk in the context of the Earned Income Group were discussed at the special meeting of the Group and the decision taken to further address the topic when year-end results and five-year plans were finalised.

In the meantime, there have been several changes within the Earned Income Group which, whilst not necessarily made on risk grounds, are relevant to the risk/resource debate. In brief, these are:

- (i) Closure of WRI;
- (ii) Amalgamation of CEI and SCIP on a reduced level of core costs;
- (iii) The appointment of a Management Accountant to a new post within Warwick Manufacturing Group;
- (iv) Several senior management changes within Hospitality Services including the appointment of a Financial Controller;
- (v) The appointment of a new Director of Retail Services.

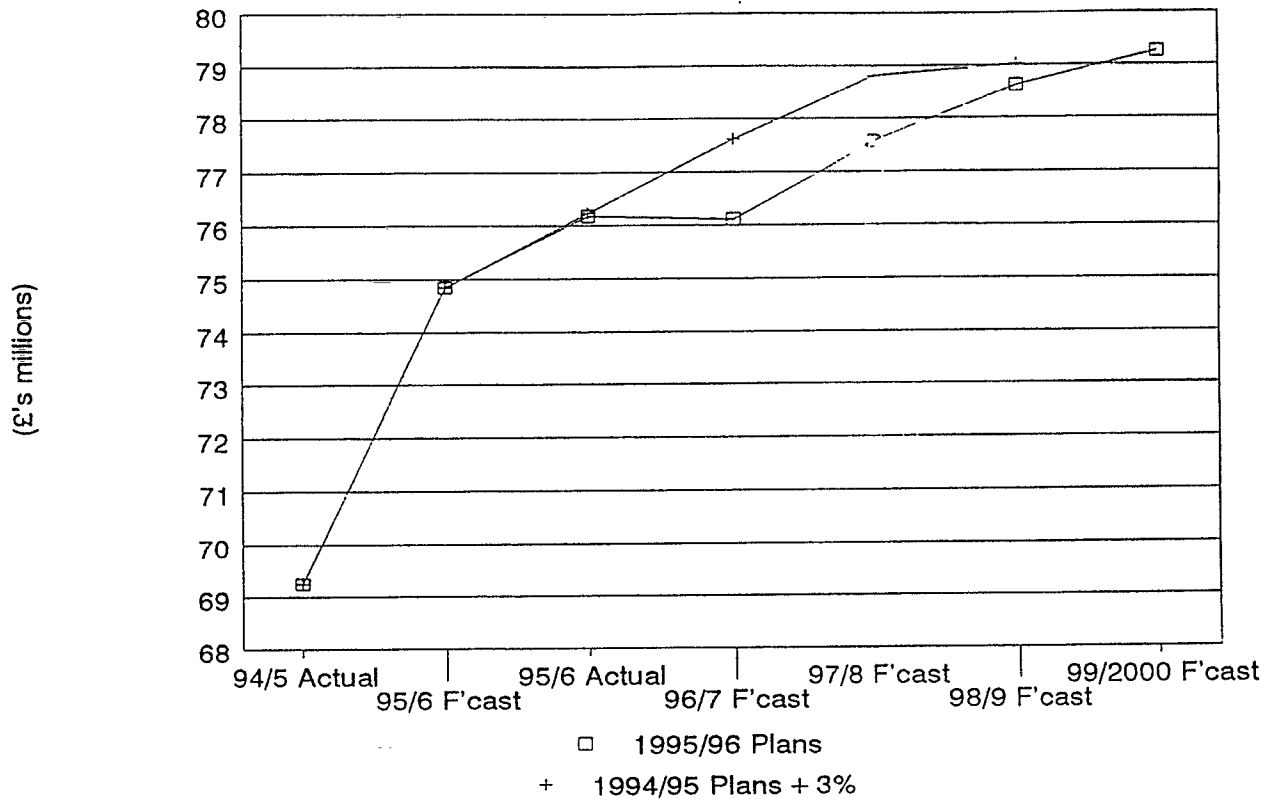
All the above changes are expected to combine to reduce risk and reduce time spent on supporting work by Finance Office link officers. This will enable time to be properly allocated whilst retaining a necessary degree of flexibility.

- 4.3 Retail Services: Plans continue to build new retail space in the area in front of the Students' Union and to link the project with the proposed extension to the Students' Union building. No account has been taken in the forecasts within this report of increased retail income or contribution which would be derived from improved locations, although the University's financial plan does reflect these higher figures by way of a pay-back of the capital cost of the building.

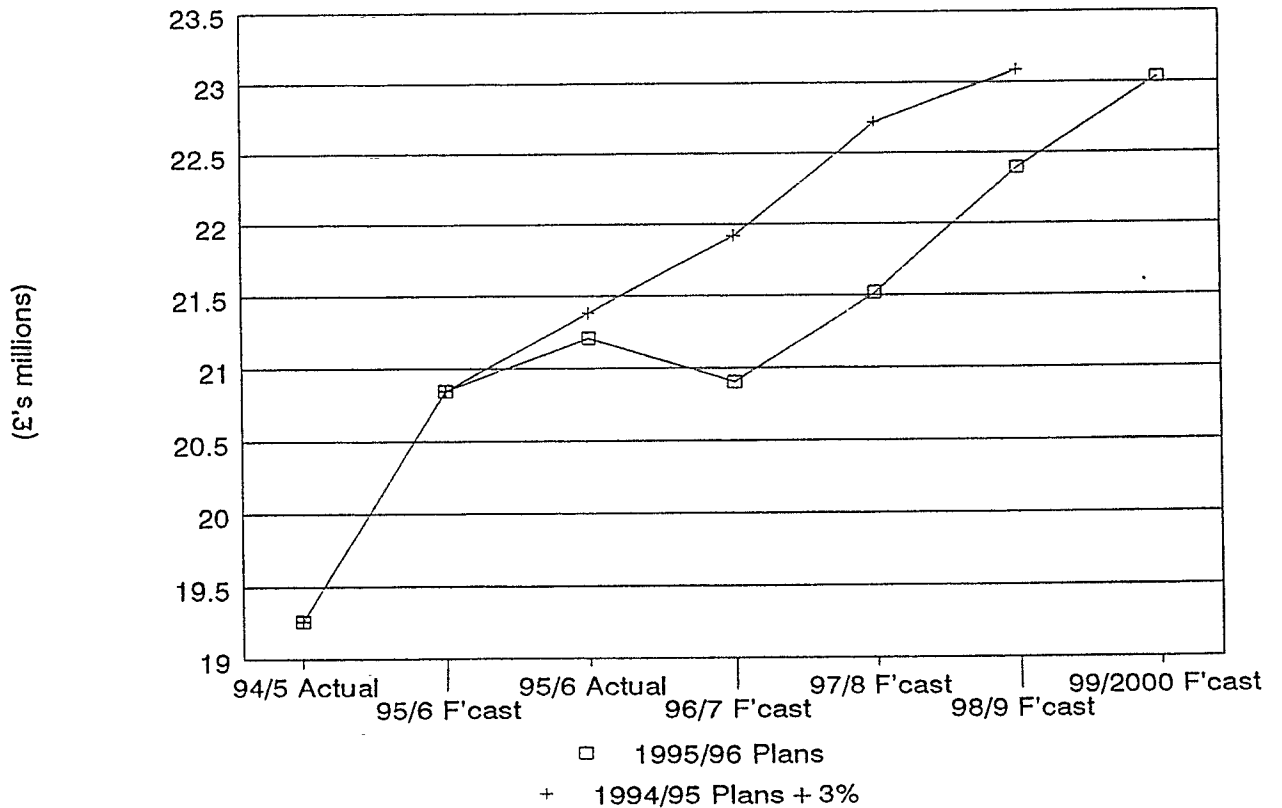
- 4.4 **Hospitality Services:** As has been the case for several years, these plans assume that the Department will retain the surpluses generated from Catering and Conferences in a renewals and improvements fund in order to continue with the series of major improvements to various catering, conference and communal facilities on campus. The decision has been taken that this fund will be used, inter alia, to contribute towards the teaching rooms constructed as part of The Ramphal Building.
- 4.5 **Centre for English Language Teacher Education:** An exercise is being carried out to explore the feasibility of constructing a new self-financing building to accommodate CELTE to service better its needs and provide space for planned growth.
- 4.6 **Sports Centre:** Following on from a decision of Estimates and Grants Committee not to provide funding for sports courses, the Sports Centre is exploring alternative means of funding these popular courses which might have an impact on the Earned Income Group.
- Discussions continue over the size and means of funding the proposed pavilion (and possibly smaller pavilions adjacent to the cricket pitches) on the Warwickshire land.
- 4.7 **Postgraduate Medical Education:** Following the challenge meeting, a review of PGME's funding arrangements and staffing levels (in particular, secretarial) was undertaken. As a result, Finance and General Purposes Committee resolved that the Chairmen of Earned Income Group and Estimates and Grants Committee should review the structure of PGME.
- 4.8 **Research:** Following consideration of the Research five-year plans and forecasts for grant and contract income, a meeting was held between the EIG Working Party and members of the Research Committee. The plans had proved beneficial in highlighting the very real problems which now appeared to exist within research activities and the de-stabilising effect that this could have on the University's financial plan. In addition, the reliability of the research plan was, to a degree, called into question because of the extent to which it had been prepared by staff within Senate House rather than being "built from base" from information supplied by departments.
- The joint meeting agreed that the Research and Development Services Office should compile additional information in order that the forecast shortfalls on the five-year plan could be better understood and hence addressed. This information is awaited.
- 4.9 **Plan Comparison:** Chart 5 illustrates the differences in income and contribution for those years covered by both these plans and those presented a year ago and indicates a down-turn in expectations.
- 4.10 **Annual General Meeting:** The Group's Annual General Meeting will be held on Tuesday, 7 January 1997 at Scarman House.

DAVID CHAMBERS
Deputy Finance Officer
November 1996

TOTAL INCOME



TOTAL CONTRIBUTION



Summary Tables on Earned Income Results
1990/91 to 1995/96

- 1.1 1995/96 Out-turn Summary
- 1.2 Comparison of 1995/96 forecast and actual income by activity
- 1.3 Comparison of 1995/96 forecast and actual contribution by activity
- 1.4 Income 1990/91 to 1995/96 by activity
- 1.5 Contribution 1990/91 to 1995/96 by activity
- 1.6 General University Funds share of contribution 1990/91 to 1995/96 by activity

EARNED INCOME 1995/96 OUT-TURN SUMMARY

ANNEX 1

All columns except column 1 (1994/95 Actual) are at 1995/96 prices.

	1994/95 actual £000's	1995/96 original forecast £000's	1995/96 actual £000's	1995/96 variance £000's	1995/96 variance
INCOME					
Academic Driven	38,133	42,029	42,720	691	1.6%
Spin-off	4,520	4,661	4,727	66	1.4%
Stand Alone	15,349	16,115	16,459	344	2.1%
Self-financing	12,324	13,245	13,455	210	1.6%
Less Inter-category income	(1,080)	(1,205)	(1,178)	27	2.2%
GRAND TOTAL INCOME	69,246	74,845	76,183	1,338	1.8%
EXPENDITURE					
Academic Driven	24,690	27,196	27,830	634	2.3%
Spin-off	4,042	4,103	4,228	125	3.0%
Stand Alone	11,136	11,954	11,644	(310)	-2.6%
Self-financing	11,194	11,948	12,447	499	4.2%
Less Inter-category charges	(1,080)	(1,205)	(1,178)	27	2.2%
GRAND TOTAL EXPENDITURE	49,982	53,996	54,971	975	1.8%
GRAND TOTAL CONTRIBUTION	19,264	20,849	21,212	363	1.7%
Composed of:					
Overheads	6,144	6,467	6,457	(10)	-0.2%
Surplus	13,120	14,382	14,755	373	2.6%
Distributed to:					
Departmental Funds	4,438	5,024	4,831	(193)	-3.8%
Renewals & Improvements Funds	1,837	2,206	1,778	(428)	-19.4%
Limited Co. Adjustments	(109)	(183)	(148)	35	19.1%
Foundation Fund Repayments	639	730	959	229	31.4%
Capital Fund Repayments	229	236	229	(7)	-3.0%
	7,034	8,013	7,649	(364)	-4.5%
Payments to University :-					
Internal Loan Repayments	392	394	574	180	45.7%
Conrtbn Printing/Phone Costs	111	101	136	35	34.7%
Central Administration	157	135	183	48	35.6%
Rent to University	486	430	453	23	5.3%
Research Building Fund	221	217	202	(15)	-6.9%
Conference Use of Facilities	70	73	70	(3)	-4.1%
General University Funds	10,793	11,486	11,945	459	4.0%
Total Payments to University :-	12,230	12,836	13,563	727	5.7%

