

# **Draft Mission-based Performance Compact**

**2018-2021**

*between*

**Higher Education Institution**

*and*

**The Higher Education Authority**

Date: /09/2018



## Context

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This Compact is an agreement between the Higher Education Authority and Higher Education Institution and is the outcome of a process of strategic and performance dialogue between the two bodies.

The purpose of strategy and performance dialogue is to align the missions, strategies and profiles of individual higher education institutions with national priorities, and to agree strategic objective indicators of success against which institutional performance will be measured and funding allocated.

This Compact demonstrates a shared sense of the balance that is required between institutional autonomy and public accountability and a recognition that a diverse range of strong, autonomous institutions is essential for the overall higher education system to respond effectively to evolving and unpredictable societal needs.

The Compact recognises that Higher Education Institution is an autonomous institution with a distinctive mission, operating within a regional, national and international higher education environment.

The Compact recognises that there is a tension between providing a transparent framework of public accountability for performance in relation to funding, and risks of unintended behaviours related to measurements. It addresses this tension by requiring higher education institutions themselves to propose the qualitative and quantitative indicators against which their performance should be assessed by the Higher Education Authority.

The purpose of this Compact is to provide a strategic framework for the relationship between the Higher Education Authority and Higher Education Institution. It sets out how Higher Education Institution's mission and goals align with national goals for higher education.

This Compact also contributes to creating a transparent and accountable system of administration of State funding. To support this purpose, the Higher Education Authority and Higher Education Institution agree that this Compact will be published.

### The principles of State funding support

The principles under which State funding for higher education is provided are:

- Institutional autonomy balanced with public accountability for high quality outcomes; and
- Core funding allocations that are predictable, fair and transparent, and that provide reasonable stability from year to year and in which funding follows the student.

# Contents

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	Page
<b>1. Establishment of the Compact</b>	<b>4</b>
Provides for the establishment of the Compact and its term, and for the Higher Education Authority to inform Higher Education Institution of any actual or prospective changes to policy.	
<b>2. Performance Funding Framework</b>	<b>5</b>
Sets out the Performance Funding Framework within which the HEA will allocate performance funding to Higher Education Institution.	
<b>3. Mission and Strategy Statement</b>	<b>6</b>
Includes a statement of Higher Education Institution's mission and strategy. The <b>Error! Reference source not found.</b> also agrees to inform the Higher Education Authority of changes to its mission and profile.	
<b>4. Development Plans and Objectives</b>	<b>7</b>
Sets out Higher Education Institutions strategic intentions and objectives using standardised templates aligned to the published framework. These strategic intentions / objectives <i>must</i> align with the institution's own properly formulated strategic plan.	
<b>5. Annual Compliance Statement</b>	<b>7</b>
Where significant or urgent governance or compliance issues arise, an institution may be deemed not to have met the minimum requirements of strategy and performance dialogue.	
<b>6. Agreement</b>	<b>14</b>
Contains confirmation of the agreement between the HEA and Higher Education Institution, to be signed upon conclusion of the strategy and performance dialogue process.	
<b>Appendices</b>	<b>15</b>
Where necessary, this includes additional material supplied by Higher Education Institution, including details of how objectives might be objectively verified. This appendix will include a quantitative data sets developed by the HEA and HEIs over the coming months. Institutions will be required to validate and finalise these institutional baselines by September.	

# 1. Establishment of the Compact

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The Higher Education Authority and Higher Education Institution agree that:

- This Compact consists of this document and the accompanying data report on the performance
- The term of this Compact is from September 2018 to September 2021 unless terminated earlier by agreement

Higher Education Institution acknowledges that policy underlying some or all of this Compact is subject to review by the Minister for Education and Skills or by the Higher Education Authority from time to time. The Higher Education Authority and Higher Education Institution agree that if changes need to be made to the Compact because of such a review, the Higher Education Authority will notify Higher Education Institution of this in writing and will consult with Higher Education Institution accordingly.

## 2. Performance Funding Framework

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Higher education Performance Funding will provide incentives for higher education institutions to improve overall performance in accordance with their own strategies and with their place in the overall system.

Performance Funding will be allocated by the HEA based on performance by reference to high level targets set out in the Framework. Targets must be agreed in strategy and performance dialogue with the HEA. The intention is both to improve the performance of the institution in key areas and to steer the institution closer to its agreed mission and profile and to its position in the overall higher education system. The degree of challenge and of realism inherent in the targets proposed will be evaluated and discussed in strategy and performance dialogue.

The Higher Education Authority and Higher Education Institution agree to review annually the effectiveness of implementation of the strategies and goals for achieving the agreed national and institution outcomes.

### 3 Mission and Strategy Statement

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Higher Education Institution's mission and strategy sets out its values and aspirations, what it does and how it can best serve the interests of its students, staff and key stakeholders. The Higher Education Authority and Higher Education Institution acknowledge that Higher Education Institution's mission and strategy may evolve.

