

The University of Manchester

BOARD OF GOVERNORS

Thursday, 20 November 2008

Present:

Mr Norman Askew (in the Chair),

The President and Vice-Chancellor, Professor Sir Robert Boyd, Ms Debra Dickson, Mrs Gillian Easson, Dr Peter Eccles, Professor Luke Georghiou, Dr Sue Ion, Councillor Afzal Khan, Professor Ivan Leudar, Dr Keith Lloyd, Dr Anne McBride, Mr Peter Readle and Ms Kathleen Tattersall. (14)

By invitation: The Deputy President and Deputy Vice-Chancellor.

In attendance: The Registrar and Secretary, the Deputy Secretary, the Director of Finance and the Director of Human Resources.

Prior to the commencement of the meeting, the Chairman, on behalf of the Board, expressed his congratulations to Professor Steve Williamson on his recent appointment at the University of Surrey and notified the Board of Professor Williamson's resignation as a member of the Board of Governors.

1. Minutes

Confirmed: The minutes of the meeting of the Board held on 13 October 2008.

2. Matters arising from the minutes

Received: A report summarising actions consequent on decisions taken by the Board.

3. Chairman's report

Reported: That there were, on this occasion, no matters for report that were not covered elsewhere on the agenda.

4. Secretary's report

(1) Matters requiring formal resolution

Reported: That there were, on this occasion, no constitutional matters requiring formal agreement by the Board.

(2) The Appointment of a Chair of the Board of Governors

Reported:

(a) That the appointment of the Chair of the Board of Governors is the responsibility of the Board who have determined to adopt a process to identify candidates for this office.

- (b) That the current Chairman, Mr Norman Askew, will stand down from the Board on 31 August 2010, having served continuously for a period of six years. Statute II of the University Charter states that the Chair shall be appointed by the Board from among the members of the Board who hold membership in Category 2 (lay members). The process of selection must begin in 2009 in order to ensure that there are appointable candidates on the Board at the end of the academic year. This will enable the Board to select and appoint a Chairman from amongst the individuals that comprise its lay membership during 2009-10.

Resolved:

- (a) That a Search Committee to identify a suitable Chair be established, to convene early in 2009. The Committee would consult with current members of the Board regarding suitable candidates and determine whether a new appointment to the Board is required in order to fill the position. Any recommendations it makes would be brought back to the Board for formal approval.

There are no prescribed arrangements in the University's Charter, Statutes and Ordinances on the composition of such a Search Committee. Therefore the Search Committee would have the following composition:

Four members of the Board in Category 2 (with one identified as Chair)

A member of the Board in Category 3, members of Senate

A member of the Board in Category 4, members of staff other than academic or research staff

The President and Vice Chancellor

The Pro-Chancellor and Chair of the Nominations Committee

The Registrar and Secretary (as Secretary)

Professor Aneez Esmail, Associate Vice-President for Equality and Diversity, was entitled to observe any appointment process in the University and, therefore, he would be asked to attend meetings of the Search Committee.

With regard to the representation from categories 3 and 4, the two members of the Board of Governors who presently serve on the University's Nominations Committee would be asked to join the Search Committee.

- (b) That the Chairman would write to members of the Board in Category 2 regarding the position of Chairman of the Board of Governors and, at the same time, would invite members of the Board who are not interested in the position to join the Search Committee.
- (c) That further information on the composition of the Search Committee and the process it would adopt would be provided at the next meeting of the Board.

5. Financial Statements

Received: The audited Financial Statements for the year ended 31 July 2008 and the recommendation from the Finance Committee that they be approved.

Reported:

- (1) That the Financial Statements reported an operating surplus of £0.2m, which demonstrated the success of the Action Plan adopted by the Board in February 2007 to bring the University into surplus without vitiating strategic progress. The Plan had sought to eliminate the underlying operating deficit at the end of 2006-07 and position the University to deliver a surplus from 2008-09 onwards.
- (2) That the budget for the financial year 2008-09 was set to deliver the targeted return to surplus and continuous growth in surplus was projected in the five-year financial plan of the University.
- (3) That the Net Cash Outflow of £13.3m was driven by exceptional payments of £31.9m for Early Retirements and Voluntary Severance, and as reported, financial projections for 2008-09 target the University to return to positive cash generation levels.

- (4) That note thirty-nine of the Financial Statements outlined a post balance sheet event concerning the University's investment in Heritable Bank, an Icelandic Bank which had been placed in administration. At the time, the University had outstanding deposits of £5m, of which £2m had been placed prior to the balance sheet date. As the conditions that caused Heritable Bank's inability to repay customers did not exist at the year end, no provision was required against the amounts deposited at the year end. In addition, adverse movements in the value of the University's listed investments had occurred post balance sheet. However, the value of fixed asset investments had been properly recorded at the year end in accordance with the requirements of the SORP and therefore no adjustments were required.

Resolved: That the Board confirm:

- (1) That it was not aware of any actual or potential non-compliance with law and regulations that could have a material effect on the ability of the University to conduct its business and, therefore, on the results and financial position to be disclosed in the Financial Statements for the period ended 31 July 2008.
- (2) That the Financial Statements for the period ended 31 July 2008 be approved for onward transmission to the Higher Education Funding Council for England (HEFCE), and that they be also forwarded to the General Assembly for comment in accordance with Statute IX.8(b).

Forwarded to the General Assembly

6. Management Report

Received: On recommendation from the Audit Committee, the Management Report from the External Auditors (PricewaterhouseCoopers LLP) for the year ended 31 July 2008.