COMPARISON OF 1995/96 FORECAST AND ACTUAL INCOME BY ACTIVITY

ANNEX 1.2

GROUP	ACTIVITY	1995/96 Original Forecast £000's	1995/96 Actual £000's	Variance £000's	Variance %
1A	WARWICK BUSINESS SCHOOL	3,870	4,081	211	5.5%
1B	WARWICK MANUFACTURING GROUP	8,277	8,985	708	8.6%
1C	HIGHER EDUCATION FOUNDATION PROGRAMME	471	448	(23)	-4.9%
1D	MISCELLANEOUS SHORT COURSES	584	515	(69)	-11.8%
1E	Centre for ENGLISH LANGUAGE TEACHER Education	1,307	1,284	(23)	-1.8%
1F	OVERSEAS STUDENTS	7,259	7,382	123	1.7%
1G	RESEARCH CONTRACTS	4,774	5,024	250	5.2%
1G2	RESEARCH GRANTS	10,506	10,062	(444)	-4.2%
1G3	TEACHING COMPANY SCHEMES	690	840	150	21.7%
1G4	RESEARCH - EUROPE	2,021	1,837	(184)	-9.1%
1I	STATISTICAL CONSULTANCY UNIT	0	0	0	-
1J	WARWICK RESEARCH INSTITUTE	700	966	266	38.0%
1L	Centre for EDUCATION & INDUSTRY	593	568	(25)	-4.2%
1L2	SCHOOLS CURRICULUM INDUSTRY PARTNERSHIP	527	451	(76)	-14.4%
1M	POST-GRADUATE MEDICAL EDUCATION	365	256	(109)	-29.9%
1O	MICROCOMPUTER APPLICATION CLINIC	39	0	(39)	-100.0%
1P	Centre for RESEARCH in ETHNIC RELATIONS	46	21	(25)	-54.3%
	<i>Sub-total</i>	<i>42,029</i>	<i>42,720</i>	<i>691</i>	
2A	BINDERY	186	171	(15)	-8.1%
2B	LIBRARY SERVICES	269	247	(22)	-8.2%
2C	PHOTOGRAPHIC UNIT	0	26	26	-
2D	EXPLOITATION, PATENTS & LICENSING	62	27	(35)	-56.5%
2E	LANGUAGE CENTRE	198	226	28	14.1%
2F	SPORTS CENTRE	185	217	32	17.3%
2F2	SPORTS CENTRE - CLIMBING ROOM	61	26	(35)	-57.4%
2G	COMPUTING SERVICES	138	178	40	29.0%
2H	PRINTING	1,089	1,047	(42)	-3.9%
2I	PROPERTY LEASING UNIT	2,473	2,562	89	3.6%
	<i>Sub-total</i>	<i>4,661</i>	<i>4,727</i>	<i>66</i>	
3A	BOOKSHOP	2,018	2,118	100	5.0%
3A2	TILEHILL BOOKSHOP	24	25	1	4.2%
3B	ARDEN HOUSE	1,607	1,617	10	0.6%
3C	RADCLIFFE HOUSE	2,424	2,622	198	8.2%
3D	SCARMAN HOUSE	4,033	4,266	233	5.8%
3F	CONFERENCES	1,960	1,809	(151)	-7.7%
3G	INVESTMENTS	1,302	1,350	48	3.7%
3H	LEASES OF LAND & PROPERTY	210	194	(16)	-7.6%
3I	STAFF HOUSING	143	148	5	3.5%
3J	HAIR SALON	53	35	(18)	-34.0%
3K	CAMPUS STORE	958	998	40	4.2%
3L	NEWSAGENCY	788	736	(52)	-6.6%
3M	PAYPHONES	432	389	(43)	-10.0%
3N	ENCORE	42	46	4	9.5%
3O	RETAIL SERVICES	121	106	(15)	-12.4%
	<i>Sub-total</i>	<i>16,115</i>	<i>16,459</i>	<i>344</i>	
4A	CATERING	4,512	4,840	328	7.3%
4B	RESIDENCES	6,389	6,336	(53)	-0.8%
4C	ARTS CENTRE	1,833	1,845	12	0.7%
4D	POST OFFICE	48	45	(3)	-6.3%
4E	PHOTOCOPYING	463	389	(74)	-16.0%
	<i>Sub-total</i>	<i>13,245</i>	<i>13,455</i>	<i>210</i>	
GRAND TOTAL (Before Inter-Category Charges)		76,050	77,361	1,311	

COMPARISON OF 1995/96 FORECAST AND ACTUAL CONTRIBUTION BY ACTIVITY

GROUP	ACTIVITY	1995/96 Original Forecast £000's	1995/96 Actual £000's	Variance £000's	Variance %
1A	WARWICK BUSINESS SCHOOL	1,325	1,326	1	0.1%
1B	WARWICK MANUFACTURING GROUP	2,673	2,683	10	0.4%
1C	HIGHER EDUCATION FOUNDATION PROGRAMME	173	171	(2)	-1.2%
1D	MISCELLANEOUS SHORT COURSES	175	180	5	2.9%
1E	Centre for ENGLISH LANGUAGE TEACHER Education	371	448	77	20.8%
1F	OVERSEAS STUDENTS	6,298	6,439	141	2.2%
1G	RESEARCH CONTRACTS	1,251	1,158	(93)	-7.4%
1G2	RESEARCH GRANTS	2,070	2,089	19	0.9%
1G3	TEACHING COMPANY SCHEMES	103	106	3	2.9%
1G4	RESEARCH - EUROPE	311	228	(83)	-26.7%
1I	STATISTICAL CONSULTANCY UNIT	0	0	0	-
1J	WARWICK RESEARCH INSTITUTE	(84)	(38)	46	54.8%
1L	Centre for EDUCATION & INDUSTRY	78	88	10	12.8%
1L2	SCHOOLS CURRICULUM INDUSTRY PARTNERSHIP	16	6	(10)	-62.5%
1M	POST-GRADUATE MEDICAL EDUCATION	58	25	(33)	-56.9%
1O	MICROCOMPUTER APPLICATION CLINIC	11	0	(11)	-100.0%
1P	Centre for RESEARCH in ETHNIC RELATIONS	4	(19)	(23)	-575.0%
	<i>Sub-total</i>	<i>14,833</i>	<i>14,890</i>	<i>57</i>	
2A	BINDERY	26	3	(23)	-88.5%
2B	LIBRARY SERVICES	76	77	1	1.3%
2C	PHOTOGRAPHIC UNIT	0	2	2	-
2D	EXPLOITATION, PATENTS & LICENSING	(39)	(38)	1	2.6%
2E	LANGUAGE CENTRE	48	54	6	12.5%
2F	SPORTS CENTRE	149	185	36	24.2%
2F2	SPORTS CENTRE - CLIMBING ROOM	57	26	(31)	-54.4%
2G	COMPUTING SERVICES	46	12	(34)	-73.9%
2H	PRINTING	98	79	(19)	-19.4%
2I	PROPERTY LEASING UNIT	97	99	2	2.1%
	<i>Sub-total</i>	<i>558</i>	<i>499</i>	<i>(59)</i>	
3A	BOOKSHOP	178	180	2	1.1%
3A2	TILEHILL BOOKSHOP	1	3	2	200.0%
3B	ARDEN HOUSE	504	552	48	9.5%
3C	RADCLIFFE HOUSE	922	1,100	178	19.3%
3D	SCARMAN HOUSE	531	987	456	85.9%
3F	CONFERENCES	244	126	(118)	-48.4%
3G	INVESTMENTS	1,302	1,350	48	3.7%
3H	LEASES OF LAND & PROPERTY	177	153	(24)	-13.6%
3I	STAFF HOUSING	64	92	28	43.8%
3J	HAIR SALON	7	2	(5)	-71.4%
3K	CAMPUS STORE	58	80	22	37.9%
3L	NEWSAGENCY	61	29	(32)	-52.5%
3M	PAYPHONES	119	158	39	32.8%
3N	ENCORE	1	0	(1)	-100.0%
3O	RETAIL SERVICES	(8)	3	11	137.5%
	<i>Sub-total</i>	<i>4,161</i>	<i>4,815</i>	<i>654</i>	
4A	CATERING	711	444	(267)	-37.6%
4B	RESIDENCES	914	893	(21)	-2.3%
4C	ARTS CENTRE	(362)	(344)	18	5.0%
4D	POST OFFICE	5	2	(3)	-60.0%
4E	PHOTOCOPYING	29	13	(16)	-55.2%
	<i>Sub-total</i>	<i>1,297</i>	<i>1,008</i>	<i>(289)</i>	
	GRAND TOTAL	20,849	21,212	363	

EARNED INCOME GROUP – INCOME 1990/91 to 1995/96

ANNEX 1.4

GROUP	ACTIVITY	1990/91 Actual £000's	1991/92 Actual £000's	1992/93 Actual £000's	1993/94 Actual £000's	1994/95 Actual £000's	1995/96 Actual £000's	% CHANGE
1A	Warwick Business School	3,912	4,012	4,301	3,988	3,655	4,081	4.3%
1B	Warwick Manufacturing Group	4,025	4,178	4,579	5,468	7,447	8,985	123.2%
1C	Higher Education Foundation Programme	320	452	264	344	390	448	40.0%
1D	Miscellaneous Short Courses	0	0	503	453	518	515	—
1E	Centre for English Language Teacher Ed.	577	655	722	768	963	1,284	122.5%
1F	Overseas Students	3,398	4,578	5,412	6,076	6,791	7,382	117.2%
1G	Research Contracts	4,308	5,386	5,184	4,440	5,471	5,024	16.6%
1G2	Research Grants	0	5,937	8,369	8,385	8,567	10,062	—
1G3	Teaching Companies	0	0	600	696	775	840	—
1G4	Research – Europe	0	0	0	1,920	1,510	1,837	—
1H	Biotechnology	604	603	619	0	0	0	—
1I	Statistical Consultancy Unit	29	67	74	54	0	0	—
1J	Warwick Research Institute	494	704	116	525	797	966	95.5%
1K	Advanced Technology Centre	2,078	1,659	1,451	1,456	0	0	—
1L	Centre for Education & Industry	0	1,541	294	569	429	568	—
1L2	Schools Curriculum Industry Partnership	0	0	995	666	525	451	—
1M	Post-Graduate Medical Education	0	106	134	245	290	256	—
1N	Ethnic Monitoring Consultancy	0	0	15	0	0	0	—
1O	Microcomputer Application Clinic	0	0	4	4	5	0	—
1P	Centre for Research in Ethnic Relations	0	0	0	0	0	21	—
		19,745	29,878	33,636	36,057	38,133	42,720	
2A	Bindery	0	122	143	154	176	171	—
	Business Information Service	110	0	0	0	0	0	—
2B	Library Services	184	209	241	262	267	247	34.2%
	Westwood Garage	0	0	27	0	0	0	—
2C	Photographic Unit	0	0	0	0	0	26	—
2D	Exploitation, Patents & Licensing	91	174	184	14	30	27	-70.3%
2E	Language Centre	187	199	225	209	189	226	20.9%
2F	Sports Centre	83	116	117	175	199	217	161.4%
2F2	Sports Centre – Climbing Room	0	0	0	0	0	26	—
2G	Computing Services	47	130	114	151	183	178	278.7%
2H	Printing	450	576	688	875	942	1,047	132.7%
2I	Property Leasing Unit	1,267	1,815	2,251	2,404	2,534	2,562	102.2%
		2,419	3,341	3,990	4,244	4,520	4,727	
3A	Bookshop	1,588	1,712	1,778	1,924	2,000	2,118	33.4%
3A2	Tilehill Bookshop	0	37	28	26	25	25	—
3B	Arden House	1,385	1,404	1,490	1,442	1,556	1,617	16.8%
3C	Radcliffe House	1,615	1,466	2,074	2,220	2,309	2,622	62.4%
3D	Scarman House	0	3,363	3,316	3,832	3,914	4,266	—
3E	Scarman House Shop	0	3	10	0	0	0	—
3F	Conferences	2,737	2,426	2,827	3,072	1,789	1,809	-33.9%
3G	Investments	792	983	999	898	1,271	1,350	70.5%
3H	Leases of Land & Property	162	173	168	165	151	194	19.8%
3I	Staff Housing	130	126	129	131	133	148	13.8%
3J	Hair Salon	0	8	28	26	38	35	—
3K	Campus Store	677	695	732	757	916	998	47.4%
3L	Newsagency	456	518	662	738	742	736	61.4%
3M	Payphones	276	261	352	402	393	389	40.9%
3N	Encore	91	72	56	45	44	46	-49.5%
3O	Retail Services	34	40	49	55	68	106	211.8%
		9,943	13,287	14,698	15,733	15,349	16,459	
4A	Catering	3,269	3,219	3,416	3,752	4,261	4,840	48.1%
4B	Residences	3,594	3,865	4,510	5,241	5,778	6,336	76.3%
4C	Arts Centre	1,466	1,545	1,697	1,694	1,783	1,845	25.9%
4D	Post Office	43	50	37	43	47	45	4.7%
4E	Photocopying	0	340	389	424	455	389	—
		8,372	9,019	10,049	11,154	12,324	13,455	
	LESS : Inter-Activity Income	(1,823)	(1,783)	(2,080)	(2,161)	(1,080)	(1,178)	
	GRAND TOTAL	38,656	53,742	60,293	65,027	69,246	76,183	97.1%