Higher Education Institution and the Higher Education Authority recognise that Higher Education Institution is an autonomous institution that is responsible for determining its mission, its aspirations and its strategies for their achievement.

However, the Higher Education Authority must ensure that together the missions and profiles of the different institutions will lead to overall coherence of the higher education system as a whole and to completeness, ensuring that national needs are being met and without unnecessary duplication.

#### *Changes to the mission and strategy statement*

The Higher Education Authority acknowledges that Higher Education Institution may adjust its mission and strategy from time to time. Higher Education Institution agrees that the following will be the subject of strategy and performance dialogue with the Higher Education Authority and may result in a change to the Compact:

- Any significant change that it proposes to make to its mission during the term of the Compact
- Any significant change that it intends to make to its activities that could affect either the content or the practical application of its mission.

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Enter a short summary of your mission and strategy statement here along with a link to your institution's published strategy.

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## 4. Development Plans and Key System Objectives

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### Section summary

Institutions are required to set out a description of their proposed approach to deliver on each of the six key system objectives, with reference to the national targets as set out in the Framework.

- Institutions should detail a maximum of two institutional strategic priorities under each of the six framework headings.
- Each strategic priority should be accompanied by a description of the strategic initiatives, currently being implemented, or to be implemented over the three-year timespan of the compact (academic years 2018–2021).
- These strategic initiatives should be described with reference to the high-level targets as set out in the framework.

<b>Objective 1</b>	Providing a strong talent pipeline combining knowledge, skills & employability which responds effectively to the needs of our enterprise, public service and community sectors, both nationally and regionally, and maintains Irish leadership in Europe for skill availability
<b>Objective 2</b>	Creating rich opportunities for national and international engagement which enhances the learning environment and delivers a strong bridge to enterprise and the wider community
<b>Objective 3</b>	Excellent research, development and innovation that has relevance, growing engagement with external partners and impact for the economy and society and strengthens our standing to become an Innovation Leader in Europe.
<b>Objective 4</b>	Significantly improves the equality of opportunity through Education and Training and recruits a student body that reflects the diversity and social mix of Ireland's population
<b>Objective 5</b>	Demonstrates consistent improvement in the quality of the learning environment with a close eye to international best practice through a strong focus on quality & academic excellence
<b>Objective 6</b>	Demonstrates consistent improvement in governance, leadership and operational excellence.

## 4.1 Key System Objective 1

*Providing a strong talent pipeline combining knowledge, skills & employability which responds effectively to the needs of our enterprise, public service and community sectors, both nationally and regionally, and maintains Irish leadership in Europe for skill availability.*

### High Level Targets:

1. Increase to 10% the number of those aged 25-64 engaged in lifelong learning by 2020 and to 15% by 2025 National Skills Strategy Target; current base line is 6.7%;
2. Increase the numbers of HE entrants studying on a flexible basis by 25% by 2021 (baseline 2016/17 20% or 45,018 of total enrolments are flexible learners);
3. Increase tertiary attainment among 30-34 years olds to 60% by 2020 (52.9% 2016);
4. All students will have the opportunity to undertake a work placement or work-based project as part of their course by 2025 (baseline to be established and tracked);
5. Introduce Employability Statements for all disciplines in all HEIs by 2020 (baseline to be established and tracked);
6. Increase number of available Springboard places by 30% by 2021 in both universities and institutes of technology;
7. Double target to 9,000 annual new apprenticeship registrations by 2020 (over 4,500 in 2017) with 78 separate apprenticeships in place;
8. Increase the proportion of the higher education cohort studying a foreign language, in any capacity, as part of their course to 20% by 2026 (new baseline to be established and tracked);
9. Achievement of the targets in the new ICT Action Plan.

### Strategy summary

Please provide details of a maximum of two institutional strategic priorities Higher Education Institution has identified under Key System Objective 1. Each strategic priority should include a description of the strategic initiatives, with reference to the above high-level targets, that Higher Education Institution is currently implementing or will implement over the three-year timespan of the compact (academic years 2018-2021).

This should reference the benchmarks by which the objectives have been set. Further supporting evidence, with regard to the means of verification, should be provided in the appendices.

Please note any external factors or assumptions that might affect institutional progress towards stated development objectives.

