

Institute of Technology Tralee (IT Tralee)

Strategic Dialogue Cycle 2 Assessment of Performance

Background

The *National Strategy for Higher Education to 2030* recommended that a performance-based framework be put in place in higher education. The HEA has used this framework as the vehicle for conducting a process of strategic dialogue with individual institutions, leading to performance compacts with the HEA. These compacts set out institutional KPIs and associated targets, reflecting each institution's mission and contribution to overall national higher education objectives.

The first cycle of strategic dialogue concluded in 2014 with the agreement and publication of institutional compacts, together with a minute of each strategic dialogue meeting. The latter noted areas where progress was expected by the institution in the course of the period covered by the compact.

Performance-based funding was released to all institutions in 2014 on the basis of successful engagement by them with the process. In this the second cycle of strategic dialogue, the focus has shifted towards assessment of performance against agreed outcomes, using the approach set out in the Appendix.

Assessment Process

The process of assessment was initiated with the return of a self-evaluation report by each institution. That assessment reviews performance against objectives and targets agreed for achievement by year end 2014 and set out in the performance compact. The assessment considered progress against own institutional objectives and as benchmarked against peer institutions. It was subject to review by members of the HEA Executive with input from external advisors - Mr. John Randall (former CEO UK Higher Education Quality Assurance Agency), Dr Andree Sursock (EUA) and Dr John Hegarty (former Provost of TCD).

A series of bilateral institutional meetings took place over the course of September and October. In advance of each meeting, each institution received a document entitled "Reflections on Performance". This set out feedback under each compact heading and formed the basis of the meeting agenda. A process auditor was present at all bilateral meetings.

Assessment Findings

In assessing performance, we have relied upon the self-evaluation report submitted by your institution, the "Reflections on Performance" document prepared by the HEA and the discussion at our recent strategic dialogue meeting, a minute of which has now been prepared. The aforementioned documentation is now attached.

The self-evaluation report, and subsequent discussion at the bilateral meeting, have shown that while progress can be demonstrated across all domains, the report provides significant details and progress on what should be classed as day to day activity and could be more focussed on

strategic long term objectives. The layout and detail provided lacked clarity in some sections and omitted detail, largely focussing on process rather than outcomes. The overall coherence of actions needs to come through such as how upgrading staff qualifications and developing research aligns with the teaching mission.

IT Tralee noted the potential to add value by pursuing TU status in the future, in collaboration with CIT. Prior to this, however, there is a need to address underpinning issues within the institution, particularly around research- in terms of numbers and intensity. The Institute has undertaken to review on a case by case basis the current research centres, with a view to ensuring the number of centres adequately reflects the intensity of research offering. The institution should then develop more integrated planning processes to address cross-institutional issues. Further, it is noted that TU developments have impacted upon delivery in some areas.

As discussed at the bilateral meeting, it is imperative that in advance of the 2015 progress update that significant self-evaluation is undertaken. Further detail should be provided on internal analysis of performance and how the institution is learning and developing its capacity, using benchmarks as appropriate. IT Tralee have stated that they welcome advice and guidance in this regard. IT Tralee's commitment to the region is palpable but the institution's broader drive and direction are not coming through strongly and IT Tralee should reflect on how best to frame the strategic vision in a revised compact.

This places IT Tralee in category 2 in the Appendix. The institution is advised to address the above areas as a priority to ensure the release of performance funding in future cycles.

Issues of general application

In addition to the institution specific issues identified above, the HEA identified the following issues of general application over the course of the bilateral meetings.

- The weakness of benchmarking at institutional, faculty or disciplinary level as a means of setting context for the statement of institutional ambition.
- Objectives should be reviewed to ensure that -
 - they are appropriately linked to overall institutional strategy,
 - they represent a performance stretch in ambition, and
 - they have an appropriate balance between process and outcome.
- There is a need to ensure that institutions are prioritising between the domains of the compact in the light of their institution's particular mission and strengths.

Institutions are required to have regard to these when reporting on 2015 performance in 2016 and in future compact preparation and reporting.

In addition, as discussed at the bilateral meetings, the HEA will further reflect on the future development of the strategic dialogue process. In particular, how the process can foster the setting of higher risk or stretch targets while accepting that not meeting such targets may not represent failure.

Next steps

In addition, all HEIs are invited to review the objectives set out in their compacts, in the light of experience of first year reporting. The review should consider whether:

- Any objective should be re-formulated to “stretch” the HEI more, so as to incentivise continuous improvement;
- Any objective related to the development of process should be redefined to place greater emphasis on the outcomes the process is intended to deliver;
- Any objective should be dropped, to enable resources to be better focussed on objectives which are more mission-oriented;
- Any objective should be modified to reflect significant changes in the environment in which the HEI operates.

Appendix: Progress Against Own Objectives

The performance funding consultation paper, circulated in Autumn 2014, set out three categories of performance. Drawing on this, and with further input from External Advisors recruited under cycle 2, performance is classified as follows:

- Category 1 comprises HEIs which, overall, have performed well against their objectives and have demonstrated excellence in some mission-critical domains.
- Category 2 comprises HEIs whose performance against their objectives is satisfactory overall, with some areas of strong performance. The institution's attention, however, is drawn to issue(s) that need to be addressed to ensure release of performance funding in future cycles.
- Category 3 comprises HEIs whose performance is inadequate to justify drawing down of conditional funding and who must submit a revised plan if they are to "win back" the withheld funding.