EARNED INCOME GROUP – CONTRIBUTION 1990/91 to 1995/96
ANNEX

GROUP	ACTIVITY	1990/91 Actual £000's	1991/92 Actual £000's	1992/93 Actual £000's	1993/94 Actual £000's	1994/95 Actual £000's	1995/96 Actual £000's	% CHAN
1A	Warwick Business School	1,128	1,345	1,538	1,319	1,244	1,326	17
1B	Warwick Manufacturing Group	1,217	1,267	1,326	1,562	2,449	2,683	120
1C	Higher Education Foundation Programme	93	135	71	129	142	171	83
1D	Miscellaneous Short Courses	0	0	159	103	135	180	
1E	Centre for English Language Teacher Ed.	208	219	204	203	223	448	115
1F	Overseas Students	3,398	4,578	4,792	5,378	6,007	6,439	85
1G	Research Contracts	747	1,075	1,048	1,221	1,394	1,158	55
1G2	Research Grants	0	36	1,416	1,636	1,862	2,089	
1G3	Teaching Companies	0	0	79	87	109	106	
1G4	Research – Europe	0	0	0	219	193	228	
1H	Biotechnology	70	53	11	0	0	0	
1I	Statistical Consultancy Unit	10	16	16	15	0	0	
1J	Warwick Research Institute	(19)	65	(167)	(143)	(67)	(38)	-100
1K	Advanced Technology Centre	660	673	664	681	0	0	
1L	Centre for Education & Industry	0	166	20	83	11	88	
1L2	Schools Curriculum Industry Partnership	0	0	(78)	(77)	(251)	6	
1M	Post-Graduate Medical Education	0	8	9	(1)	24	25	
1N	Ethnic Monitoring Consultancy	0	0	(10)	0	0	0	
1O	Microcomputer Application Clinic	0	0	(2)	2	2	0	
1P	Centre for Research in Ethnic Relations	0	0	0	0	(34)	(19)	
		7,512	9,636	11,096	12,417	13,443	14,890	
2A	Bindery	0	2	10	14	25	3	
	Business Information Service	10	0	0	0	0	0	
2B	Library Services	78	88	106	115	110	77	-1
	Westwood Garage	0	0	(16)	0	0	0	
2C	Photographic Unit	0	0	0	0	0	2	
2D	Exploitation, Patents & Licensing	84	100	76	(17)	(18)	(38)	-145
2E	Language Centre	53	64	55	52	44	54	1
2F	Sports Centre	83	102	76	137	163	185	122
2F2	Sports Centre – Climbing Room	0	0	0	0	0	26	
2G	Computing Services	47	60	58	47	59	12	-74
2H	Printing	3	(9)	37	85	85	79	2533
2I	Property Leasing Unit	25	80	(16)	27	10	99	296
		383	487	386	460	478	499	
3A	Bookshop	166	129	136	142	167	180	8
3A2	Tilehill Bookshop	0	7	4	2	2	3	
3B	Arden House	530	478	532	486	554	552	4
3C	Radcliffe House	792	586	887	918	929	1,100	38
3D	Scarman House	0	658	440	1,030	796	987	
3E	Scarman House Shop	0	(3)	2	0	0	0	
3F	Conferences	568	246	443	550	153	126	-77
3G	Investments	792	983	999	898	1,271	1,350	70
3H	Leases of Land & Property	156	97	90	127	120	153	-1
3I	Staff Housing	52	54	54	72	67	92	76
3J	Hair Salon	0	(5)	(6)	1	2	2	
3K	Campus Store	40	41	53	49	62	80	100
3L	Newsagency	35	44	55	58	65	29	-17
3M	Payphones	64	30	109	125	91	158	146
3N	Encore	11	(2)	(1)	5	(1)	0	
3O	Retail Services	(55)	(60)	(35)	(39)	(65)	3	-94
		3,151	3,283	3,762	4,424	4,213	4,815	
4A	Catering	121	(18)	163	277	485	444	266
4B	Residences	537	772	818	1,120	925	893	66
4C	Arts Centre	(171)	(278)	(274)	(314)	(345)	(344)	-101
4D	Post Office	1	8	(2)	2	3	2	100
4E	Photocopy	0	(10)	55	66	62	13	
		488	474	760	1,151	1,130	1008	
	GRAND TOTAL	11,534	13,880	16,004	18,452	19,264	21,212	83

EARNED INCOME GROUP - GEN UNIVERSITY FUNDS 1990/91 to 1995/96

ANNEX 1.5

GROUP	ACTIVITY	1990/91 Actual £000's	1991/92 Actual £000's	1992/93 Actual £000's	1993/94 Actual £000's	1994/95 Actual £000's	1995/96 Actual £000's	% CHANGE
1A	Warwick Business School	554	588	611	594	595	628	13.4%
1B	Warwick Manufacturing Group	699	757	758	880	1,149	1,231	78.1%
1C	Higher Education Foundation Programme	93	135	71	129	142	171	83.5%
1D	Miscellaneous Short Courses	0	0	63	65	79	98	—
1E	Centre for English Language Teacher Ed.	172	113	78	107	81	464	134.5%
1F	Overseas Students	1,984	2,731	2,499	2,870	3,170	3,445	73.6%
1G	Research Contracts	559	741	723	651	740	553	4.3%
1G2	Research Grants	0	33	1,418	1,612	1,865	2,089	—
1G3	Teaching Companies	0	0	79	87	109	106	—
1G4	Research - Europe	0	0	0	203	182	212	—
1H	Biotechnology	54	40	8	0	0	0	—
1I	Statistical Consultancy Unit	6	12	12	11	0	0	—
1J	Warwick Research Institute	(19)	20	0	0	20	(103)	-42.1%
1K	Advanced Technology Centre	235	235	230	212	0	0	—
1L	Centre for Education & Industry	0	99	38	65	66	65	—
1L2	Schools Curriculum Industry Partnership	0	0	42	42	0	0	—
1M	Post-Graduate Medical Education	0	0	0	0	0	0	—
1N	Ethnic Monitoring Consultancy	0	0	(4)	0	0	0	—
1O	Microcomputer Application Clinic	0	0	(2)	1	1	0	—
1P	Centre for Research in Ethnic Relations	0	0	0	0	(34)	(14)	—
		4,337	5,504	6,624	7,529	8,165	8,915	
2A	Biology	0	0	7	4	19	(5)	—
	Business Information Service	4	0	0	0	0	0	—
2B	Library Services	78	71	75	92	84	58	-25.6%
	Westwood Garage	0	0	(16)	0	0	0	—
2C	Photographic Unit	0	0	0	0	0	0	—
2D	Exploitation, Patents & Licensing	84	76	50	(17)	(18)	(38)	-145.2%
2E	Language Centre	53	64	55	52	44	43	-18.3%
2F	Sports Centre	83	84	64	116	136	167	101.2%
2F2	Sports Centre - Climbing Room	0	0	0	0	0	0	—
2G	Computing Services	47	60	50	47	55	5	-89.4%
2H	Printing	0	0	0	0	0	0	—
2I	Property Leasing Unit	25	67	(86)	(32)	(40)	52	188.0%
		374	422	225	262	280	282	
3A	Bookshop	102	(26)	(12)	17	30	44	-56.9%
3A2	Tilehill Bookshop	0	6	4	2	2	3	—
3B	Arden House	279	218	266	146	228	273	-2.2%
3C	Radcliffe House	0	0	0	0	121	116	—
3D	Scarman House	0	465	338	1,099	862	1,081	—
3E	Scarman House Shop	0	(3)	2	0	0	0	—
3F	Conferences	0	0	0	0	0	0	—
3G	Investments	792	983	999	898	1,271	1,350	70.5%
3H	Leases of Land & Property	154	97	90	127	120	153	-0.6%
3I	Staff Housing	29	29	29	46	41	65	124.1%
3J	Hair Salon	0	(5)	(10)	(3)	(3)	(3)	—
3K	Campus Store	(1)	(14)	12	8	9	24	2300.0%
3L	Newsagency	15	21	11	10	32	(5)	-133.3%
3M	Payphones	0	0	0	0	0	0	—
3N	Encore	2	(8)	(4)	2	(3)	(2)	-200.0%
3O	Retail Services	(55)	(60)	(35)	(39)	(65)	3	-84.5%
		1,317	1,703	1,690	2,313	2,645	3,102	
4A	Catering	(70)	(70)	(70)	(70)	0	0	—
4B	Residences	0	0	0	0	0	0	—
4C	Arts Centre	(191)	(263)	(281)	(339)	(353)	(362)	-85.3%
4D	Post Office	0	1	(5)	(1)	(1)	(1)	—
4E	Photocopying	0	(10)	51	62	57	9	—
		(261)	(342)	(305)	(348)	(297)	(354)	
	GRAND TOTAL	5,767	7,287	8,234	9,756	10,793	11,945	107.1%

Summary Tables on Earned Income Projections

1994/95 to 1999/2000

- 2.1 1994/95 to 1999/2000 Plans Summary
- 2.2 Forecast Income 1995/96 to 1999/2000 by activity
- 2.3 Forecast Contribution 1995/96 to 1999/2000 by activity
- 2.4 Forecast General University Funds 1995/96 to 1999/2000 by activity

EARNED INCOME 5-YEAR PLANS 1994/95 to 1999/2000 SUMMARY

ANNEX 2.1

All columns except column 1 (1994/95 Actual) are at 1995/96 prices.

	1994 / 95 Actual £ 000's	1995 / 96 Original Forecast £ 000's	1995 / 96 Actual £ 000's	1996 / 97 Forecast £ 000's	1997 / 98 Forecast £ 000's	1998 / 99 Forecast £ 000's	1999 / 2000 Forecast £ 000's
INCOME							
Academic Driven	38,133	42,029	42,720	42,366	44,292	44,825	44,708
Spin-off	4,520	4,661	4,727	4,856	4,961	5,034	5,078
Stand Alone	15,349	16,115	16,459	16,194	15,680	16,143	16,748
Self-financing	12,324	13,245	13,455	13,905	13,851	13,841	13,938
Less Inter-category income	(1,080)	(1,205)	(1,178)	(1,209)	(1,212)	(1,216)	(1,220)
GRAND TOTAL INCOME	69,246	74,845	76,183	76,112	77,572	78,627	79,252
EXPENDITURE							
Academic Driven	24,690	27,196	27,830	27,327	28,272	28,179	27,790
Spin-off	4,042	4,103	4,228	4,260	4,303	4,318	4,349
Stand Alone	11,136	11,954	11,644	11,954	11,822	12,097	12,420
Self-financing	11,194	11,948	12,447	12,876	12,867	12,856	12,883
Less Inter-category charges	(1,080)	(1,205)	(1,178)	(1,209)	(1,212)	(1,216)	(1,220)
GRAND TOTAL EXPENDITURE	49,982	53,996	54,971	55,208	56,052	56,234	56,222
GRAND TOTAL CONTRIBUTION	19,264	20,849	21,212	20,904	21,520	22,393	23,030
CONTRIBUTION as % INCOME	27.8%	27.9%	27.8%	27.5%	27.7%	28.5%	29.1%
Composed of:							
Overheads	6,144	6,467	6,457	6,397	6,811	7,107	7,092
Surplus	13,120	14,382	14,755	14,507	14,709	15,286	15,938
Distributed to:							
Departmental Funds	4,438	5,024	4,831	5,110	5,660	5,915	6,126
Renwls & Improvmnts Funds	1,837	2,206	1,778	1,800	1,717	1,748	1,961
Limited Co. Adjustments	(109)	(183)	(148)	(188)	(38)	(134)	(279)
Foundation Fund Repayments	639	730	959	826	788	825	958
Capital Fund Repayments	229	236	229	34	0	0	0
	7,034	8,013	7,649	7,582	8,127	8,354	8,766
Payments to University :-							
Internal Loan Repayments	392	394	574	418	278	276	226
Contrbtn Printing/Phone Costs	111	101	136	190	236	245	257
Central Administration	157	135	183	139	144	145	146
Rent to University	486	430	453	635	669	669	669
Research Building Fund	221	217	202	159	192	230	246
Conference Use of Facilities	70	73	70	118	118	117	120
General University Funds	10,793	11,486	11,945	11,663	11,756	12,357	12,600
Total Payments to University :-	12,230	12,836	13,563	13,322	13,393	14,039	14,264

FORECAST INCOME 1995/96 to 1999/2000 BY ACTIVITY

ANNEX

GROUP	ACTIVITY	1995/96 Actual £000's	1996/97 Forecast £000's	1997/98 Forecast £000's	1998/99 Forecast £000's	1999/ Forecast £000's
1A	WARWICK BUSINESS SCHOOL	4,081	4,756	4,907	4,813	
1B	WARWICK MANUFACTURING GROUP	8,985	8,876	8,754	8,766	
1C	HIGHER EDUCATION FOUNDATION PROGRAMME	448	467	463	463	
1D	MISCELLANEOUS SHORT COURSES	515	948	1,081	1,162	
1E	Centre for ENGLISH LANGUAGE TEACHER Education	1,284	1,304	1,454	1,513	
1F	OVERSEAS STUDENTS	7,382	7,257	7,720	7,978	
1G	RESEARCH CONTRACTS	5,024	4,074	5,300	5,985	
1G2	RESEARCH GRANTS	10,062	10,573	10,433	9,953	
1G3	TEACHING COMPANY SCHEMES	840	850	975	1,050	
1G4	RESEARCH - EUROPE	1,837	2,028	2,039	1,929	
1I	STATISTICAL CONSULTANCY UNIT	0	50	60	80	
1J	WARWICK RESEARCH INSTITUTE	966	0	0	0	
1L	Centre for EDUCATION & INDUSTRY	568	820	722	739	
1L2	SCHOOLS CURRICULUM INDUSTRY PARTNERSHIP	451	0	0	0	
1M	POST-GRADUATE MEDICAL EDUCATION	256	318	354	367	
1O	MICROCOMPUTER APPLICATION CLINIC	0	0	0	0	
1P	Centre for RESEARCH in ETHNIC RELATIONS	21	45	30	27	
	<i>Sub-total</i>	<i>42,720</i>	<i>42,366</i>	<i>44,292</i>	<i>44,825</i>	<i>44,825</i>
2A	BINDERY	171	187	190	194	
2B	LIBRARY SERVICES	247	265	265	297	
2C	PHOTOGRAPHIC UNIT	26	36	54	69	
2D	EXPLOITATION, PATENTS & LICENSING	27	50	50	60	
2E	LANGUAGE CENTRE	226	200	205	210	
2F	SPORTS CENTRE	217	205	207	209	
2F2	SPORTS CENTRE - CLIMBING ROOM	26	40	44	48	
2G	COMPUTING SERVICES	178	143	179	149	
2H	PRINTING	1,047	1,122	1,159	1,190	
2I	PROPERTY LEASING UNIT	2,562	2,608	2,608	2,608	
	<i>Sub-total</i>	<i>4,727</i>	<i>4,856</i>	<i>4,961</i>	<i>5,034</i>	<i>5,034</i>
3A	BOOKSHOP	2,118	2,163	2,204	2,245	
3A2	TILEHILL BOOKSHOP	25	25	26	26	
3B	ARDEN HOUSE	1,617	1,608	1,612	1,617	
3C	RADCLIFFE HOUSE	2,622	2,576	2,560	2,604	
3D	SCARMAN HOUSE	4,266	4,054	3,644	3,915	
3F	CONFERENCES	1,809	1,783	1,786	1,790	
3G	INVESTMENTS	1,350	1,211	1,002	1,030	
3H	LEASES OF LAND & PROPERTY	194	195	191	188	
3I	STAFF HOUSING	148	138	138	138	
3J	HAIR SALON	35	53	55	56	
3K	CAMPUS STORE	998	1,051	1,077	1,104	
3L	NEWSAGENCY	736	772	811	851	
3M	PAYPHONES	389	394	399	399	
3N	ENCORE	46	47	48	49	
3O	RETAIL SERVICES	106	124	127	131	
	<i>Sub-total</i>	<i>16,459</i>	<i>16,194</i>	<i>15,680</i>	<i>16,143</i>	<i>16,143</i>
4A	CATERING	4,840	4,694	4,651	4,654	
4B	RESIDENCES	6,336	6,963	6,963	6,963	
4C	ARTS CENTRE	1,845	1,823	1,822	1,818	
4D	POST OFFICE	45	50	51	52	
4E	PHOTOCOPYING	389	375	364	354	
	<i>Sub-total</i>	<i>13,455</i>	<i>13,905</i>	<i>13,851</i>	<i>13,841</i>	<i>13,841</i>
GRAND TOTAL (Before Inter-Category Charges)		77,361	77,321	78,784	79,843	80,400