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Strategy summary:



## 4.2 Key System Objective 2

*Creating rich opportunities for national and international engagement which enhances the learning environment and delivers a strong bridge to enterprise and the wider community.*

### High Level Targets:

1. Increase the output value of internationalisation to €1.15bn per annum by 2020 (International Education Strategy baseline €819m in 2014/15);
2. International students to represent 15% of full-time students by 2020. (In 2016/17, 11.6% of all fulltime students in HEA-funded higher education institutions were international students);
3. Progress towards Bologna target of at least 20% of those who graduate in 2020 to undertake a study or training period abroad;
4. Number of innovation vouchers project agreements with industry to increase by 12% by 2020 (487 in 2016);
5. Increase number of commercially relevant technologies (licences, options, assignments) by 20% by 2020 (163 in 2017);
6. Increase number of spin-outs established during the year by 40% by 2020 (Innovation 2020 target, 29 in 2014);
7. Improve Employer satisfaction rates with HEI collaboration with enterprise by 25% as tracked in National Employer Survey (companies < 50 employees – 55% rated collaboration as good/very good; companies with 51 – 250 employees – 60% and companies > 251+ employees – 75%);
8. Participation in Erasmus+ in Higher Education and other Study and Work Placements Abroad to reach 4,400 by 2022 (3,135 in 2016) in accordance with international strategy.

### Strategy summary

Please provide details of a maximum of two institutional strategic priorities Higher Education Institution has identified under Key System Objective 2. Each strategic priority should include a description of the strategic initiatives, with reference to the above high-level targets, that Higher Education Institution is currently implementing or will implement over the three-year timespan of the compact (academic years 2018-2021).

This should reference the benchmarks by which the objectives have been set. Further supporting evidence, with regard to the means of verification, should be provided in the appendices.

Please note any external factors or assumptions that might affect institutional progress towards stated development objectives.

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Strategy summary:

### 4.3 Key System Objective 3

*Excellent research, development and innovation that has relevance, growing engagement with external partners and impact for the economy and society and strengthens our standing to become an innovation Leader in Europe.*

#### High Level Targets:

1. Increase of 500 new postgraduate research enrolments in disciplines aligned to enterprise and other national needs by 2020. (baseline 2,235 in 2014/15);
2. Increase by 30% the number of funded postdoctoral positions in disciplines aligned to enterprise and other national needs by 2020. (Innovation 2020 target);
3. Double overall Higher Education research income derived from industry to €48m (Innovation 2020 target - €24m in 2014);
4. Increase research projects between enterprise and the public research system by 20% by 2020 (2014 Baseline is 878);
5. Secure HEI Horizon 2020 target of €550m in funding by 2020 (over €200m secured by end of 2016);
6. Increase applied research in the Institutes of technology.

#### Strategy summary

Please provide details of a maximum of two institutional strategic priorities Higher Education Institution has identified under Key System Objective 3. Each strategic priority should include a description of the strategic initiatives, with reference to the above high-level targets, that Higher Education Institution is currently implementing or will implement over the three-year timespan of the compact (academic years 2018-2021).

This should reference the benchmarks by which the objectives have been set. Further supporting evidence, with regard to the means of verification, should be provided in the appendices.

Please note any external factors or assumptions that might affect institutional progress towards stated development objectives.

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Strategy summary:

#### 4.4 Key System Objective 4

*Significantly improve the equality of opportunity through education and training and recruits a student body that reflects the diversity and social mix of Ireland's population.*

##### High Level Targets:

1. All HEIs will have a Student Success Strategy in place by 2020 which will embed whole-of-HEI approaches to institutional access strategies;
2. Implement new data initiatives and indicators to support the development and implementation of evidenced based National Plans for Equity of Access by 2019;
3. Implement the strands of the Programme for Access to Third Level (PATH) Fund to support the implementation of the National Plan for Equity of Access 2015-2019;
4. Sustain the expansion from underrepresented groups with 2,000 additional enrolments from socioeconomically disadvantaged groups and 1,000 from Further education access programmes;
5. Increase in enrolments from DEIS schools by ensuring that every such school will be participating in a HEI led access programme;
6. Completion rates for students from disadvantaged cohorts will be specifically targeted for improvement.

##### Strategy summary

Please provide details of a maximum of two institutional strategic priorities Higher Education Institution has identified under Key System Objective 4. Each strategic priority should include a description of the strategic initiatives, with reference to the above high-level targets, that Higher Education Institution is currently implementing or will implement over the three-year timespan of the compact (academic years 2018-2021).

This should reference the benchmarks by which the objectives have been set. Further supporting evidence, with regard to the means of verification, should be provided in the appendices.

Please note any external factors or assumptions that might affect institutional progress towards stated development objectives.

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Strategy summary:

## 4.5 Key System Objective 5

*Demonstrate consistent improvement in the quality of the learning environment with a close eye to international best practice through a strong focus on quality & academic excellence.*

### High Level Targets:

1. Implement from 2018 Continuous Professional Development Framework for all academic staff in all HEIs;
2. All HEIs to engage in International benchmarking by 2020;
3. Improve problematic non-progression rates by 10% (overall baseline of 15% for 2014/15);
4. Improve non-progression rates in STEM disciplines by 10% (differing discipline baselines);
5. All HEIs to have in place policies for digital teaching and learning by 2019;
6. The HEA will develop guidelines to steer the process of total quality management, in line with best international practice.