Reported:

- (1) That the Management Letter covered issues arising from the audit work with respect to the financial performance and position of the University, internal controls (including risk management) and audit and accounting issues.
- (2) That a review of internal audit arrangements had allowed the External Auditors to reach the view that reliance could be placed on the work of the Universities Internal Audit Consortium (Uniac), meaning that there was no requirement to duplicate this work.
- (3) That the Management Letter raised sixteen recommendations, in respect of which management acceptance had been confirmed and appropriate action plans agreed. In overall terms, the auditors had been able to work well with the University in respect of the tighter deadline this year and it was anticipated that the accounts would be finalised by the due date without qualification. However, although the control environment had improved over the last twenty months there remained some ongoing issues in respect of the control environment. There were a large number of unadjusted misstatements outlined in the report, and although small in scale, the number of them was a cause for concern as was the level which was considered high in comparison to commercial organisations and within the sector.
- (4) That the Management Letter, together with the Annual Opinion of the Internal Auditors, highlighted issues in respect of the control environment at School and Faculty level. With regard to the large volume of misstatements, the problem was not that the transactions were erroneous, but that the separation of those responsible for processing them from the staff with knowledge and awareness of the appropriate accounting judgements had led to the incorrect treatment of income and expenditure. Within the Faculty of Engineering and Physical Science, where a large number of misstatements had arisen, the problem had been acknowledged and a review of reporting relationships, with the involvement of the Director of Finance, was presently underway.
- (5) A new Statement of Recommended Practice (SORP) had been introduced from 1 August 2007, and which had affected the accounting treatment applied throughout the audit in this year. The changes introduced particularly affected the treatment of Heritage Assets and Endowments. In respect of endowments and charitable donations the Management Letter

referred to a number of endowments where supporting documentation could not be located to determine the appropriate classification. The University planned to approach the Charities Commission in order to obtain approval for the reclassification of these assets and proposed classifying these assets for the current year end in anticipation of receiving clearance in the future. Accordingly, the Board had been asked to confirm this in writing to the Auditors via the Letter of Representation.

- (6) That, following completion of the external audit, PricewaterhouseCoopers LLP anticipated that they would be able to indicate that the Accounts of the University complied with the HEFCE Statement of Recommended Practice and gave a true and fair view of the University's affairs as at 31 July 2008.

Resolved: To approve, as required by the HEFCE Code of Practice on Audit and Accountability, the onward transmission of the Management Report to the HEFCE Assurance Service.

7. Letter of Representation

Received: The Letter of Representation, provided in connection with the audit of the Financial Statements undertaken by the External Auditors, for the year ended 31 July 2008.

Resolved: That subject to minor amendment, the Letter of Representation be approved by the Board for return to the external auditors.

8. Five-Year Forecasts

Received: The Five-Year Forecasts, on recommendation from the Finance Committee, and prepared for submission to HEFCE.

Reported:

- (1) That the Financial Forecasts continued to reflect the University's commitment to develop a surplus of 4% to achieve long term financial sustainability. The Forecast had been prepared on a best estimate basis as the external operating environment was increasingly uncertain. The intention was to refine further and develop the five-year forecasts, presenting best and worst case positions, and thereby enabling them to be used as a key planning tool in considering and appraising the strategic options available to the University.
- (2) That pay and pension escalation remains a key dependency within the forecasts, and that staff cost inflation was assumed at 7.1% in 2008-09, and at 4% in the remaining years. No further increases in current service pension contributions were assumed. It was, therefore, clear that staff cost inflation was a major risk to the University, and that any increases would require careful management in order to ensure that they were sustainable.

Resolved: To approve the onward transmission of the Five-Year Forecasts to HEFCE.

9. President and Vice-Chancellor's report

(1) The Report of the President and Vice-Chancellor to the Board of Governors

Received:

- (a) A report of the President and Vice-Chancellor to the Board of Governors, which was ordered to be bound for reference.
- (b) A draft Interim Agreement relating to the formation of the Manchester Academic Health Science Centre, and the proposed Memorandum and Articles of Association governing its incorporation as a company limited by guarantee.
- (c) A statement from a Partner at Pinsent Masons LLP, which provided further information on the University's participation with the Manchester Academic Health Science Centre, and its putative incorporation as company limited by guarantee.

- (d) A recommendation that the Board approve membership of The University of Manchester in the Manchester Academic Health Science Centre on the basis set out in the proposed Interim Agreement, the proposed Memorandum and Articles of Association and the Member Agreement, provided that should any of these documents be materially amended, the President and Vice-Chancellor would consult the Chair and Deputy Chair of the Board of Governors, prior to committing the University to the proposed partnership.

Noted:

- (a) That the President and Vice-Chancellor provided an update on the Planning and Accountability Cycle, covering the 2008 round of operational performance reviews (OPRs), the Board's Planning and Accountability Conference to be held on the 27 and 28 March 2009, and longer term-strategic planning. The outcome of the OPRs, which entail a thorough and detailed analysis of the operational performance of each of the University's primary budget units, would inform the *Stock Take Report*, which would be presented at the Board's Planning and Accountability Conference in March. During the conference, there would be a special focus on longer-term strategic planning, with discussion focused on a draft of a re-appraisal and re-working of *Towards Manchester 2015*, five years on from its adoption by the Board in 2004. The President and Vice-Chancellor indicated to the Board that during the period of developing this draft there was an awareness of the inherent danger that revisiting the agenda might be perceived as an exercise in extending the timelines for the original ambitious goals, or diluting the concentrated strategic ambition with which the new University was founded in 2004. For that reason, the title of the new version of the strategic plan, *Building on the Manchester 2015 Agenda: Towards Manchester 2020*, had been chosen carefully to dispel such concerns and make clear that this strategic exercise was about extending the *2015 Agenda*, not abandoning or diluting it.
- (b) That the President and Vice-Chancellor, in referencing the Financial Statements, the Management Report from the External Auditors, and the Five-Year Forecasts presented elsewhere on the agenda, reflected on difficulties within the wider financial environment in which the University would be operating over the next year or so. The President and Vice-Chancellor outlined a number of areas of University funding which were likely to fall under severe pressure, as well as some opportunities, notably in respect of increased levels of bespoke executive education. Within the next year, it was likely that there would be an even greater premium on the efficiency, effectiveness and quality of performance across all of the University's activities, a greater need to behave collegially in decision-making, and a danger that morale would decline. It was vital, therefore, that the University should remain relentlessly strategic and remain fixed upon the right priorities, despite the difficult choices imposed by relative scarcity of resources.
- (c) That the President and Vice-Chancellor provided a short report on student numbers, ahead of the official census date of 1 December 2008. With a small number of notable exceptions in areas such as Physics and Computer Science, where the University's experience reflects national trends, home and EU undergraduate student enrolments remain strong. Home/EU PGT numbers had fallen slightly below target, while current data on the numbers of students who have registered and paid fees indicated enrolment outcomes slightly ahead of target. A further report on recruitment outcomes would be made available after the census date.
- (d) That the University had been approached by the Seychelles Government about the possibility of entering into a development partnership over ten years in relation to the establishment of a University of the Seychelles. The concept under discussion is one in which the Seychelles University would not initially have degree awarding powers, but would work with one or more international partners on a small number of twinning or validated degree programmes. Should the discussions develop positively, a formal proposal would be submitted to the Board for consideration.
- (e) That the President and Vice-Chancellor provided a report from Professor Simon Gaskell, the Vice President (Research), on the current thinking in the Executive as to how best the University might respond to various outcome scenarios in the RAE.

- (f) That the President and Vice-Chancellor reported on the recent announcement that the next Chief Executive of HEFCE would be Sir Alan Langlands, Chair of UK Biobank Ltd, and the former Chief Executive of the NHS from 1994 to 2000.
- (g) That the President and Vice-Chancellor presented the Board with a report on the development of the University's partnership with the six most research active NHS Trusts in Greater Manchester, in the form of the Manchester Academic Health Science Centre (MAHSC). The Board discussed the partnership in detail, and noted the protection afforded to the University in respect of the partnership agreement through the "reserved matters" that could be determined only "by unanimous decision of the members", and which therefore provided a *de facto* veto over a range of matters in relation to its primary interests. Further protection was enshrined in the *Members Agreement*, enabling the University to retain control of a number of its key objectives, including *inter alia*, the provision that the University would be the primary institutional address for all research publications published by and through MAHSC. The Board noted the provisions in the Agreement in respect of Intellectual Property, and proposed that the detail of this part of the Agreement should be reviewed by UMIP before the Agreement was enacted.

Resolved: To approve membership of The University of Manchester in the Manchester Academic Health Science Centre on the basis set out in the proposed Interim Agreement, and the proposed Memorandum and Articles of Association and the Member Agreement, provided that should any of these documents be materially amended, the President and Vice-Chancellor would consult the Chair and Deputy Chair of the Board of Governors, prior to committing the University to the proposed partnership.

(2) **Report to the Board of Governors on exercise of delegations**

Reported:

(a) **Professorial appointments**

The following appointments had been approved on behalf of Senate and the Board of Governors:

***Ad Personam* Chair in Intellectual History**

Stuart Jones, BA, MA, DPhil (Oxon), previously Reader at this University, as Professor of Intellectual History in the School of Arts, Histories and Cultures from 1 August 2008.

***Ad Personam* Chair in Educational Theatre**

Anthony Jackson, BA, MA (Wisconsin), previously Senior Lecturer at this University, as Professor of Educational Theatre in the School of Art, Histories and Cultures from 1 August 2008.

***Ad Personam* Chair in Health Management**

Naomi Chambers, BA, PhD (Manchester), previously Senior Fellow at this University, as Professor in Health Management in the Manchester Business School from 1 August 2008.

***Ad Personam* Chair in Physical Geography**

Jamie Woodward, BSc, PhD (Camb), previously Reader in Physical Geography at this University, as Professor of Physical Geography in the School of Environment and Development from 1 August 2008.

***Ad Personam* Chair in Educational Assessment**

William Boyle, BEd, MPhil (Manchester), previously Senior Research Fellow at this University, as Professor of Educational Assessment in the School of Education from 1 August 2008.

Ad Personam Chair in Human Geography

Maria Kaika, MA, DPhil (Oxon), previously Reader in Human Geography at this University, as Professor of Human Geography in the School of Environment and Development from 1 August 2008.

Ad Personam Chair in Financial Management

Sydney Howell, BA, MA, PhD (Manchester), previously Senior Lecturer at this University, as Professor of Financial Management in the Manchester Business School from 1 August 2008.

Ad Personam Chair in Anthropology

Karen Sykes, BEd, MA, PhD (Princeton), previously Senior Lecturer at this University, as Professor of Anthropology in the School of Social Sciences from 1 August 2008.

Ad Personam Chair in German History

Matthew Jefferies, BA Hons, DPhil (Oxon), previously Senior Lecturer at this University, as Professor of German History in the School of Languages, Linguistics and Cultures from 1 August 2008.