FORECAST CONTRIBUTION 1995/96 to 1999/2000 BY ACTIVITY

ANNEX 2.3

GROUP	ACTIVITY	1995/96	1996/97	1997/98	1998/99	1999/2000
		Actual	Forecast	Forecast	Forecast	Forecast
		£000's	£000's	£000's	£000's	£000's
1A	WARWICK BUSINESS SCHOOL	1,326	1,592	1,666	1,615	1,586
1B	WARWICK MANUFACTURING GROUP	2,683	2,850	2,822	2,834	2,834
1C	HIGHER EDUCATION FOUNDATION PROGRAMME	171	152	151	150	149
1D	MISCELLANEOUS SHORT COURSES	180	199	287	427	480
1E	Centre for ENGLISH LANGUAGE TEACHER Education	448	379	422	439	345
1F	OVERSEAS STUDENTS	6,439	6,220	6,635	6,843	7,136
1G	RESEARCH CONTRACTS	1,158	984	1,203	1,434	1,539
1G2	RESEARCH GRANTS	2,089	2,096	2,163	2,143	2,049
1G3	TEACHING COMPANY SCHEMES	106	127	195	257	330
1G4	RESEARCH-EUROPE	228	253	304	303	240
1I	STATISTICAL CONSULTANCY UNIT	0	14	17	23	29
1J	WARWICK RESEARCH INSTITUTE	(38)	0	0	0	0
1L	Centre for EDUCATION & INDUSTRY	88	126	87	103	115
1L2	SCHOOLS CURRICULUM INDUSTRY PARTNERSHIP	6	0	0	0	0
1M	POST-GRADUATE MEDICAL EDUCATION	25	42	78	88	96
1O	MICROCOMPUTER APPLICATION CLINIC	0	0	0	0	0
1P	Centre for RESEARCH in ETHNIC RELATIONS	(19)	5	(10)	(13)	(10)
	<i>Sub-total</i>	<i>14,890</i>	<i>15,039</i>	<i>16,020</i>	<i>16,646</i>	<i>16,918</i>
2A	BINDERY	3	30	34	35	36
2B	LIBRARY SERVICES	77	79	71	101	93
2C	PHOTOGRAPHIC UNIT	2	(2)	(5)	3	4
2D	EXPLOITATION, PATENTS & LICENSING	(38)	(58)	(58)	(54)	(54)
2E	LANGUAGE CENTRE	54	47	48	51	51
2F	SPORTS CENTRE	185	150	169	171	173
2F2	SPORTS CENTRE-CLIMBING ROOM	26	39	43	47	52
2G	COMPUTING SERVICES	12	44	51	46	44
2H	PRINTING	79	112	149	160	174
2I	PROPERTY LEASING UNIT	99	155	156	156	156
	<i>Sub-total</i>	<i>499</i>	<i>596</i>	<i>658</i>	<i>716</i>	<i>729</i>
3A	BOOKSHOP	180	196	217	223	229
3A2	TILEHILL BOOKSHOP	3	1	1	1	1
3B	ARDEN HOUSE	552	489	489	488	488
3C	RADCLIFFE HOUSE	1,100	1,000	1,001	1,029	1,152
3D	SCARMAN HOUSE	987	690	485	599	568
3F	CONFERENCES	126	118	117	117	261
3G	INVESTMENTS	1,350	1,211	1,002	1,030	1,059
3H	LEASES OF LAND & PROPERTY	153	167	163	160	158
3I	STAFF HOUSING	92	60	60	60	60
3J	HAIR SALON	2	8	12	13	13
3K	CAMPUS STORE	80	73	75	79	81
3L	NEWSAGENCY	29	54	59	65	73
3M	PAYPHONES	158	157	159	159	159
3N	ENCORE	0	2	2	3	3
3O	RETAIL SERVICES	3	14	16	20	23
	<i>Sub-total</i>	<i>4,815</i>	<i>4,240</i>	<i>3,858</i>	<i>4,046</i>	<i>4,328</i>
4A	CATERING	444	438	387	382	454
4B	RESIDENCES	893	940	940	940	940
4C	ARTS CENTRE	(344)	(360)	(354)	(347)	(348)
4D	POST OFFICE	2	5	5	5	5
4E	PHOTOCOPYING	13	6	6	5	4
	<i>Sub-total</i>	<i>1,008</i>	<i>1,029</i>	<i>984</i>	<i>985</i>	<i>1,055</i>
GRAND TOTAL		21,212	20,904	21,520	22,393	23,030

FORECAST GENERAL UNIVERSITY FUNDS 1995/96 to 1999/2000

ANNEX

GROUP	ACTIVITY	1995/96 Actual £000's	1996/97 Forecast £000's	1997/98 Forecast £000's	1998/99 Forecast £000's	1999/2000 Forecast £000's
1A	WARWICK BUSINESS SCHOOL	628	676	691	683	
1B	WARWICK MANUFACTURING GROUP	1,231	1,255	1,239	1,247	1
1C	HIGHER EDUCATION FOUNDATION PROGRAMME	171	152	151	150	
1D	MISCELLANEOUS SHORT COURSES	98	136	185	259	
1E	Centre for ENGLISH LANGUAGE TEACHER Education	404	332	369	383	
1F	OVERSEAS STUDENTS	3,445	3,318	3,547	3,652	3
1G	RESEARCH CONTRACTS	583	516	631	753	
1G2	RESEARCH GRANTS	2,089	2,096	2,163	2,143	2
1G3	TEACHING COMPANY SCHEMES	106	127	195	257	
1G4	RESEARCH - EUROPE	212	235	250	234	
1I	STATISTICAL CONSULTANCY UNIT	0	7	8	12	
1J	WARWICK RESEARCH INSTITUTE	(103)	0	0	0	
1L	Centre for EDUCATION & INDUSTRY	65	87	54	55	
1L2	SCHOOLS CURRICULUM INDUSTRY PARTNERSHIP	0	0	0	0	
1M	POST-GRADUATE MEDICAL EDUCATION	0	0	0	0	
1O	MICROCOMPUTER APPLICATION CLINIC	0	0	0	0	
1P	Centre for RESEARCH in ETHNIC RELATIONS	(14)	3	(1)	(2)	
	<i>Sub-total</i>	<i>8,915</i>	<i>8,940</i>	<i>9,482</i>	<i>9,826</i>	<i>9</i>
2A	BINDERY	(5)	22	26	27	
2B	LIBRARY SERVICES	58	60	53	77	
2C	PHOTOGRAPHIC UNIT	0	(6)	(9)	(1)	
2D	EXPLOITATION, PATENTS & LICENSING	(38)	(58)	(58)	(54)	
2E	LANGUAGE CENTRE	43	38	38	41	
2F	SPORTS CENTRE	167	127	146	148	
2F2	SPORTS CENTRE - CLIMBING ROOM	0	0	0	0	
2G	COMPUTING SERVICES	5	41	48	43	
2H	PRINTING	0	0	0	0	
2I	PROPERTY LEASING UNIT	52	98	99	99	
	<i>Sub-total</i>	<i>282</i>	<i>322</i>	<i>343</i>	<i>380</i>	
3A	BOOKSHOP	44	62	82	87	
3A2	TILEHILL BOOKSHOP	3	0	0	0	
3B	ARDEN HOUSE	273	290	290	289	
3C	RADCLIFFE HOUSE	116	80	139	99	
3D	SCARMAN HOUSE	1,081	849	492	702	
3F	CONFERENCES	0	0	0	0	
3G	INVESTMENTS	1,350	1,211	1,002	1,030	1
3H	LEASES OF LAND & PROPERTY	153	167	163	160	
3I	STAFF HOUSING	65	37	37	37	
3J	HAIR SALON	(3)	2	7	8	
3K	CAMPUS STORE	24	25	27	31	
3L	NEWSAGENCY	(5)	20	26	31	
3M	PAYPHONES	0	0	0	0	
3N	ENCORE	(2)	0	0	1	
3O	RETAIL SERVICES	3	14	16	20	
	<i>Sub-total</i>	<i>3,102</i>	<i>2,757</i>	<i>2,281</i>	<i>2,495</i>	<i>2</i>
4A	CATERING	0	0	0	0	
4B	RESIDENCES	0	0	0	0	
4C	ARTS CENTRE	(362)	(360)	(354)	(347)	
4D	POST OFFICE	(1)	2	2	2	
4E	PHOTOCOPYING	9	2	2	1	
	<i>Sub-total</i>	<i>(354)</i>	<i>(356)</i>	<i>(350)</i>	<i>(344)</i>	
GRAND TOTAL		11,945	11,663	11,756	12,357	12

Detailed Activity Tables - 1994/95 to 1999/2000

3.1	-	Academic Driven
3.2	-	Spin-off
3.3	-	Stand Alone
3.4	-	Self-financing

EARNED INCOME 5-YEAR PLANS 1995/96 DETAILS BY ACTIVITY

ANNEX 3.1

ACADEMIC DRIVEN	1994 / 95	1995 / 96	1995 / 96	1996 / 97	1997 / 98	1998 / 99	1999 / 2000
	Actual	Original Forecast	Actual	Forecast	Forecast	Forecast	Forecast
	£ 000's	£ 000's	£ 000's	£ 000's	£ 000's	£ 000's	£ 000's

SUMMARY

INCOME	38,133	42,029	42,720	42,366	44,292	44,825	44,700
EXPENDITURE	24,690	27,196	27,830	27,327	28,272	28,179	27,790
CONTRIBUTION	13,443	14,833	14,890	15,039	16,020	16,646	16,910

composed of:

overhead	6,144	6,467	6,457	6,397	6,811	7,107	7,090
surplus	7,299	8,366	8,433	8,642	9,209	9,539	9,820
	13,443	14,833	14,890	15,039	16,020	16,646	16,910

<i>overhead as % of income</i>	<i>16.1%</i>	<i>15.4%</i>	<i>15.1%</i>	<i>15.1%</i>	<i>15.4%</i>	<i>15.9%</i>	<i>15.9%</i>
<i>surplus as % of income</i>	<i>19.1%</i>	<i>19.9%</i>	<i>19.7%</i>	<i>20.4%</i>	<i>20.8%</i>	<i>21.3%</i>	<i>22.0%</i>

Distributed to:							
Departmental Funds	4,409	5,001	4,787	5,086	5,636	5,886	6,090
Foundation Fund	(135)	0	29	0	0	0	
Capital Fund Repayments	229	236	229	34	0	0	
	4,503	5,237	5,045	5,120	5,636	5,886	6,090
Payments to University :-							
internal loan repayments	229	228	421	352	208	202	140
central administration	0	0	20	0	0	0	
rent to University	325	265	287	468	502	502	500
research building fund	221	217	202	159	192	230	240
general University funds	8,165	8,886	8,915	8,940	9,482	9,826	9,920
Total Payments to University	8,940	9,596	9,845	9,919	10,384	10,760	10,810
Total Distributed:	13,443	14,833	14,890	15,039	16,020	16,646	16,910

EARNED INCOME 5-YEAR PLANS 1995/96 DETAILS BY ACTIVITY

ANNEX 3.1

ACADEMIC DRIVEN	1994 / 95	1995 / 96	1995 / 96	1996 / 97	1997 / 98	1998 / 99	1999 / 2000
	Actual	Original	Actual	Forecast	Forecast	Forecast	Forecast
	£ 000's	£ 000's	£ 000's	£ 000's	£ 000's	£ 000's	£ 000's

WARWICK BUSINESS SCHOOL TOTAL (1A)

INCOME	3,655	3,870	4,081	4,756	4,907	4,813	4,736
EXPENDITURE	2,411	2,545	2,755	3,164	3,241	3,198	3,150
CONTRIBUTION	1,244	1,325	1,326	1,592	1,666	1,615	1,586
<u>composed of:</u>							
overhead	703	715	764	882	913	890	873
surplus	541	610	562	710	753	725	713
<u>distributed to:</u>							
departmental funds	420	444	427	537	567	543	582
development funds	61	88	103	216	250	235	224
internal loan repayments	168	168	168	163	158	154	100
general University funds	595	625	628	676	691	683	680

Business Management Systems (included in 1A)

INCOME	37	0	0	0	0	0	0
EXPENDITURE	27	0	0	0	0	0	0
CONTRIBUTION	10	0	0	0	0	0	0
<u>composed of:</u>							
overhead	4	0	0	0	0	0	0
surplus	6	0	0	0	0	0	0
<u>distributed to:</u>							
departmental funds	4	0	0	0	0	0	0
general University funds	6	0	0	0	0	0	0

Consortium M.B.A. (included in 1A)

INCOME	21	0	0	0	0	0	0
EXPENDITURE	18	0	0	0	0	0	0
CONTRIBUTION	3	0	0	0	0	0	0
<u>composed of:</u>							
overhead	6	0	0	0	0	0	0
surplus	(3)	0	0	0	0	0	0
<u>distributed to:</u>							
departmental funds	0	0	0	0	0	0	0
general University funds	3	0	0	0	0	0	0

EARNED INCOME 5-YEAR PLANS 1995/96 DETAILS BY ACTIVITY
ANNEX 3.1

ACADEMIC DRIVEN	1994 / 95	1995 / 96	1995 / 96	1996 / 97	1997 / 98	1998 / 99	1999 / 2000
	Actual	Original	Actual	Forecast	Forecast	Forecast	Forecast
	£ 000's	£ 000's	£ 000's	£ 000's	£ 000's	£ 000's	£ 000's

M.B.A. Distance Learning (included in 1A)
*** Please Note : This now includes Wolsey Hall Buy-out.*

