

# **Performance Delivery Agreement**

**Department of Education and Skills  
&  
Higher Education Authority**

---

Prepared By: Higher Education Division  
Document Version: Rev 1

Date: **15<sup>th</sup> March 2018**

---

## **1. INTRODUCTION AND CONTEXT**

---

### ***1.1 Purpose and Scope of the Agreement***

This Performance Delivery Agreement (referred to in this document as “the Agreement”) sets out the management and accountability framework between the Department of Education and Skills (referred to in this document as “the DES”) and the Higher Education Authority (referred to in this document as “the HEA”).

This Agreement is also a performance contract in which an agreed level of service is formalised between the DES and the HEA. This is to ensure that resources are used in an efficient and cost-effective manner to ensure the development and oversight of the higher education system in Ireland. In doing so, the Agreement supports specific high level goals and objectives of the DES and the HEA and sets out a number of targets for the HEA in line with the HEA’s Statement of Strategy and work plan for 2018. It also defines the output and outcome indicators on which the performance of the HEA shall be measured and sets how the DES will support the HEA in delivery of those outputs and outcomes.

The purpose of the Agreement is to:

1. Set out the respective roles and responsibilities of both organisations in relation to the development and oversight of the higher education system in Ireland
2. Provide clarity on the strategic and operational aspects of the organisations’ relationship
3. Facilitate high levels of governance within the HEA in line with best practice
4. Provide a basis, framework and schedule for the delivery of high quality services and outcomes for the HEA sector in 2018
5. Set out structured arrangements for ongoing communications, reporting and liaison between the bodies
6. Facilitate strong ongoing engagement and co-operation between both bodies
7. Formalise an agreed level of performance between the DES and the HEA.

This Agreement supersedes the Service Level Agreement for 2017.

To the greatest extent possible, this Agreement has been developed in accordance with the Higher Education Authority Act 1971 and other applicable statutory provisions, relevant national strategies and Government policies, the Public Spending Code published by the Department of Public Expenditure and Reform, the revised Code of Practice for the Governance of State Bodies 2016, Exchequer funding guidance protocols as laid down by the Department of Public Expenditure and Reform and the Higher Education Authority Statement of Strategy 2018 – 2022.

This Agreement is not a legally binding agreement nor a contract and is not exhaustive in its identification of roles and responsibilities. It does not in any way limit any additional actions or engagement between the two organisations. It also does not supersede any specific agreements

between the two organisations in relation to particular work areas. In addition, this Agreement does not look to replace the function of the HEA as set out in the Higher Education Act 1971 or the strategic role of the HEA Board.

Both parties to this Agreement will ensure that all staff are familiar with the contents of this Agreement and its implications and that all interaction and engagement between the two bodies is conducted in accordance with the principles and provisions of this Agreement.

The services to be delivered as part of this Agreement will be finalised each year before the end of the preceding year, to the greatest extent possible, to allow for alignment with the respective organisational work plans.

#### ***1.2 Duration of the Agreement***

This Agreement is valid from 1st January 2018 to 31st December 2018. The Agreement will be renewed on an annual basis. The content of this Agreement, including the duration of the Agreement, may be amended or modified as required provided mutual agreement is obtained from both signatories to the Agreement.

#### ***1.3 Flexibility and Amendment of Targets***

Both parties recognise that it may become necessary to change, depart from agreed performance targets during the term of this agreement. A necessity for amendments may be prompted by changes in e.g. legislation, government/ministerial priorities or policies, prevailing operating circumstances and/or broader political, economic, financial or related priorities. They may also rise because of unforeseen personnel changes in the HEA, or changes to the directions of projects resulting in extended timelines.

Where amendments become necessary, the Department will engage in meaningful and timely consultations with the HEA. In the course of all consultations, the Department will be cognisant of the resources required by the HEA to deliver additional priorities or the need to deprioritise some objectives if additional delivery requirements emerge. The Department also acknowledges that there may be co-dependencies in some instances where the delivery of objectives also require the commitment of other stakeholder agencies. At all times, the HEA is committed to working with all stakeholders in delivering the Government's objectives for the higher education system and the Action Plan for Education.

#### ***1.4 Details of the Oversight Agreement***

As provided for within the revised Code of Practice, an Oversight Agreement is in place between the DES and the HEA which clearly defines the terms of the relationship between the parties. This Performance Delivery Agreement operates within the parameters of the Oversight Agreement and in that context, both parties shall commit to complying with same. A copy of the Oversight Agreement is included at Appendix A.

## **2. ROLES AND STATUTORY FUNCTIONS OF THE PARTIES TO THIS AGREEMENT**

---

Higher education is central to individual, societal and economic development and is a vital component for overall national development. The Department and the HEA have a common mission of supporting the development and delivery of higher education. The respective roles are set out below.

### ***2.1 Department of Education and Skills***

The mission of the Department of Education and Skills is to facilitate individuals through learning, to achieve their full potential and contribute to Ireland's social, cultural and economic development. The Department envisions an internationally recognised education and training system based on evidence formed policies designed to anticipate and respond to the changing needs of learners, society and the economy.

Its key functions in relation to higher education are:

- To support Government in determining national policy across all dimensions of higher education activity including skills, access, research, innovation and internationalisation;
- Development of a new System Performance Framework outlining the national priorities, the key system objectives and the performance indicators against which the performance of the system as a whole will be assessed for the period to 2020;
- To support Government in determining the level of public funding for the sector, and to be accountable to the Oireachtas for its expenditure;
- To allocate funding to the publicly funded and directly funded higher education institutions;
- Ensure the development of robust governance practices in the higher education sector;
- To develop the legislative framework to ensure that national policies relevant to higher education can be implemented;
- Oversight of the HEA in the performance of its functions.