Ad Personam Chair in British History

Hannah Barker, BA Hons, DPhil (Oxon), previously Senior Lecturer in this University, as Professor of British History, in the School of Arts, Histories and Cultures from 1 August 2008.

(b) Other authorisations

Acting on behalf of the Board of Governors, the President and Vice-Chancellor has approved the appointment of Dr Stella Butler, Deputy University Librarian, to serve as a member of the Brotherton Collection Advisory Committee at the University of Leeds with immediate effect and vice Mr W G Simpson (who has retired from The University of Manchester).

(c) Seal orders

Pursuant to General Regulation VII.4, the Common Seal of the University has been affixed to the instruments recorded in entries no. 813-831, Seal Register 1.

10. Board committee reports

(1) Finance Committee (7 November)

Received: A summary report and minutes from the meeting of the Finance Committee held on 7 November.

Reported:

- (a)** That Finance Committee had received an update from the President and Vice-Chancellor on the independent review of the USS Pension Scheme. The Director of Finance reported on the slow progress of negotiations with the Trustees of the UMSS Pension Scheme.
- (b)** That twelve months notice had been given to Jewsons Associates terminating their contract with the University. The Committee noted that investment performance across the University's investment portfolio had been weak reflecting the situation in

world markets. Retrospective approval was given to the decision to part liquidate/part retain the BlackRock European Property Fund (following a restructure of the Fund). The Finance Committee also noted that the Fund Managers had now agreed to release portfolio information into the public domain, provided the data was at least two months old.

- (c) That Finance Committee had provided retrospective approval to a prudent change in the University's cash management policy to permit higher levels of placements with a number of UK clearing banks and major building societies.
- (d) That the informal investment "sub group" (which had met to consider the BlackRock European Property Fund) should be formally constituted as an Investment Committee of Finance Committee and it was agreed that Finance Committee should review draft terms of reference and membership at its next meeting.
- (e) That Finance Committee had approved the write-off of some £1m of irrecoverable debt covering the period since 2001/02. The Director of Finance raised the issue of the systems problem surrounding the allocation of cash and emphasised the importance of finding a solution to enable meaningful debt reporting.
- (f) That Finance Committee received the Financial Statements for the year ended 31 July 2008. The accounts were recommended for acceptance by the Board of Governors and the President and Vice-Chancellor and Chairman would sign them on behalf of the University prior to submission to the Funding Council.
- (g) That Finance Committee had approved the Five Year Forecasts for acceptance by the Board and submission to the Funding Council.
- (h) That Finance Committee had formally approved the revised Financial Procedures and noted that the outcomes of the reviews of travel, credit policy and contract limits may result in further revisions in due course.
- (j) That Dr Keith Lloyd (chairman of SUSC) reported that the last meeting of the Subsidiary Undertakings Sub-Committee had approved the accounts of the University's subsidiary companies (with the exception of two companies, pending resolution of certain matters) and, where required, letters of support.
- (k) That Finance Committee approved a revised mandate with the NatWest Bank which reflected changes in personnel.

(2) **Audit Committee** (10 November)

Received: A summary report and minutes from the meeting of the Audit Committee held on 10 November.

Reported:

- (a) That the Committee considered the Annual Report of the Audit Committee and recommended its contents to the Board for formal approval. The Report had been compiled in a form that was consistent with the guidelines issued by HEFCE in its Code of Practice on Audit and Accountability and included a resumé of the work of the Internal and External Auditors to date and of other significant matters considered by the Committee. In summary, the Report advised the Board of Governors that the Committee was of the opinion that reasonable reliance could be placed on the University's internal control systems and that there were adequate arrangements for securing economy, efficiency and effectiveness. However, the Report made reference to the Management Letter, which together with the Annual Opinion of the Internal Auditors considered at the meeting held on 2 October 2008, highlighted some issues in respect of the control environment at School and Faculty level.
- (b) That the Committee had considered the Management Report from the External Auditors (PricewaterhouseCoopers LLP) on the Draft Accounts (and also received by the Committee) for the period ended 31 July 2008, which recorded the key features of the audit, and contained details of specific observations arising from the way in which they had been treated in the Accounts and the management responses. The

Committee resolved to commend the conclusions of the External Audit Management Report to the Board of Governors.

- (c) That the Annual Opinion of the Internal Auditors, which forms part of the Annual Report of the Audit Committee, had been updated to reflect the discussion held at the October meeting. The relevant text had been amended to state that:

“For a fully effective internal control environment, senior staff across the Faculties (who are responsible for setting the tone and developing the culture) and within all the central Directorates need to give a higher priority to their control responsibilities and the impact of their actions. We have met with the President and Vice-Chancellor to discuss the control environment and agreed:

- The need to re-enforce the importance of the devolved control framework will be covered at a forthcoming Planning and Resources Committee – which is chaired by the President and includes the Deans. We have also been asked to make a presentation at that meeting;
- We will treat the area as a priority in the 2008/09 financial year ensuring that there is robust follow up on previously agreed action and we will again visit Faculties and Schools to assess compliance with the necessary controls.”

Resolved: To approve, as required by the HEFCE Code of Practice on Audit and Accountability, the onward transmission of the Annual Report of the Audit Committee to the Board of Governors to the HEFCE Assurance Service.

(3) Risk Committee (10 November)

Received: A summary report and minutes from the meeting of the Risk Committee held on 10 November.