INCOME	1,896	1,842	1,872	1,901	1,890	1,850	1,819
EXPENDITURE	1,104	1,125	1,146	1,171	1,168	1,157	1,144
CONTRIBUTION	792	717	726	730	722	693	675
<u>composed of:</u>							
overhead	356	322	336	340	343	334	328
surplus	436	395	390	390	379	359	347
<u>distributed to:</u>							
departmental funds	448	407	402	404	394	374	362
general University funds	344	310	324	326	328	319	313

Marketing Initiative (included in 1A)

INCOME	98	0	17	0	0	0	0
EXPENDITURE	87	0	23	0	0	0	0
CONTRIBUTION	11	0	(6)	0	0	0	0
<u>composed of:</u>							
overhead	21	0	3	0	0	0	0
surplus	(10)	0	(9)	0	0	0	0
<u>distributed to:</u>							
departmental funds	0	0	(2)	0	0	0	0
general University funds	11	0	(4)	0	0	0	0

Modular M.B.A. (included in 1A)

INCOME	47	0	0	0	0	0	0
EXPENDITURE	56	0	0	0	0	0	0
CONTRIBUTION	(9)	0	0	0	0	0	0
<u>composed of:</u>							
overhead	5	0	0	0	0	0	0
surplus	(14)	0	0	0	0	0	0
<u>distributed to:</u>							
departmental funds	(6)	0	0	0	0	0	0
general University funds	(3)	0	0	0	0	0	0

EARNED INCOME 5-YEAR PLANS 1995/96 DETAILS BY ACTIVITY

ANNEX 3.1

ACADEMIC DRIVEN	1994 / 95	1995 / 96	1995 / 96	1996 / 97	1997 / 98	1998 / 99	1999 / 2000
	Actual	Original Forecast	Actual	Forecast	Forecast	Forecast	Forecast
	£ 000's	£ 000's	£ 000's	£ 000's	£ 000's	£ 000's	£ 000's

Modular Programmes (included in 1A)

INCOME	336	567	581	676	744	783	803
EXPENDITURE	254	422	421	467	488	497	501
CONTRIBUTION	82	145	160	209	256	286	302
<u>composed of:</u>							
overhead	70	115	116	129	136	138	140
surplus	12	30	44	80	120	148	162
<u>distributed to:</u>							
departmental funds	23	43	51	72	94	108	116
general University funds	59	102	109	137	162	178	186

Evening M.B.A. (included in 1A)

*** Please Note : This activity was formerly called Part Time MBA*

INCOME	437	469	478	595	627	627	627
EXPENDITURE	301	316	333	414	432	432	432
CONTRIBUTION	136	153	145	181	195	195	195
<u>composed of:</u>							
overhead	94	100	98	108	113	113	113
surplus	42	53	47	73	82	82	82
<u>distributed to:</u>							
departmental funds	44	52	48	63	69	69	69
general University funds	92	101	97	118	126	126	126

Short Courses (included in 1A)

INCOME	447	622	769	887	887	793	727
EXPENDITURE	294	387	518	542	536	494	455
CONTRIBUTION	153	235	251	345	351	299	272
<u>composed of:</u>							
overhead	113	139	171	188	188	171	158
surplus	40	96	80	157	163	128	114
<u>distributed to:</u>							
departmental funds	48	82	83	126	129	107	97
general University funds	105	153	168	219	222	192	175

EARNED INCOME 5-YEAR PLANS 1995/96 DETAILS BY ACTIVITY

ANNEX 3.1

ACADEMIC DRIVEN	1994 / 95	1995 / 96	1995 / 96	1996 / 97	1997 / 98	1998 / 99	1999 / 2000
	Actual	Original	Actual	Forecast	Forecast	Forecast	Forecast
	£ 000's	Forecast £ 000's	£ 000's	£ 000's	£ 000's	£ 000's	£ 000's
Small & Medium Enterprise Centre (inc in 1A)							
INCOME	336	370	364	397	397	397	397
EXPENDITURE	270	295	314	345	346	346	346
CONTRIBUTION	66	75	50	52	51	51	51
<u>composed of:</u>							
overhead	34	39	40	42	43	43	43
surplus	32	36	10	10	8	8	8
<u>distributed to:</u>							
departmental funds	25	28	15	15	15	15	15
general University funds	41	47	35	37	36	36	36
M.Sc Economics & Finance (inc in 1A)							
INCOME	0	0	0	300	362	363	363
EXPENDITURE	0	0	0	225	271	272	272
CONTRIBUTION	0	0	0	75	91	91	91
<u>composed of:</u>							
overhead	0	0	0	75	90	91	91
surplus	0	0	0	0	1	0	0
<u>distributed to:</u>							
departmental funds	0	0	0	19	23	23	23
general University funds	0	0	0	56	68	68	68
WARWICK MANUFACTURING GROUP TOTAL (1B)							
<i>** Please Note : This includes the Advanced Technology Centre from 1995/96.</i>							
INCOME	7,447	8,277	8,985	8,876	8,754	8,766	8,766
EXPENDITURE	4,998	5,604	6,302	6,026	5,932	5,932	5,932
CONTRIBUTION	2,449	2,673	2,683	2,850	2,822	2,834	2,834
<u>composed of:</u>							
overhead	1,483	1,476	1,671	1,540	1,524	1,534	1,534
surplus	966	1,197	1,012	1,310	1,298	1,300	1,300
<u>distributed to:</u>							
departmental funds	793	940	683	904	1,031	1,037	1,038
capital fund repayments	229	236	229	34	0	0	0
internal loan repayments	61	60	253	189	50	48	47
rent to University	217	265	287	468	502	502	502
general University funds	1,149	1,172	1,231	1,255	1,239	1,247	1,247

EARNED INCOME 5-YEAR PLANS 1995/96 DETAILS BY ACTIVITY

ANNEX 3.1

ACADEMIC DRIVEN	1994 / 95	1995 / 96	1995 / 96	1996 / 97	1997 / 98	1998 / 99	1999 / 2000
	Actual	Original	Actual	Forecast	Forecast	Forecast	Forecast
	£ 000's	£ 000's	£ 000's	£ 000's	£ 000's	£ 000's	£ 000's

Computer Aided Design Courses (included in 1B)

INCOME	1,266	2,215	2,215	2,460	2,460	2,460	2,460
EXPENDITURE	886	1,700	1,700	1,802	1,802	1,802	1,802
CONTRIBUTION	380	515	515	658	658	658	658
<u>composed of:</u>							
overhead	199	197	197	234	234	234	234
surplus	181	318	318	424	424	424	424
<u>distributed to:</u>							
departmental funds	140	208	208	271	271	271	271
general University funds	240	307	307	387	387	387	387

Full-Time M.Sc (included in 1B)

INCOME	1,079	963	1,062	1,091	1,091	1,091	1,091
EXPENDITURE	682	563	702	660	660	660	660
CONTRIBUTION	397	400	360	431	431	431	431
<u>composed of:</u>							
overhead	183	156	200	154	154	154	154
surplus	214	244	160	277	277	277	277
<u>distributed to:</u>							
departmental funds	153	161	130	177	177	177	177
general University funds	244	239	230	254	254	254	254

Part Time Masters Programme (inc in 1B)

** Please Note : This activity was formerly called I.G.D.S.

INCOME	1,328	1,349	1,277	1,288	1,300	1,312	1,312
EXPENDITURE	1,000	987	958	975	985	985	985
CONTRIBUTION	328	362	319	313	315	327	327
<u>composed of:</u>							
overhead	156	157	130	116	116	126	126
surplus	172	205	189	197	199	201	201
<u>distributed to:</u>							
departmental funds	125	142	127	127	128	132	132
general University funds	203	220	192	186	187	195	195

EARNED INCOME 5-YEAR PLANS 1995/96 DETAILS BY ACTIVITY

ANNEX 3

ACADEMIC DRIVEN	1994 / 95	1995 / 96	1995 / 96	1996 / 97	1997 / 98	1998 / 99	1999 / 2000
	Actual	Original	Actual	Forecast	Forecast	Forecast	Forecast
	£ 000's	£ 000's	£ 000's	£ 000's	£ 000's	£ 000's	£ 000's
Integrated Management Development Scheme (inc in 1B)							
INCOME	1,240	1,174	1,490	1,340	1,206	1,206	1,206
EXPENDITURE	969	906	1,226	1,038	934	934	934
CONTRIBUTION	271	268	264	302	272	272	272
<u>composed of:</u>							
overhead	137	143	208	160	144	144	144
surplus	134	125	56	142	128	128	128
<u>distributed to:</u>							
departmental funds	101	98	80	111	100	100	100
general University funds	170	170	184	191	172	172	172
Overseas Courses & Misc UK Activities (inc. in 1B)							
INCOME	965	979	1,090	1,019	1,019	1,019	1,019
EXPENDITURE	655	614	747	699	699	699	699
CONTRIBUTION	310	365	343	320	320	320	320
<u>composed of:</u>							
overhead	45	60	54	50	50	50	50
surplus	265	305	289	270	270	270	270
<u>distributed to:</u>							
departmental funds	144	168	158	148	148	148	148
general University funds	166	197	185	172	172	172	172
Advanced Technology Centre (included in 1B)							
INCOME	1,569	1,597	1,851	1,678	1,678	1,678	1,678
EXPENDITURE	806	834	969	852	852	852	852
CONTRIBUTION	763	763	882	826	826	826	826
<u>composed of:</u>							
overhead	763	763	882	826	826	826	826
surplus	0	0	0	0	0	0	0
<u>distributed to:</u>							
departmental funds	79	66	92	81	81	81	81
capital fund repayments	229	236	229	34	0	0	0
rent to University	217	265	287	468	502	502	502
general University funds	238	196	274	243	243	243	243

EARNED INCOME 5-YEAR PLANS 1995/96 DETAILS BY ACTIVITY
ANNEX 3.1

ACADEMIC DRIVEN	1994 / 95	1995 / 96	1995 / 96	1996 / 97	1997 / 98	1998 / 99	1999 / 2000
	Actual	Original	Actual	Forecast	Forecast	Forecast	Forecast
	£ 000's	Forecast £ 000's	£ 000's	£ 000's	£ 000's	£ 000's	£ 000's
HIGHER EDUCATION FOUNDATION PROGRAMME (1C)							
INCOME	390	471	448	467	463	463	463
EXPENDITURE	248	298	277	315	312	313	314
CONTRIBUTION	142	173	171	152	151	150	149
<u>composed of:</u>							
overhead	0	0	0	0	0	0	0
surplus	142	173	171	152	151	150	149
<u>distributed to:</u>							
departmental funds	0	0	0	0	0	0	0
general University funds	142	173	171	152	151	150	149
MISCELLANEOUS SHORT COURSES (1D)							
INCOME	518	584	515	948	1,081	1,162	1,165
EXPENDITURE	383	409	335	749	794	735	685
CONTRIBUTION	135	175	180	199	287	427	480
<u>composed of:</u>							
overhead	55	113	92	182	196	214	211
surplus	80	62	88	17	91	213	269
<u>distributed to:</u>							
departmental funds	56	60	82	63	102	168	195
general University funds	79	115	98	136	185	259	285
Centre for ENGLISH LANGUAGE TEACHER Education (1E)							
INCOME	963	1,307	1,284	1,304	1,454	1,513	1,307
EXPENDITURE	740	936	836	925	1,032	1,074	962
CONTRIBUTION	223	371	448	379	422	439	345
<u>composed of:</u>							
overhead	209	205	175	197	222	235	213
surplus	14	166	273	182	200	204	132
<u>distributed to:</u>							
departmental funds	34	52	44	47	53	56	53
rent to University	108	0	0	0	0	0	0
general University funds	81	319	404	332	369	383	292

EARNED INCOME 5-YEAR PLANS 1995/96 DETAILS BY ACTIVITY

ANNEX C

ACADEMIC DRIVEN	1994 / 95 Actual £ 000's	1995 / 96 Original Forecast £ 000's	1995 / 96 Actual £ 000's	1996 / 97 Forecast £ 000's	1997 / 98 Forecast £ 000's	1998 / 99 Forecast £ 000's	1999 / 2000 Forecast £ 000's
OVERSEAS STUDENTS (1F)							
INCOME	6,791	7,259	7,382	7,257	7,720	7,978	8,311
EXPENDITURE	784	961	943	1,037	1,085	1,135	1,184
CONTRIBUTION	6,007	6,298	6,439	6,220	6,635	6,843	7,127
<u>composed of:</u>							
overhead	0	0	0	0	0	0	0
surplus	6,007	6,298	6,439	6,220	6,635	6,843	7,127
<u>distributed to:</u>							
departmental funds	2,837	2,904	2,994	2,902	3,088	3,191	3,294
general University funds	3,170	3,394	3,445	3,318	3,547	3,652	3,833
RESEARCH CONTRACTS (1G)							
INCOME	5,471	4,774	5,024	4,074	5,300	5,985	6,669
EXPENDITURE	4,077	3,523	3,866	3,090	4,097	4,551	4,999
CONTRIBUTION	1,394	1,251	1,158	984	1,203	1,434	1,670
<u>composed of:</u>							
overhead	1,364	1,251	1,139	984	1,203	1,434	1,669
surplus	30	0	19	0	0	0	1
<u>distributed to:</u>							
departmental funds	455	400	395	309	380	451	520
research building fund	199	176	180	159	192	230	260
general University funds	740	675	583	516	631	753	890
RESEARCH GRANTS (1G2)							
INCOME	8,567	10,506	10,062	10,573	10,433	9,953	9,473
EXPENDITURE	6,705	8,436	7,973	8,477	8,270	7,810	7,329
CONTRIBUTION	1,862	2,070	2,089	2,096	2,163	2,143	2,144
<u>composed of:</u>							
overhead	1,868	2,071	2,089	2,096	2,163	2,143	2,144
surplus	(6)	(1)	0	0	0	0	0
<u>distributed to:</u>							
departmental funds	(4)	0	0	0	0	0	0
research building fund	1	0	0	0	0	0	0
general University funds	1,865	2,070	2,089	2,096	2,163	2,143	2,144