### Strategy summary

Please provide details of a maximum of two institutional strategic priorities Higher Education Institution has identified under Key System Objective 5. Each strategic priority should include a description of the strategic initiatives, with reference to the above high-level targets, that Higher Education Institution is currently implementing or will implement over the three-year timespan of the compact (academic years 2018-2021).

This should reference the benchmarks by which the objectives have been set. Further supporting evidence, with regard to the means of verification, should be provided in the appendices.

Please note any external factors or assumptions that might affect institutional progress towards stated development objectives.

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Strategy summary:

## 4.6 Key System Objective 6

*Demonstrate consistent improvement in governance, leadership and operational excellence.*

### High Level Targets:

1. Implementation of the 2018 Higher Education Gender Equality Task Force Action Plan and the 2016 Expert Group recommendations;
2. HEIs to have attained an Athena SWAN bronze institutional award by 2019 (TUs within 3 years of establishment);
3. All HEIs to submit their annual Governance Statements to HEA on time;
4. 100% compliance by HEIs with public procurement rules;
5. Draft annual financial statements to be submitted by HEIs to C&AG within stipulated C&AG guidelines;
6. Full transparency in HEI financial statements about accounting for Trusts and Foundations;
7. 100% compliance by HEIs with public pay policy;
8. 100% compliance by HEIs with public sector numbers controls;
9. Implementation of recommendations from rolling governance reviews;
10. HEA will develop individual compacts with the HEIs which reflect the overall ambitions of the System Performance Framework and local/regional opportunities;
11. Institutional strategic compacts will be assessed by a panel of experts, including international participants, to assess their coherence and capacity for delivery.

### Strategy summary

Please provide details of a maximum of two institutional strategic priorities Higher Education Institution has identified under Key System Objective 6. Each strategic priority should include a description of the strategic initiatives, with reference to the above high-level targets, that Higher Education Institution is currently implementing or will implement over the three-year timespan of the compact (academic years 2018-2021).

This should reference the benchmarks by which the objectives have been set. Further supporting evidence, with regard to the means of verification, should be provided in the appendices.

Please note any external factors or assumptions that might affect institutional progress towards stated development objectives.

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Strategy summary:

## 6. Annual Compliance Statement

The HEA will take into account ongoing compliance with important foundational requirements such as:

- Statutory quality assurance processes
- Providing an annual statement required under their Code of Governance and with all other requirements of that Code
- Providing details of satisfactory financial outturn, budget and financial plan
- Employment control framework
- Data returns to the HEA.

Where significant or urgent governance or compliance issues arise, such as unacceptable financial deficit, weakness in financial plans or major omissions or delays in returns, an institution may be deemed not to have met the minimum requirements of strategy and performance dialogue.

## 7. Agreement

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**To be completed following the conclusion of the strategy and performance dialogue process.**

The HEA and Higher Education Institution agree that the mission, planned profile and targets, as set out in the foregoing sections of this Compact, are consistent with the objectives set for the higher education system and are appropriate to the place of Higher Education Institution within the system.

Signed: \_\_\_\_\_

Date: \_\_\_\_\_

Chief Executive, Higher Education Authority

Signed: \_\_\_\_\_

Date: \_\_\_\_\_

President, Higher Education Institution

Signed: \_\_\_\_\_

Date: \_\_\_\_\_

Chair, Governing Body, Higher Education Institution

## Appendices

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We (Higher Education Institution) include the following appendices with our performance compact.

List the appendices here:

<input type="checkbox"/>	<b>Appendix 1:</b> Providing a strong talent pipeline combining knowledge, skills & employability which responds effectively to the needs of our enterprise, public service and community sectors, both nationally and regionally, and maintains Irish leadership in Europe for skill availability
<input type="checkbox"/>	<b>Appendix 2:</b> Creating rich opportunities for national and international engagement which enhances the learning environment and delivers a strong bridge to enterprise and the wider community
<input type="checkbox"/>	<b>Appendix 3:</b> Excellent research, development and innovation that has relevance, growing engagement with external partners and impact for the economy and society and strengthens our standing to become an Innovation Leader in Europe
<input type="checkbox"/>	<b>Appendix 4:</b> Significantly improves the equality of opportunity through Education and Training and recruits a student body that reflects the diversity and social mix of Ireland's population
<input type="checkbox"/>	<b>Appendix 5:</b> Demonstrates consistent improvement in the quality of the learning environment with a close eye to international best practice through a strong focus on quality & academic excellence
<input type="checkbox"/>	<b>Appendix 6:</b> Demonstrates consistent improvement in governance, leadership and operational excellence
<input type="checkbox"/>	<b>Appendix 7:</b> Institutional quantitative data return (September 2018)