Reported:

- (a) That Risk Committee recommended that the Board approve the Health and Safety Policy for 2008-09.
- (b) That the Committee had discussed the implications of two recent student deaths and discussed the policies and services which the University provided to support the mental welfare of students.
- (c) That the Committee had received a progress report on the Inquiry being conducted by Professor Coggon.

Resolved: That the revised Health and Safety Policy be approved ([Appendix 1](#)).

11. Report from the Senate (from the meeting held on 29 October)

Received: A report on the issues raised at the meeting of the Senate held on 29 October.

Reported:

- (1) That the Vice-President (Teaching & Learning) had given a presentation to members on the results of the National Student Survey. The second item of business within the Vice-President’s report was the implementation of the recommendations of the Undergraduate Review and members discussed a proposal for the introduction of a University Medal. Senate also discussed the proposals for a Learning Commons.
- (2) That Senate had considered a paper on academic titles. The proposal originally outlined in the paper was not approved and instead Senate voted in favour of a third option which had been proposed from the floor.
- (3) That the Director of Human Resources introduced the paper about probationary arrangements which, subject to some minor re-drafting, was approved.

- (4) That the changes to the Code of Practice for dealing with complaints of misconduct in research were agreed and a paper entitled 'Preparation for the release of results of RAE 2008' had been received for information.

Resolved:

- (1) To approve the proposal from Senate concerning academic titles ([Appendix 2](#)).
- (2) To approve the paper on probationary arrangements ([Appendix 3](#))

12. Report from the Planning and Resources Committee (from the meeting held on 4 November 2008)

Received: A summary of matters discussed at the meeting of the Committee held on 4 November.

Reported:

- (1) That PRC had considered a report on the National Student Survey (NSS). 2008 is the fourth year of the Survey of final-year undergraduate students whose primary purpose is to provide information to students who were in the process of applying to University to inform their choices. A further critical use of the NSS was by media organisations compiling league tables.
- (2) That a Time Allocation Survey Briefing Document, prepared by the Vice-President and Dean of the Faculty of Humanities, was considered by the Committee. The Committee noted that during 2008-09 the University would be asking members of academic staff to complete a simple form to record how they spent time during a particular week.
- (3) That a summary report on the third biannual staff survey, which was conducted in May 2008, was considered by PRC and was provided for the information of Board members.
- (4) That the Committee had considered a paper prepared by the Director of Student Recruitment, Admissions and International Development. The Paper provided an analysis of the use of educational advisers in maximising the University's potential to recruit international students.
- (5) That a summary report of the Management Accounts as at 31 July 2008 was considered by the Committee. In addition, the Director of Finance provided an update for the Committee on the Pension Guarantee, Investment Management, and the outcome of the year-end Audit.

13. Any Other Business

Noted: That the appointment of a University Solicitor, or University Counsel, was raised by a member of the Board. In response the Registrar and Secretary referred to the in-house legal expertise currently at the University's disposal. With regard to a specific, more senior appointment, the Registrar and Secretary highlighted the difficulties the University would have to overcome in recruiting to such a position, given the skills and experience that would be required for this role.

Taken as read and signed as a correct record on 11 February 2009

Health & Safety Policy 2008/9

Foreword from the President

Health and safety legislation places duties on all of us, but particularly on the leaders of any organisation. I take this responsibility very seriously, and expect all senior managers at the University to do the same. One of the ways in which we can demonstrate leadership is to develop clear policy for which we are held accountable. Our monitoring and reporting arrangements should enable us to demonstrate our achievements and relate them to our strategic objectives.

But merely complying with the law is not enough. The benefits of a fit and healthy community of staff and students are obvious, and failure to promote a positive and sensible approach to health and safety carries a high price for those individuals injured or made ill in the course of their occupation.

This policy sets down the basic parameters that will help us work towards a productive and caring health and safety culture. We aspire to excellence in all our endeavours and health and safety management is no exception.

Purpose of this policy

1. It is the policy of the University of Manchester to pursue high standards of health and safety management that are open, supportive and empowering, and responsive to the academic work environment. Our objective is to comply with our statutory obligations, and work beyond these towards good and best practice in the higher education sector.
2. In order to achieve this, the University recognises that health and safety is a core management function and best practice entails its full integration into the management of all other activities. The University will endeavour to ensure that adequate resources are provided to support this policy.
3. In this context, efficient and effective management means
 - embarking on a process of continual improvement
 - showing leadership and commitment to managing health and safety on a day-to-day basis and at a strategic level, and leading by personal example
 - acknowledging and (where appropriate) rewarding good practice
 - using the process of informed risk assessment to design out hazards, and achieve appropriate controls over risks that cannot be eliminated
 - facilitating the involvement of all employees in decisions affecting their health and safety at work
 - provision of competent personnel through effective training, professional development and support.
4. **Internal monitoring and auditing:** The health and safety management system will be subject to internal monitoring and auditing throughout the University, and the outcomes from these processes will inform and improve management practices as part of the commitment to continual improvement. From time to time, the University will also undertake appropriate benchmarking and external auditing exercises.
5. **All staff:** must take reasonable care of themselves and all others who may be affected by their acts and omissions, and comply with both central and local policies and arrangements for safe working to enable the University of Manchester to discharge its legal duties with regard to health and safety. Some staff have specific responsibilities, and these are detailed in the procedure to implement the health and safety policy.
6. **All students:** must not interfere with or misuse any thing, object, structure or system of work provided by the University of Manchester in the interests of health and safety.
7. **All staff and students, and their representatives:** are encouraged to participate in decision-making processes locally and campus-wide, and must :