EARNED INCOME 5-YEAR PLANS 1995/96 DETAILS BY ACTIVITY

ANNEX 3.1

ACADEMIC DRIVEN	1994 / 95	1995 / 96	1995 / 96	1996 / 97	1997 / 98	1998 / 99	1999 / 2000
	Actual	Original	Actual	Forecast	Forecast	Forecast	Forecast
	£ 000's	£ 000's	£ 000's	£ 000's	£ 000's	£ 000's	£ 000's

TEACHING COMPANY SCHEMES (1G3)

INCOME	775	690	840	850	975	1,050	1,200
EXPENDITURE	666	587	734	723	780	793	870
CONTRIBUTION	109	103	106	127	195	257	330
<u>composed of:</u>							
overhead	109	103	106	127	195	257	330
surplus	0	0	0	0	0	0	0
<u>distributed to:</u>							
departmental funds	0	0	0	0	0	0	0
general University funds	109	103	106	127	195	257	330

RESEARCH - EUROPE (1G4)

INCOME	1,510	2,021	1,837	2,028	2,039	1,929	1,602
EXPENDITURE	1,317	1,710	1,609	1,775	1,735	1,626	1,362
CONTRIBUTION	193	311	228	253	304	303	240
<u>composed of:</u>							
overhead	182	330	218	253	304	303	240
surplus	11	(19)	10	0	0	0	0
<u>distributed to:</u>							
departmental funds	11	0	13	18	54	69	36
research building fund	0	0	3	0	0	0	0
general University funds	182	311	212	235	250	234	204

STATISTICAL CONSULTANCY UNIT (1I)

*** Please Note : This is included in 1J W.R.I. up to and including 1995/96.*

INCOME	0	0	0	50	60	80	100
EXPENDITURE	0	0	0	36	43	57	71
CONTRIBUTION	0	0	0	14	17	23	29
<u>composed of:</u>							
overhead	0	0	0	14	17	23	29
surplus	0	0	0	0	0	0	0
<u>distributed to:</u>							
departmental funds	0	0	0	7	9	11	15
general University funds	0	0	0	7	8	12	14

EARNED INCOME 5-YEAR PLANS 1995/96 DETAILS BY ACTIVITY

ANNEX

ACADEMIC DRIVEN	1994 / 95	1995 / 96	1995 / 96	1996 / 97	1997 / 98	1998 / 99	1999 / 00
	Actual	Original	Actual	Forecast	Forecast	Forecast	Forecast
	£ 000's	£ 000's	£ 000's	£ 000's	£ 000's	£ 000's	£ 000's

WARWICK RESEARCH INSTITUTE (1J)

*** Please Note : This includes the Statistical Consultancy Unit 11 (see above)*

INCOME	797	700	966	0	0	0	
EXPENDITURE	864	784	1,004	0	0	0	
CONTRIBUTION	(67)	(84)	(38)	0	0	0	
<u>composed of:</u>							
overhead	70	84	106	0	0	0	
surplus	(137)	(168)	(144)	0	0	0	
<u>distributed to:</u>							
departmental funds	27	29	17	0	0	0	
building fund	21	41	19	0	0	0	
foundation fund	(135)	0	29	0	0	0	
general University funds	20	(154)	(103)	0	0	0	

CENTRE FOR EDUCATION & INDUSTRY (1L)

*** Please Note : This includes the S.C.I.P. from 1995/96*

INCOME	429	593	568	820	722	739	
EXPENDITURE	418	515	480	694	635	636	
CONTRIBUTION	11	78	88	126	87	103	
<u>composed of:</u>							
overhead	101	110	97	120	74	74	
surplus	(90)	(32)	(9)	6	13	29	
<u>distributed to:</u>							
departmental funds	(55)	4	23	39	33	48	
general University funds	66	74	65	87	54	55	

SCHOOLS CURRICULUM INDUSTRY PARTNERSHIP (1L2)

*** Please Note : This is included in 1L from 1995/96 (see above)*

INCOME	525	527	451	0	0	0	
EXPENDITURE	776	511	445	0	0	0	
CONTRIBUTION	(251)	16	6	0	0	0	
<u>composed of:</u>							
overhead	0	0	0	0	0	0	
surplus	(251)	16	6	0	0	0	
<u>distributed to:</u>							
departmental funds	(251)	16	(14)	0	0	0	
central administration	0	0	20	0	0	0	
general University funds	0	0	0	0	0	0	

EARNED INCOME 5-YEAR PLANS 1995/96 DETAILS BY ACTIVITY

ANNEX 2

ACADEMIC DRIVEN	1994 / 95	1995 / 96	1995 / 96	1996 / 97	1997 / 98	1998 / 99	1999 / 2000
	Actual £ 000's	Original Forecast £ 000's	Actual £ 000's	Forecast £ 000's	Forecast £ 000's	Forecast £ 000's	Foreca £ 000's
POST-GRADUATE MEDICAL EDUCATION (1M)							
INCOME	290	365	256	318	354	367	
EXPENDITURE	266	307	231	276	276	279	
CONTRIBUTION	24	58	25	42	78	88	
<u>composed of:</u>							
overhead	0	0	0	0	0	0	
surplus	24	58	25	42	78	88	
<u>distributed to:</u>							
departmental funds	24	58	25	42	78	88	
MICROCOMPUTER APPLICATION CLINIC (10)							
<i>** Please Note : This was transferred to 1D during 1995/96 (see above)</i>							
INCOME	5	39	0	0	0	0	
EXPENDITURE	3	28	0	0	0	0	
CONTRIBUTION	2	11	0	0	0	0	
<u>composed of:</u>							
overhead	0	2	0	0	0	0	
surplus	2	9	0	0	0	0	
<u>distributed to:</u>							
departmental funds	1	5	0	0	0	0	
general University funds	1	6	0	0	0	0	
CENTRE for RESEARCH in ETHNIC RELATIONS (1P)							
INCOME	0	46	21	45	30	27	
EXPENDITURE	34	42	40	40	40	40	
CONTRIBUTION	(34)	4	(19)	5	(10)	(13)	
<u>composed of:</u>							
overhead	0	7	0	2	0	0	
surplus	(34)	(3)	(19)	3	(10)	(13)	
<u>distributed to:</u>							
departmental funds	0	1	(5)	2	(9)	(11)	
general University funds	(34)	3	(14)	3	(1)	(2)	

EARNED INCOME 5-YEAR PLANS 1995/96 DETAILS BY ACTIVITY

ANNEX 3.2

SPIN OFF	1994 / 95	1995 / 96	1995 / 96	1996 / 97	1997 / 98	1998 / 99	1999 / 2000
	Actual	Original	Actual	Forecast	Forecast	Forecast	Forecast
	£ 000's	£ 000's	£ 000's	£ 000's	£ 000's	£ 000's	£ 000's

SUMMARY

INCOME	4,520	4,661	4,727	4,856	4,961	5,034	5,078
EXPENDITURE							
external	4,030	4,077	4,206	4,233	4,275	4,289	4,319
internal—retail office	12	26	22	27	28	29	30
TOTAL EXPENDITURE	4,042	4,103	4,228	4,260	4,303	4,318	4,349
CONTRIBUTION	478	558	499	596	658	716	729
<i>composed of:</i>							
overhead	0	0	0	0	0	0	0
surplus	478	558	499	596	658	716	729
	478	558	499	596	658	716	729
<i>surplus as % of income</i>	<i>10.6%</i>	<i>12.0%</i>	<i>10.6%</i>	<i>12.3%</i>	<i>13.3%</i>	<i>14.2%</i>	<i>14.4%</i>

Distributed to:

Departmental Funds	21	23	26	24	24	29	27
Renewals / Improvements Funds	49	115	105	105	101	104	106
	70	138	131	129	125	133	133
Payments to University :-							
internal loan repayment	59	66	53	66	70	74	79
contribution to printing/phone costs	41	10	1	46	86	95	107
central administration	11	12	13	14	15	15	15
rent to University	17	19	19	19	19	19	19
general University funds	280	313	282	322	343	380	376
Total Payments to University	408	420	368	467	533	583	596
Distributed to:	478	558	499	596	658	716	729

EARNED INCOME 5-YEAR PLANS 1995/96 DETAILS BY ACTIVITY

ANNEX 3.2

SPIN OFF	1994 / 95 Actual £ 000's	1995 / 96 Original Forecast £ 000's	1995 / 96 Actual £ 000's	1996 / 97 Forecast £ 000's	1997 / 98 Forecast £ 000's	1998 / 99 Forecast £ 000's	1999 / 2000 Forecast £ 000's
BINDERY (2A) (Retail Services)							
INCOME	176	186	171	187	190	194	198
expenditure – external	149	156	165	153	152	155	158
expenditure – retail services	2	4	3	4	4	4	4
TOTAL EXPENDITURE	151	160	168	157	156	159	162
CONTRIBUTION	25	26	3	30	34	35	36
<u>composed of:</u>							
overhead	0	0	0	0	0	0	0
surplus	25	26	3	30	34	35	36
<u>distributed to:</u>							
renewals/improvements funds	2	3	3	3	3	3	3
central administration	2	2	2	2	2	2	2
rent to University	2	3	3	3	3	3	3
general University funds	19	18	(5)	22	26	27	28
LIBRARY SERVICES (2B)							
INCOME	267	269	247	265	265	297	289
EXPENDITURE	157	193	170	186	194	196	196
CONTRIBUTION	110	76	77	79	71	101	93
<u>composed of:</u>							
overhead	0	0	0	0	0	0	0
surplus	110	76	77	79	71	101	93
<u>distributed to:</u>							
departmental funds	21	14	15	15	14	19	17
renewals/improvements funds	5	5	4	4	4	5	5
general University funds	84	57	58	60	53	77	71
PHOTOGRAPHIC UNIT (Retail Services) (2C)							
INCOME	0	0	26	36	54	69	71
expenditure – external	0	0	23	37	58	65	66
expenditure – retail services	0	0	1	1	1	1	1
TOTAL EXPENDITURE	0	0	24	38	59	66	67
CONTRIBUTION	0	0	2	(2)	(5)	3	4
<u>composed of:</u>							
overhead	0	0	0	0	0	0	0
surplus	0	0	2	(2)	(5)	3	4
<u>distributed to:</u>							
renewals/improvements funds	0	0	0	2	2	2	2
central administration	0	0	1	1	1	1	1
rent to university	0	0	1	1	1	1	1
general University funds	0	0	0	(6)	(9)	(1)	0

EARNED INCOME 5-YEAR PLANS 1995/96 DETAILS BY ACTIVITY
ANNEX

SPIN OFF	1994 / 95 Actual £ 000's	1995 / 96 Original Forecast £ 000's	1995 / 96 Actual £ 000's	1996 / 97 Forecast £ 000's	1997 / 98 Forecast £ 000's	1998 / 99 Forecast £ 000's	1999 / 00 Forecast £ 000's
EXPLOITATION, PATENTS & LICENCES (2D)							
INCOME	30	62	27	50	50	60	
EXPENDITURE	48	101	65	108	108	114	
CONTRIBUTION	(18)	(39)	(38)	(58)	(58)	(54)	
<u>composed of:</u>							
overhead	0	0	0	0	0	0	
surplus	(18)	(39)	(38)	(58)	(58)	(54)	
<u>distributed to:</u>							
departmental funds	0	0	0	0	0	0	
general University funds	(18)	(39)	(38)	(58)	(58)	(54)	
LANGUAGE CENTRE (2E)							
INCOME	189	198	226	200	205	210	
EXPENDITURE	145	150	172	153	157	159	
CONTRIBUTION	44	48	54	47	48	51	
<u>composed of:</u>							
overhead	0	0	0	0	0	0	
surplus	44	48	54	47	48	51	
<u>distributed to:</u>							
departmental funds	0	9	11	9	10	10	
general University funds	44	39	43	38	38	41	
SPORTS CENTRE (2F)							
INCOME	199	185	217	205	207	209	
EXPENDITURE	36	36	32	55	38	38	
CONTRIBUTION	163	149	185	150	169	171	
<u>composed of:</u>							
overhead	0	0	0	0	0	0	
surplus	163	149	185	150	169	171	
<u>distributed to:</u>							
renewals/improvements funds	18	18	18	23	23	23	
internal loan repayment	9	0	0	0	0	0	
general University funds	136	131	167	127	146	148	

EARNED INCOME 5-YEAR PLANS 1995/96 DETAILS BY ACTIVITY
ANNEX 3.2

SPIN OFF	1994 / 95 Actual £ 000's	1995 / 96 Original Forecast £ 000's	1995 / 96 Actual £ 000's	1996 / 97 Forecast £ 000's	1997 / 98 Forecast £ 000's	1998 / 99 Forecast £ 000's	1999 / 2000 Forecast £ 000's
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SPORTS CENTRE – CLIMBING ROOM (2F2)
*** Please Note : This activity is to be separately monitored from 1995/96.*

INCOME	0	61	26	40	44	48	53
EXPENDITURE	0	4	0	1	1	1	1
CONTRIBUTION	0	57	26	39	43	47	52
<u>composed of:</u>							
overhead	0	0	0	0	0	0	0
surplus	0	57	26	39	43	47	52
<u>distributed to:</u>							
internal loan repayment	0	39	26	39	43	47	52
general University funds	0	18	0	0	0	0	0

COMPUTING SERVICES (2G)

INCOME	183	138	178	143	179	149	154
EXPENDITURE	124	92	166	99	128	103	110
CONTRIBUTION	59	46	12	44	51	46	44
<u>composed of:</u>							
overhead	0	0	0	0	0	0	0
surplus	59	46	12	44	51	46	44
<u>distributed to:</u>							
renewals/improvements funds	4	7	7	3	3	3	3
general University funds	55	39	5	41	48	43	41

PRINTING (Retail Services) (2H)

INCOME	942	1,089	1,047	1,122	1,159	1,190	1,224
expenditure – external	847	969	950	988	987	1,006	1,025
expenditure – retail services	10	22	18	22	23	24	25
TOTAL EXPENDITURE	857	991	968	1,010	1,010	1,030	1,050
CONTRIBUTION	85	98	79	112	149	160	174
<u>composed of:</u>							
overhead	0	0	0	0	0	0	0
surplus	85	98	79	112	149	160	174
<u>distributed to:</u>							
renewals/improvements funds	20	62	53	40	36	38	40
contrbtn to printing/phone costs	41	10	1	46	86	95	107
central administration	9	10	10	11	12	12	12
rent to University	15	16	15	15	15	15	15

EARNED INCOME 5-YEAR PLANS 1995/96 DETAILS BY ACTIVITY

ANNEX 3.2

SPIN OFF	1994 / 95	1995 / 96	1995 / 96	1996 / 97	1997 / 98	1998 / 99	1999 / 2000
	Actual	Original Forecast	Actual	Forecast	Forecast	Forecast	Forecast
	£ 000's	£ 000's	£ 000's	£ 000's	£ 000's	£ 000's	£ 000's
PROPERTY LEASING UNIT (21)							
INCOME	2,534	2,473	2,562	2,608	2,608	2,608	2,608
EXPENDITURE	2,524	2,376	2,463	2,453	2,452	2,452	2,452
CONTRIBUTION	10	97	99	155	156	156	156
<u>composed of:</u>							
overhead	0	0	0	0	0	0	0
surplus	10	97	99	155	156	156	156
<u>distributed to:</u>							
renewals/improvements funds	0	20	20	30	30	30	30
internal loan repayment	50	27	27	27	27	27	27
general University funds	(40)	50	52	98	99	99	99

EARNED INCOME 5-YEAR PLANS 1995/96 DETAILS BY ACTIVITY

ANNEX 3.3

STAND ALONE	1994 / 95	1995 / 96	1995 / 96	1996 / 97	1997 / 98	1998 / 99	1999 / 2000
	Actual	Original Forecast	Actual	Forecast	Forecast	Forecast	Forecast
	£ 000's	£ 000's	£ 000's	£ 000's	£ 000's	£ 000's	£ 000's

SUMMARY
INCOME

external	16,663	17,604	17,767	17,339	16,779	17,241	17,949
retail services office	68	121	106	124	127	131	135
B.P. archive centre	26	28	19	17	17	17	17
LESS: Catering income	(1,408)	(1,638)	(1,433)	(1,286)	(1,243)	(1,246)	(1,353)
TOTAL INCOME	15,349	16,115	16,459	16,194	15,680	16,143	16,748

EXPENDITURE

external	10,068	10,786	10,504	10,780	10,646	10,918	11,238
internal - retail office	47	85	76	89	91	94	97
residences facilities	742	794	794	816	816	816	816
arts centre facilities	218	227	224	218	218	218	218
arts centre contribution	5	5	5	5	5	5	5
Rootes Building	30	29	22	29	29	29	29
BP archive centre	26	28	19	17	17	17	17
TOTAL EXPENDITURE	11,136	11,954	11,644	11,954	11,822	12,097	12,420

CONTRIBUTION

	4,213	4,161	4,815	4,240	3,858	4,046	4,328
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composed of:

overhead	0	0	0	0	0	0	0
surplus	4,213	4,161	4,815	4,240	3,858	4,046	4,328
	4,213	4,161	4,815	4,240	3,858	4,046	4,328
<i>surplus as % of income</i>	<i>27.4%</i>	<i>25.8%</i>	<i>29.3%</i>	<i>26.2%</i>	<i>24.6%</i>	<i>25.1%</i>	<i>25.8%</i>

Distributed to:

Renewals / Improvements Funds	529	586	456	430	402	435	574
Limited Company adjustments	(109)	(183)	(148)	(188)	(38)	(134)	(279)
Foundation Fund Repayments	623	610	810	713	675	712	845
	1,043	1,013	1,118	955	1,039	1,013	1,140
Payments to University :-							
internal loan repayments	104	100	100	0	0	0	0
contribution to printing/phone costs	70	91	135	144	150	150	150
central administration	140	118	146	121	125	126	128
rent to University	141	143	144	145	145	145	145
conference use of facilities	70	73	70	118	118	117	120
general University funds	2,645	2,623	3,102	2,757	2,281	2,495	2,645
Total Payments to University	3,170	3,148	3,697	3,285	2,819	3,033	3,188
Total Distributed:	4,213	4,161	4,815	4,240	3,858	4,046	4,328

EARNED INCOME 5-YEAR PLANS 1995/96 DETAILS BY ACTIVITY

ANNEX

STAND ALONE	1994 / 95 Actual £ 000's	1995 / 96 Original Forecast £ 000's	1995 / 96 Actual £ 000's	1996 / 97 Forecast £ 000's	1997 / 98 Forecast £ 000's	1998 / 99 Forecast £ 000's	1999 / 00 Forecast £ 000's
BOOKSHOP (Retail Services) (3A)							
INCOME	2,000	2,018	2,118	2,163	2,204	2,245	
expenditure – external	1,812	1,800	1,902	1,925	1,944	1,978	
expenditure – retail office	21	40	36	42	43	44	
TOTAL EXPENDITURE	1,833	1,840	1,938	1,967	1,987	2,022	
CONTRIBUTION	167	178	180	196	217	223	
<u>composed of:</u>							
overhead	0	0	0	0	0	0	
surplus	167	178	180	196	217	223	
<u>distributed to:</u>							
renewals/improvements funds	16	12	13	10	10	10	
central administration	41	40	41	42	43	44	
rent to University	80	82	82	82	82	82	
general University funds	30	44	44	62	82	87	
TILEHILL BOOKSHOP (Retail Services) (3A2)							
INCOME	25	24	25	25	26	26	
expenditure – external	23	23	21	23	24	24	
expenditure – retail office	0	0	1	1	1	1	
TOTAL EXPENDITURE	23	23	22	24	25	25	
CONTRIBUTION	2	1	3	1	1	1	
<u>composed of:</u>							
overhead	0	0	0	0	0	0	
surplus	2	1	3	1	1	1	
<u>distributed to:</u>							
renewals/improvements funds	0	0	0	0	0	0	
central administration	0	0	0	0	0	0	
rent to University	0	0	0	1	1	1	
general University funds	2	1	3	0	0	0	
ARDEN HOUSE (3B)							
INCOME	1,556	1,607	1,617	1,608	1,612	1,617	
EXPENDITURE	1,002	1,103	1,065	1,119	1,123	1,129	
CONTRIBUTION	554	504	552	489	489	488	
<u>composed of:</u>							
overhead	0	0	0	0	0	0	
surplus	554	504	552	489	489	488	
<u>distributed to:</u>							
renewals/improvements funds	208	165	165	185	185	185	
internal loan repayments	104	100	100	0	0	0	
central administration	4	14	14	14	14	14	
general University funds	18	225	273	290	290	289	

EARNED INCOME 5-YEAR PLANS 1995/96 DETAILS BY ACTIVITY

ANNEX 3.3

STAND ALONE	1994 / 95	1995 / 96	1995 / 96	1996 / 97	1997 / 98	1998 / 99	1999 / 2000
	Actual	Original	Actual	Forecast	Forecast	Forecast	Forecast
	£ 000's	£ 000's	£ 000's	£ 000's	£ 000's	£ 000's	£ 000's

RADCLIFFE HOUSE (3C)

INCOME	2,309	2,424	2,622	2,576	2,560	2,604	2,738
EXPENDITURE	1,380	1,502	1,522	1,576	1,559	1,575	1,586
CONTRIBUTION	929	922	1,100	1,000	1,001	1,029	1,152
<u>composed of:</u>							
overhead	0	0	0	0	0	0	0
surplus	929	922	1,100	1,000	1,001	1,029	1,152
<u>distributed to:</u>							
renewals/improvements funds	165	175	160	195	175	206	206
limited co. adjustments	6	5	(3)	(2)	(2)	(2)	(2)
foundation fund repayments	623	610	810	713	675	712	845
central administration	14	14	17	14	14	14	14
general University funds	121	118	116	80	139	99	89

SCARMAN HOUSE (3D)

INCOME	3,914	4,033	4,266	4,054	3,644	3,915	4,091
EXPENDITURE	3,118	3,502	3,279	3,364	3,159	3,316	3,523
CONTRIBUTION	796	531	987	690	485	599	568
<u>composed of:</u>							
overhead	0	0	0	0	0	0	0
surplus	796	531	987	690	485	599	568
<u>distributed to:</u>							
limited co. adjustments	(115)	(188)	(145)	(186)	(36)	(132)	(277)
central administration	49	29	51	27	29	29	29
general University funds	862	690	1,081	849	492	702	816

CONFERENCES (3F)

income-- external	3,197	3,598	3,242	3,069	3,029	3,036	3,291
LESS: Catering income	(1,408)	(1,638)	(1,433)	(1,286)	(1,243)	(1,246)	(1,353)
INCOME	1,789	1,960	1,809	1,783	1,786	1,790	1,938
expenditure - external	646	666	643	602	606	610	614
residences facilities	742	794	794	816	816	816	816
arts centre facilities	218	227	224	218	218	218	218
rootes building	30	29	22	29	29	29	29
TOTAL EXPENDITURE	1,636	1,716	1,683	1,665	1,669	1,673	1,677
CONTRIBUTION	153	244	126	118	117	117	261
<u>composed of:</u>							
overhead	0	0	0	0	0	0	0
surplus	153	244	126	118	117	117	261
<u>distributed to:</u>							
renewals/improvements funds	83	171	56	0	(1)	0	141
foundation fund repayments	0	0	0	0	0	0	0
conference use of facilities	70	73	70	118	118	117	120
general University funds	0	0	0	0	0	0	0

EARNED INCOME 5-YEAR PLANS 1995/96 DETAILS BY ACTIVITY

ANNEX

STAND ALONE	1994 / 95 Actual £ 000's	1995 / 96 Original Forecast £ 000's	1995 / 96 Actual £ 000's	1996 / 97 Forecast £ 000's	1997 / 98 Forecast £ 000's	1998 / 99 Forecast £ 000's	1999 / Forec £ 000's
INVESTMENTS (3G)							
INCOME	1,271	1,302	1,350	1,211	1,002	1,030	
EXPENDITURE	0	0	0	0	0	0	
CONTRIBUTION	1,271	1,302	1,350	1,211	1,002	1,030	
<u>composed of:</u>							
overhead	0	0	0	0	0	0	
surplus	1,271	1,302	1,350	1,211	1,002	1,030	
<u>distributed to:</u>							
general University funds	1,271	1,302	1,350	1,211	1,002	1,030	
LEASES OF LAND & PROPERTY (3H)							
income	125	182	175	178	174	171	
B.P. archive centre	26	28	19	17	17	17	
INCOME	151	210	194	195	191	188	
expenditure – external	0	0	17	6	6	6	
arts centre contribution	5	5	5	5	5	5	
archive centre running costs	26	28	19	17	17	17	
TOTAL EXPENDITURE	31	33	41	28	28	28	
CONTRIBUTION	120	177	153	167	163	160	
<u>composed of:</u>							
overhead	0	0	0	0	0	0	
surplus	120	177	153	167	163	160	
<u>distributed to:</u>							
foundation fund repayments	0	0	0	0	0	0	
general University funds	120	177	153	167	163	160	
STAFF HOUSING (3I)							
INCOME	133	143	148	138	138	138	
EXPENDITURE	66	79	56	78	78	78	
CONTRIBUTION	67	64	92	60	60	60	
<u>composed of:</u>							
overhead	0	0	0	0	0	0	
surplus	67	64	92	60	60	60	
<u>distributed to:</u>							
renewals/improvements funds	26	27	27	23	23	23	
general University funds	41	37	65	37	37	37	

EARNED INCOME 5-YEAR PLANS 1995/96 DETAILS BY ACTIVITY

ANNEX 3.3

STAND ALONE	1994 / 95	1995 / 96	1995 / 96	1996 / 97	1997 / 98	1998 / 99	1999 / 2000
	Actual	Original	Actual	Forecast	Forecast	Forecast	Forecast
	£ 000's	£ 000's	£ 000's	£ 000's	£ 000's	£ 000's	£ 000's

HAIR SALON (Retail Services) (3J)

INCOME	38	53	35	53	55	56	57
expenditure – external	36	45	32	44	42	42	43
expenditure – retail office	0	1	1	1	1	1	1
EXPENDITURE	36	46	33	45	43	43	44
CONTRIBUTION	2	7	2	8	12	13	13
<u>composed of:</u>							
overhead	0	0	0	0	0	0	0
surplus	2	7	2	8	12	13	13
<u>distributed to:</u>							
renewals/improvements funds	0	0	0	1	0	0	0
central administration	1	0	1	1	1	1	1
rent to University	4	4	4	4	4	4	4
general University funds	(3)	3	(3)	2	7	8	8

CAMPUŠ STORE (Retail Services) (3K)

INCOME	916	958	998	1,051	1,077	1,104	1,132
expenditure – external	845	880	901	957	981	1,003	1,028
expenditure – retail office	9	20	17	21	21	22	23
TOTAL EXPENDITURE	854	900	918	978	1,002	1,025	1,051
CONTRIBUTION	62	58	80	73	75	79	81
<u>composed of:</u>							
overhead	0	0	0	0	0	0	0
surplus	62	58	80	73	75	79	81
<u>distributed to:</u>							
renewals/improvements funds	12	9	13	4	4	4	2
central administration	9	9	10	11	11	11	11
rent to University	32	33	33	33	33	33	33
general University funds	9	7	24	25	27	31	35

NEWSAGENCY (Retail Services) (3L)

INCOME	742	788	736	772	811	851	894
expenditure – external	669	712	694	703	736	769	803
expenditure – retail office	8	15	13	15	16	17	18
TOTAL EXPENDITURE	677	727	707	718	752	786	821
CONTRIBUTION	65	61	29	54	59	65	73
<u>composed of:</u>							
overhead	0	0	0	0	0	0	0
surplus	65	61	29	54	59	65	73
<u>distributed to:</u>							
renewals/improvements funds	2	3	3	3	1	2	2
central administration	8	8	7	7	8	8	9
rent to University	23	24	24	24	24	24	24
general University funds	32	26	(5)	20	26	31	38