- report any accident at work which results in personal injury or ill health, however minor, and every dangerous occurrence, including fire, using the approved form;
 - report “near miss” incidents which have the potential to cause injury or ill health, using the approved form;
 - notify the Director of Health & Safety Services when suffering from a disease or medical condition which may be caused by, or made worse by, work activities (this information will be treated as confidential);
 - not proceed with any activity if they feel it poses a threat to their health and safety, or to that of others;
 - report any unsafe or unhealthy working conditions, or suspected faults in buildings, building fabric, or in any equipment, without delay and in accordance with school / directorate arrangements.
 - assist any visitors who may not be familiar with University procedures, to the best of their abilities.
8. **For staff and students working in NHS Trust premises:** there is a joint agreement and memorandum of understanding signed by the President and by each Trust Chair, which describes the general principles governing health and safety management in these shared workplaces.
9. **Review and update arrangements:** The policy will be reviewed annually by the Health & Safety Committee, and revised or updated as necessary.
10. **Consequences of non-compliance:** Health and safety management should provide a very positive contribution to the overall efficient and effective management of the University. Non-compliance with this policy will therefore be viewed as a serious matter, ultimately subject to the University's statutes on disciplinary procedures for staff and for misconduct of students.

Exclusions from this policy:

11. For the avoidance of doubt, this policy is for the University of Manchester only. It does not cover organisations which are separate legal entities.
12. For the purposes of clarification, the Director of Sport, Trading and Residential Services (STARS) is responsible for food hygiene in areas under his control, and the Director of Estates will have regard at all times to the possible impact of estate developments and facilities provision on the environment.

Document control box	
Policy title:	Health and Safety Policy
Date approved:	(tbc)
Approving body:	Board of Governors
Version:	2008/9
Supersedes:	Version 2007/8
Previous review dates:	October 2007, October 2006, March 2005, October 2004 (interim statement)
Next review date:	October 2009 (annual, or upon any significant change)
Equality impact outcome	Initial screening : medium (This policy has been assessed as MEDIUM relevance as it is an Institution wide policy and it has consequences for or affects some people.)
Related Statutes, Ordinances, & General Regulations	Health & Safety at Work etc Act 1974, section 2(3) University of Manchester Statute XII(g) University of Manchester Statute XIII, Part III to do with disciplinary procedures for members of staff General Regulations, Regulation XVII, 3(f) and 5(a) to do with misconduct of students
Related Policies:	To be determined
Related Procedures	Procedure to implement the health and safety policy
Related Guidance:	A-Z of guidance documents on specific health & safety topics, at: http://www.campus.manchester.ac.uk/healthandsafety/CoPs&Guidance.htm
Related information:	Membership, terms of reference and minutes of :

	<ul style="list-style-type: none"> • University Health and Safety Committee • University Occupational Health, Safety & Training Advisory Group • University Genetic Modification & Biohazards Safety Advisory Group • University Radiation Safety Advisory Group • University Fire Safety Advisory Group <p>At: http://www.campus.manchester.ac.uk/healthandsafety/meetings.htm</p> <p>Model roles of school safety advisors & other safety specialists, including school biological safety advisors, radiation protection supervisors, laser safety advisors. http://www.campus.manchester.ac.uk/healthandsafety/policy2.htm</p> <p>Health & Safety Services booklet – aims, purpose, structure, contact details (hard copy available from HSS)</p>
Policy owner:	Dr S A Robson, Director of Health & Safety Services
Lead contact:	Dr M J Taylor, University Safety Advisor

APPENDIX 2

Academic Titles

Original proposal		Amended proposal tabled at the meeting		Thirdway proposed from the floor	
Teaching & Research Staff, Teaching only	Research Staff	Teaching & Research Staff, Teaching only	Research Staff	Teaching & Research Staff, Teaching only	Research Staff
Lecturer	Research Fellow	Lecturer	Research Fellow	Lecturer	Research Fellow
Associate Professor		Senior Lecturer	Senior Research Fellow	Senior Lecturer	Senior Research Fellow
Senior Associate Professor		Associate Professor		Reader	
Professor		Professor		Professor	

APPENDIX 3

PROBATIONARY ARRANGEMENTS FOR NEWLY APPOINTED ACADEMIC STAFF

Subject to Approval of Senate and the Board of Governors

1. Application

These arrangements are in accordance with Statute XIII.6 and Ordinance XXVI. They apply to all new academic staff (including teaching-focused staff) at grades 6, 7 and 8. The arrangements can be modified on a case-by-case basis (with the approval of Vice-President and Dean) to take account of previous experience.

(possibly including prior completion of a similar probationary period) at this or another University or Higher Education Institute. This can also include waiver of probation where this is considered to be appropriate.

2. General Principles

- a) The purpose of probation is to:-
- (i) ensure that the University appoints to its permanent academic staff those with aspirations, ambitions and professional accomplishments that are appropriate to its position as a world-leading institute of research and higher education.
 - (ii) provide a newly appointed member of academic staff (a 'probationer') with effective familiarisation, training and support so that they may understand and contribute fully to the mission and objectives of the University.
 - (iii) to allow academic staff to achieve their full potential and to satisfy their career aims in research and scholarship.
- b) Probationers should be given appropriate support to enable them to complete probation satisfactorily. Such support should include a clear statement of the standards that probationers are required to meet, appropriate resources (especially time) to accomplish what they are required to do, guidance on how best to meet the standards, and early notice if they are failing to make the satisfactory progress at any stage in the probationary period.
- c) The process of probation and confirmation in post complies fully with the University's stated policies of non-discrimination and equality of opportunity.
- d) Academic staff will have the opportunity and the academic freedom to follow lines of research and scholarship using their professional judgement.
- e) When a probationer fails to provide evidence of the necessary standards of professional accomplishment, the termination of his/her appointment will proceed in accordance with the University's Statutes and Ordinances.