EARNED INCOME 5-YEAR PLANS 1995/96 DETAILS BY ACTIVITY

ANNEX 3

STAND ALONE	1994 / 95	1995 / 96	1995 / 96	1996 / 97	1997 / 98	1998 / 99	1999 / 2000
	Actual	Original Forecast	Actual	Forecast	Forecast	Forecast	Forecast
	£ 000's	£ 000's	£ 000's	£ 000's	£ 000's	£ 000's	£ 000's
PAYPHONES (Retail Services) (3M)							
INCOME	393	432	389	394	399	399	
expenditure – external	294	305	224	229	232	232	
expenditure – retail office	8	8	7	8	8	8	
TOTAL EXPENDITURE	302	313	231	237	240	240	
CONTRIBUTION	91	119	158	157	159	159	
<u>composed of:</u>							
overhead	0	0	0	0	0	0	
surplus	91	119	158	157	159	159	
<u>distributed to:</u>							
renewals/improvements funds	17	24	19	9	5	5	
contribution to printing/phone costs	70	91	135	144	150	150	
central administration	4	4	4	4	4	4	
ENCORE (Retail Services) (3N)							
INCOME	44	42	46	47	48	49	
expenditure – external	44	40	45	44	45	45	
expenditure – retail office	1	1	1	1	1	1	
TOTAL EXPENDITURE	45	41	46	45	46	46	
CONTRIBUTION	(1)	1	0	2	2	3	
<u>composed of:</u>							
overhead	0	0	0	0	0	0	
surplus	(1)	1	0	2	2	3	
<u>distributed to:</u>							
renewals/improvements funds	0	0	0	0	0	0	
central administration	0	0	1	1	1	1	
rent to University	2	0	1	1	1	1	
general University funds	(3)	1	(2)	0	0	1	
RETAIL SERVICES OFFICE (30)							
income – external	0	0	0	0	0	0	
income – internal	68	121	106	124	127	131	
TOTAL INCOME	68	121	106	124	127	131	
EXPENDITURE	133	129	103	110	111	111	
CONTRIBUTION	(65)	(8)	3	14	16	20	
<u>composed of:</u>							
overhead	0	0	0	0	0	0	
surplus	(65)	(8)	3	14	16	20	
<u>distributed to:</u>							
general University funds	(65)	(8)	3	14	16	20	

EARNED INCOME 5-YEAR PLANS 1995/96 DETAILS BY ACTIVITY

ANNEX 3.3

STAND ALONE	1994 / 95	1995 / 96	1995 / 96	1996 / 97	1997 / 98	1998 / 99	1999 / 2000
	Actual	Original	Actual	Forecast	Forecast	Forecast	Forecast
	£ 000's	Forecast £ 000's	£ 000's	£ 000's	£ 000's	£ 000's	£ 000's

RETAIL SUMMARY (memo only) (302)

income – shops	3,812	3,931	4,003	4,161	4,272	4,383	4,499
income – services	1,966	2,170	2,022	2,114	2,166	2,206	2,235
TOTAL INCOME	5,778	6,101	6,025	6,275	6,438	6,589	6,734
expenditure – shops	3,473	3,542	3,637	3,740	3,817	3,907	4,004
expenditure – services	1,674	1,855	1,731	1,769	1,780	1,800	1,813
expenditure – retail office	133	129	103	110	111	111	112
TOTAL EXPENDITURE	5,280	5,526	5,471	5,619	5,708	5,818	5,929
contribution – shops	300	311	296	339	371	389	405
contribution – services	263	272	255	303	343	362	377
contribution – retail office	(65)	(8)	3	14	16	20	23
TOTAL CONTRIBUTION	498	575	554	656	730	771	805
distributed to:							
renewals/improvements funds	69	113	104	72	61	64	64
contribution to printing/phone costs	111	101	136	190	236	245	257
central administration	80	78	81	84	87	88	89
rent to University	161	165	166	167	167	167	167
general University funds	77	118	67	143	179	207	228

EARNED INCOME 5-YEAR PLANS 1995/96 DETAILS BY ACTIVITY

ANNEX 3.4

SELF FINANCING	1994 / 95 Actual £ 000's	1995 / 96 Original Forecast £ 000's	1995 / 96 Actual £ 000's	1996 / 97 Forecast £ 000's	1997 / 98 Forecast £ 000's	1998 / 99 Forecast £ 000's	1999 / 2000 Forecast £ 000's
SUMMARY							
INCOME							
external	9,930	10,551	10,969	11,551	11,540	11,527	11,517
conferences	1,626	1,865	1,657	1,504	1,461	1,464	1,571
conferences residncls facilities	742	794	794	816	816	816	816
catering	21	30	30	29	29	29	29
rental	5	5	5	5	5	5	5
TOTAL INCOME	12,324	13,245	13,455	13,905	13,851	13,841	13,938
EXPENDITURE							
external	11,164	11,908	12,409	12,839	12,830	12,819	12,846
arts centre rent	21	30	30	29	29	29	29
retail services	9	10	8	8	8	8	8
TOTAL EXPENDITURE	11,194	11,948	12,447	12,876	12,867	12,856	12,883
CONTRIBUTION	1,130	1,297	1,008	1,029	984	985	1,055
<u>composed of:</u>							
overhead	0	0	0	0	0	0	0
surplus	1,130	1,297	1,008	1,029	984	985	1,055
	1,130	1,297	1,008	1,029	984	985	1,055
<i>surplus as % of income</i>	9.2%	9.8%	7.5%	7.4%	7.1%	7.1%	7.6%

Distributed to:							
Departmental Funds	8	0	18	0	0	0	0
Renewals / Improvements Funds	1,259	1,505	1,217	1,265	1,214	1,209	1,281
Foundation Fund Repayments	151	120	120	113	113	113	113
	1,418	1,625	1,355	1,378	1,327	1,322	1,394
Payments to University :-							
central administration	6	5	4	4	4	4	3
rent to University	3	3	3	3	3	3	3
general University funds	(297)	(336)	(354)	(356)	(350)	(344)	(345)
Total Payments to University	(288)	(328)	(347)	(349)	(343)	(337)	(339)
Total Distributed:	1,130	1,297	1,008	1,029	984	985	1,055

EARNED INCOME 5-YEAR PLANS 1995/96 DETAILS BY ACTIVITY

ANNEX 3.4

SELF FINANCING	1994 / 95	1995 / 96	1995 / 96	1996 / 97	1997 / 98	1998 / 99	1999 / 2000
	Actual	Original Forecast	Actual	Forecast	Forecast	Forecast	Forecast
	£ 000's	£ 000's	£ 000's	£ 000's	£ 000's	£ 000's	£ 000's
CATERING (4A)							
income – external	2,853	2,874	3,407	3,408	3,408	3,408	3,408
income – conferences	1,408	1,638	1,433	1,286	1,243	1,246	1,353
TOTAL INCOME	4,261	4,512	4,840	4,694	4,651	4,654	4,761
expenditure – external	3,745	3,756	4,356	4,212	4,220	4,228	4,263
routes building	10	15	10	15	15	15	15
arts centre rent	21	30	30	29	29	29	29
TOTAL EXPENDITURE	3,776	3,801	4,396	4,256	4,264	4,272	4,307
CONTRIBUTION	485	711	444	438	387	382	454
<u>composed of:</u>							
overhead	0	0	0	0	0	0	0
surplus	485	711	444	438	387	382	454
<u>distributed to:</u>							
renewals/improvements funds	485	711	444	438	387	382	454
general University funds	0	0	0	0	0	0	0
RESIDENCES (4B)							
income – external	5,036	5,595	5,542	6,147	6,147	6,147	6,147
conferences res. facilities	742	794	794	816	816	816	816
TOTAL INCOME	5,778	6,389	6,336	6,963	6,963	6,963	6,963
EXPENDITURE	4,853	5,475	5,443	6,023	6,023	6,023	6,023
CONTRIBUTION	925	914	893	940	940	940	940
<u>composed of:</u>							
overhead	0	0	0	0	0	0	0
surplus	925	914	893	940	940	940	940
<u>distributed to:</u>							
renewals/improvements funds	774	794	773	827	827	827	827
foundation fund repayments	151	120	120	113	113	113	113
general University funds	0	0	0	0	0	0	0

EARNED INCOME 5-YEAR PLANS 1995/96 DETAILS BY ACTIVITY

ANNEX 3.

SELF FINANCING	1994 / 95 Actual £ 000's	1995 / 96 Original Forecast £ 000's	1995 / 96 Actual £ 000's	1996 / 97 Forecast £ 000's	1997 / 98 Forecast £ 000's	1998 / 99 Forecast £ 000's	1999 / 20 Forecast £ 000's
ARTS CENTRE (4C)							
income – external	1,539	1,571	1,586	1,571	1,570	1,566	1,566
income – conferences	218	227	224	218	218	218	218
income – catering	21	30	30	29	29	29	29
income – rental	5	5	5	5	5	5	5
TOTAL INCOME	1,783	1,833	1,845	1,823	1,822	1,818	1,818
EXPENDITURE	2,128	2,195	2,189	2,183	2,176	2,165	2,165
CONTRIBUTION	(345)	(362)	(344)	(360)	(354)	(347)	(347)
<u>composed of:</u>							
overhead	0	0	0	0	0	0	0
surplus	(345)	(362)	(344)	(360)	(354)	(347)	(347)
<u>distributed to:</u>							
departmental funds	8	0	18	0	0	0	0
general University funds	(353)	(362)	(362)	(360)	(354)	(347)	(347)
POST OFFICE (Retail Services) (4D)							
INCOME	47	48	45	50	51	52	52
expenditure – external	44	42	42	44	45	46	46
expenditure – retail services	0	1	1	1	1	1	1
TOTAL EXPENDITURE	44	43	43	45	46	47	47
CONTRIBUTION	3	5	2	5	5	5	5
<u>composed of:</u>							
overhead	0	0	0	0	0	0	0
surplus	3	5	2	5	5	5	5
<u>distributed to:</u>							
renewals/improvements funds	0	0	0	0	0	0	0
central administration	1	0	0	0	0	0	0
rent to University	3	3	3	3	3	3	3
general University funds	(1)	2	(1)	2	2	2	2
PHOTOCOPYING (Retail Services) (4E)							
INCOME	455	463	389	375	364	354	354
expenditure – external	384	425	369	362	351	342	342
expenditure – retail services	9	9	7	7	7	7	7
TOTAL EXPENDITURE	393	434	376	369	358	349	349
CONTRIBUTION	62	29	13	6	6	5	5
<u>composed of:</u>							
overhead	0	0	0	0	0	0	0
surplus	62	29	13	6	6	5	5
<u>distributed to:</u>							
renewals/improvements funds	0	0	0	0	0	0	0
central administration	5	5	4	4	4	4	4
rent to University	0	0	0	0	0	0	0
general University funds	57	24	9	2	2	1	1

SENIOR OFFICERS

ANNEX 4

M L Shattock

CRER Development Officer
Postgraduate Medical Education

J Rushton

Overseas Students
Hospitality Services
Property Leasing Unit
Arden House
CELTE
CEI/SCIP
HEFP
Staff Housing

J A Davies

Research activities
Teaching Companies
Exploitation, Patents and Licensing

J W Nicholls

Warwick Business School (*with HJH*)
Warwick Manufacturing Group/ATC
(*with HJH*)

H J Hunt

Scarman House
Radcliffe House
Arts Centre
Investments
Warwick Business School (*with JWN*)
Warwick Manufacturing Group/ATC
(*with JWN*)

D Chambers

Retail Services' Activities
Sports Centre
Language Centre
Computing Services
Risk Initiative/Statistics Consultancy Unit
Library Services

R Burgess

Miscellaneous Short Courses

C J Ferguson *

Leases of Land and Property

* *Not formally a member of EIG.*

Role, Responsibilities and Powers of Senior Officers

- To encourage, support and advance the activity through being the member of EIG who takes a special interest in the relevant activity.
- Regular liaison with activities' management, ensuring that both parties are kept abreast of relevant developments and issues affecting the activity, EIG and the University.
- Appropriate liaison with Link Officers ensuring that they are fully informed of decisions taken and topical issues.
- Routine day-to-day and *ad hoc* advice and guidance as required, subject to EIG policy, including strategy, projects, staffing issues, standards of service etc.
- Advice and assistance in bringing appropriate matters to the attention of EIG/FGPC and steering items through the committee/decision-making process.
- Attending meetings as required.

LINK OFFICERS

ANNEX 5

RA Drinkwater

Hospitality Services (Catering & Conferences)
CEI/SCIP (*with AHS*)
Warwick Business School
Retail Services' activities
Scarman House (*with AHS*)
Radcliffe House (*with ATG*)
Property Leasing Unit (*with DS*)

AT Grant

Arden House
Radcliffe House (*with RAD*)
HEFP
Overseas Students
Leases of Land and Property

C Mills

Staff Housing

R Hicks

Research Grants
Research Contracts
Teaching Companies
Research Europe

AH Smith

CRER Development Officer
Risk Initiative/Statistics Consultancy Unit
Scarman House (*with RAD*)
CELTE (*with DS*)
PGME
Library Services
Sports Centre
Language Centre
Computing Services
CEI/SCIP (*with RAD*)

D Stuart

Property Leasing Unit (*with RAD*)
Miscellaneous Short Courses
Exploitation, Patents and Licensing
CELTE (*with AHS*)

CA Hallam

Investments

D Chambers

Warwick Manufacturing Group
Arts Centre
Hospitality Services (Residences)

Responsibilities of Link Officers

To encourage and assist activity managers with all aspects of their activities, and in particular:

- Preparation or review of management accounts and EIG returns.
- Advice and assistance with five-year plans and forecasts.
- Assistance with routine book-keeping.
- Assistance with year-end close-down procedures.
- Contract review.
- Provision of routine and *ad hoc* financial advice including value added tax and corporation tax.
- Liaising with other University activities (both EIG and non-EIG) and third parties as required.
- Assistance with costing.
- Acting as a two-way link and reporting mechanism between activities, their administration and management, and EIG/central administration generally.
- Attending meetings as required, including all "Challenge" meetings, providing written and/or oral briefings as appropriate.
- Liaison with activities' "Senior Officers", ensuring that they are kept abreast of developments and important issues.