3. Period of probation

The probationary period will be not more than four years, and will end no later than 31 July in the fourth year of appointment. In some circumstances, a Vice-President and Dean may approve a shorter period of probation. Such circumstances may include for example, prior service at a University or Higher Education Institute, perhaps in another role (e.g. independent research fellow). The probationary period may be interrupted for good cause on application by the probationer and approval by a Vice-President and Dean. Probationers may apply to be considered for confirmation in post prior to the end of the probationary period.

4. Interruption to the Probation Period

There may be occasions when the probationary period is interrupted. In such circumstances it should be made clear (and confirmed in writing) to the individual

whether probation is continuing or is being suspended. If it is the latter an indication of the period it is suspended should be given.

5. Arrangements on appointment

- a) The Head of School, or an appointed deputy, shall set out in writing the overall objectives for the individual in terms of research, teaching, academic enterprise and service, that are required for the satisfactory completion of probation. This will be provided to, and agreed, following discussion with, the probationer within three months from the date of appointment.
- b) The Head of School will also agree with the probationer, on an annual basis, an appropriate allocation of time and duties between research, teaching, academic enterprise and service, which will normally include reduced loads, in the early stages of probation, for teaching and service by reference to the School's normal academic workload management procedures. Typically the teaching and service duties will be approximately half the normal load in the first year, rising to two thirds in the second year. This will vary if the probation period is likely to be much shorter than four years. This allocation of time and duties is designed to allow the probationer the scope to meet the objectives set out in paragraph (5a).
- c) Each probationer will be assigned a probation supervisor by the Head of school (or appointed deputy). The probation supervisor will be a more senior member of academic staff, and will be assigned to the role for the duration of the probationary period. The role of the supervisor is:
 - (i) to oversee induction and integration into the School and University by devising an appropriate induction plan which will enable the probationer to meet key contacts and understand the roles and plans of different parts of the University;
 - (ii) to offer help with interpretation of the objectives and the assessment of progress against the agreed goals. Typically, the probation supervisor would provide information such as:
 - The norms and standards for research activity and research outputs in the School (these should be provided at School level as a framework for the probation supervisor to work within);
 - the norms and standards for teaching activity and the evaluation of such teaching, appropriate to the different levels of teaching activity (these should be provided at School level as a framework for the probation supervisor to work within);
 - advice with respect to mechanisms in place to support their ongoing personal and career developments as members of the University's academic staff;
 - the importance of the annual Personal Development Review (PDR: to be conducted by the Supervisor) as an agreed written record of objectives and progress with respect to research, teaching and other activities, again in the context of the likely requirements for satisfactory completion of probation;
 - the advisability of applying for confirmation in post earlier than the usual prescribed period of four years.

- d) Each probationer should attend the New Academics Programme (see section 8) normally in year 1. The Vice-President/Dean should ensure that there are no impediments put in the way of an individual satisfactorily attending and completing the New Academics Programme. The New Academics Programme is designed to give flexibility of delivery and much of it is based within each Faculty. In appropriate cases, the Head of School may make recommendations to the appropriate Associate Dean for a probationer to be exempted from part of the programme or for an individual to undertake additional development tasks as part of the programme.

6. Progress subsequent to appointment

The progress of a probationer will be kept under review through regular documented meetings with the probation supervisor. Each year there will be a PDR Interview held between the probation supervisor and probationer to provide an agreed record of:

- (i) progress during the previous year with respect to research, teaching, academic enterprise and service, by reference back to the original statement of objectives for probation issued by the Head of School and previous PDR reports if any;
- (ii) assessment of the likelihood of satisfactory completion of probation;
- (iii) actions for the future year, in particular actions designed to address any shortcomings in previous progress. In the second and subsequent years, these reports will be available to the School Promotions Committee (see Appendix A).

7. Selection of a Mentor

Each probationer will be assigned a mentor by the Head of School. The mentor will be an experienced member of academic staff different from the supervisor. The role of the mentor and the responsibilities of the probationer are outlined in the University's Mentoring Scheme (see Appendix B).

8. The New Academic Programme

The University operates a New Academics Programme. Satisfactory completion of this programme is normally required as part of the probationary process. The allocation of duties and time referred to in paragraph 5(b) should ensure that the probationer has time to participate in the New Academics Programme.

Procedures for confirmation in post of probationary appointments

The process will follow procedures analogous to those in place for promotions, and will be considered at School and Faculty levels.

- a) The progress of each probationer in the second and subsequent years will be reviewed by the School Promotion Committee (SPC).
- b) The reports of the PDR process (see section 5) will be sent to the SPC.
- c) A record of SPC advice and decisions on individual cases will be sent to the probationer and supervisor to inform future PDRs (where relevant). Where concerns on progress are raised, SPC must inform the probationer and supervisor of those concerns in writing and suggest appropriate courses of action to address the concerns (especially where these differ from actions already proposed in the PDR report).
- d) The question of confirmation will be normally considered in the third year of the probation period (but may be considered earlier) and will be based on:
 - (i) the original letter of objectives issued by the Head of School (see 4(a));
 - (ii) the record of past PDR reports and SPC reports;
 - (iii) the current PDR report;
 - (iv) evidence of satisfactory completion of the New Academics Programme;
 - (v) a clear recommendation from the Head of School.
- e) The SPC will decide whether to:
 - (i) confirm appointment in post from the first day of August following SPC;
 - (ii) decline confirmation in post, with reconsideration of the case after 12 months, with a recommended set of actions for that period;
 - (iii) decline confirmation in post. This recommendation would normally only be made following recommendation (ii), when after the 12 months the probationer is deemed not to have satisfactorily completed the actions specified.
- f) Where confirmation in post is declined (paragraph e, decision ii), SPC must inform the probationer of the decision, the reasons for it, and any steps to be taken in the next 12 months in writing. Where confirmation in post is declined (paragraph e, decision iii), SPC must write to the probationer giving the reasons for the decision and informing the probationer of the right of appeal. In the case of decision (iii), the appointment will terminate normally on the last day of July following the SPC meeting.
- g) The probationer has the right of appeal (on either substantive or procedural grounds) against the decision of SPC to extend probation (paragraph e, decision ii) or not to confirm appointment (paragraph e, decision iii). The probationer may exercise that right by writing to the Registrar and Secretary within 10 days of receipt of SPC's decision. The appeal will be heard by Faculty Promotions Committee (FPC). In the event that the appeal involves the submission of evidence not available to SPC, FPC

will refer that evidence to SPC and ask if that would have changed their decision. There will be no further right of appeal in the University. In the Faculty of Life Sciences, where the SPC and the FPC are the same body, such appeals will be heard by the University Promotions Committee (UPC) or a group constituted by the UPC for that purpose.

Appendix B

Mentoring Guidelines

1) General

- a) Reference to 'mentor' or 'mentor supervisor' in this document should be taken to imply a reference to the person who undertakes the function described, rather than implying any particular job title or role.
- b) Every probationer shall have a mentor within his or her School. A mentor shall be appointed by the Head of School (or an appointed deputy), with agreement of both the mentor and, preferably, the probationer. The appointment should be made as soon as possible after the acceptance of the post by the probationer.
- c) The mentor should be an established member of staff of the School and with broadly similar research and teaching interests. It is not appropriate for a Head of School, Supervisor or other line manager to be a mentor. Exceptionally, the mentor may be from another School, with the consent of the Head of that School and of the probationer. In appropriate cases the Head of School may appoint more than one mentor (for example to focus on research concerns or teaching concerns): in such cases one mentor must be designated as the principal mentor for that individual and should assume the role of personal advisor and guide. Moreover, the mentor should not be seen as the sole person responsible for giving such advice and guidance and it is expected that schools will make arrangements for appropriate supervisory support, for example in the preparation of bids for research funding.
- d) Each Head of School shall also appoint a senior member of staff ('mentor supervisor') whose task should be to supervise and assist the individual mentors, providing appropriate contacts where necessary.
- e) Neither mentors nor the mentor supervisor should play any formal part in the assessment of the probationer's progress or in his or her Performance and Development Review. The latter shall be by a person appointed through the Faculty's procedures and should be the individual's Supervisor or other line manager.
- f) The allocation of teaching and other duties to a mentor or mentor supervisor must take account of the load imposed by these activities.

2) The Mentoring Process

- a) The mentor provides encouragement and support at a formative stage of a probationer's career. The role is that of confidant and critical friend as well as of understanding and trusted colleague.
- b) Mentoring is an informal process in which a more experienced member of staff undertakes to help a probationer to become familiar with his or her job in the University. A mentor should advise on the expectations and responsibilities of a new member of staff and assist in managing the balance of academic life – research, teaching and contribution to the community. The mentor should be familiar with any

university or faculty guidance on probation and promotion, and with the induction process.

- c) A probationer will be required to attend the New Academics Programme and as a part of this prepare a portfolio of reflective experience. The mentor should be aware of the programme and be able to guide and help the probationer in the compilation of the portfolio.
- d) Normally, the mentor should arrange to observe at least two teaching sessions conducted by the probationer, and to provide helpful feedback on these sessions. The number of sessions may be more in the case of a teaching fellow.
- e) A mentor may provide basic information on the operation of the School, mention deadlines for various activities, give advice on the writing of research proposals, help with the construction of examination questions and their marking, indicate the scope of various administrative tasks, if sensible share some teaching, and if appropriate advise on interviewing potential undergraduate or postgraduate students or post-doctoral staff.
- f) The mentor may also wish to advise on the supervision of research students and on the probationer's workload.
- g) The mentor should maintain liaison with the Faculty organisers of the New Academics Programme and be able to suggest other contacts for the probationer where appropriate.
- h) The initial meeting of mentor and probationer shall be arranged by the mentor as soon as possible after the arrival of the probationer in the School, preferably as part of the individual's induction into the School, and thereafter there should be regular meetings. It is not necessary to conform to any requirement of place or time for these meetings and any agenda should be set by the probationer. A mentor should also be available on request (within reason). The mentor may wish to keep a note of topics discussed and should respect the confidentiality of the process.

3) Change of Mentor

- a) A probationer should normally have the same mentor throughout his or her probationary period. However, there may be circumstances in which a probationer may wish to change his or her mentor. This might, for example, be for personal reasons, or for a period when the mentor is on Study Leave. This should be expedited by the mentor supervisor¹ and there should normally be no need to enquire into the particular reasons for the request.
- b) Unusually, a mentor may ask for a change, and this can be dealt with in the same way.
- c) Where a mentor is no longer available to undertake the task, the Head of School, after consultation with the individual and his or her Supervisor and any co-mentors, will appoint a replacement. In the case of a lengthy illness, the Head of School may appoint a temporary, or with the agreement of the individual concerned, ongoing replacement