### ***2.2 Higher Education Authority***

The HEA is the statutory funding authority for the Universities, Institutes of Technology and a number of other designated institutions and is an advisory body to the Minister for Education and Skills in relation to the higher education sector. The HEA was established with the enactment of the Higher Education Authority Act 1971. The functions of the HEA as defined in that, and subsequent Acts, include:

- Furthering the development of higher education;
- Assisting in the co-ordination of State investment in higher education and preparing proposals for such investment;
- Promoting an appreciation of the value of higher education and research;
- Promoting the attainment of equality of opportunity in higher education;

- Promoting the democratisation of the structure of higher education;
- Conducting reviews of the strategic plans and equality policies in higher education institutions and to publish reports of such reviews;
- Promoting attainment and maintenance of excellence in learning, teaching and research in higher education;
- Allocating the monies provided by the Oireachtas to publicly funded institutions;
- Ensuring proper oversight of the governance of the higher education sector;
- Regulatory overview of the higher education system.

The HEA leads the strategic development of the Irish higher education and research system with the objective of creating a coherent system of diverse institutions with distinct missions, which is responsive to the social, cultural and economic development of Ireland and its people and supports the achievement of national objectives.

The National Strategy for Higher Education to 2030 sets out the strategic role of the HEA in the further development of the higher education system; specifically the monitoring of the performance of higher education institutions and providing accountability to the Minister in respect of performance outcomes for the sector. This is enacted through the System Performance Framework and the process of strategic dialogue.

The HEA also has a key role in developing funding mechanisms and deploying funding to drive performance in the system. The HEA will hold the institutions accountable for this funding.

In support of the wide range of activities in which it is involved, and to assist government and other agencies, the HEA collects, analyses, and reports on data from and across institutions on an ongoing basis. In addition, the HEA also engages in international benchmarking of its work and of the higher education sector to ensure that the development of the system is informed by international best and future practice.

The HEA plays a key role in providing policy advice to the Minister and the Department on the current performance and direction of the higher education system and in the development of future higher education policy. In support of this role, the HEA may conduct or commission research and raise policy issues with the Department.

The HEA will ensure that the Department is kept fully informed or involved on all initiatives/developments under consideration in this context. This should include where appropriate the participation of the Department in any working groups or processes established to progress work in a particular area.

## **3.0 MUTUAL COMMITMENTS**

---

### ***3.1 Communication Arrangements***

Both parties are committed to the promotion of partnership, responsiveness and mutual co-operation in their ongoing interactions. In that context, both parties recognise that regular communication is a normal part of the day-to-day relationship between the Department and the HEA and undertake to be flexible and open to requests for information and meetings.

To that end, both parties undertake to ensure that no unnecessary delays will arise in respect of decision making, responses to correspondence, information request, feedback on draft reports or other document, or related matters. In relation to parliamentary questions or other parliamentary business, the HEA will provide appropriate material within the specified timeline. The Head of Corporate Affairs in the HEA will be the point of contact for all such requests, and the CEO will sign off on the response.

Both parties commit to keep each other fully apprised and updated on any emerging issues, planned initiatives, release of records under the Freedom of Information Act 2014 or scheduled public announcements.

The HEA will ensure that there is prior consultation with the Department on draft reports as they are finalized, and that the Department is provided with a final draft before publication.

In the event of a significant issue arising, both parties commit to having an urgent communications arrangement in place which will ensure that the relevant urgency/significance of the issue will determine the grade level at which the interaction between the parties takes place. In addition, the HEA shall complete and return the Early Warning Report form on a quarterly basis.

In relation to interactions with the higher education institutions, the primary conduit for communication between the Department and the HEIs will be the HEA who will keep the Department fully informed of such communications. This does not preclude direct communication between the Department and the HEIs and vice versa on occasions when necessary.

### ***3.2 Reporting and Liaison Structures***

In addition to regular oversight meetings and ongoing dialogue both at high level and at an operational level between the parties, the following meetings have been agreed to review progress in respect of the services outlined in this Agreement. The final meeting is for the purpose of reviewing the performance of the system against the national priorities and system objectives outlined in the System Performance Framework<sup>1</sup> and agreeing priorities for the next period.

---

<sup>1</sup><https://www.education.ie/en/Publications/Education-Reports/higher-education-system-performance-framework-2018-2020.pdf>

Type of Meeting	Level of Attendance	Date
PDA 2018 Approval	CEO/Senior Mgt DES/HEA	End March 2018
Mid-year PDA 2018 review	CEO/Senior Mgt DES/HEA	End August 2018
Final PDA 2018 review and Draft PDA 2019	CEO/Senior Mgt DES/HEA	End November 2018

It is also recognised that a significant degree of reporting will occur in a less formal manner and that there is a need for flexibility in communications to ensure that there is open and regular channels of communications to ensure that timely warnings may be provided and/or information gathered should time sensitive or significant issues come to attention.

### **3.3 Public sector policies**

The Department shall provide support to the HEA which it deems necessary to fulfil its role and functions. Such support shall include advice on general Government policy, staffing and pay policies, legal matters, shared services models or other matters deemed necessary. In particular, the Department shall keep the HEA notified of statutory and public sector requirements in the areas of human resources, data protection, procurement, finance and revenue requirements that may affect the HEA and the HEA shall, in turn, ensure implementation and compliance with such requirements.

#### **4.0 CORE ACTIVITIES AND SERVICES INCLUDING KEY PERFORMANCE INDICATORS AND TARGETS**

---

The core activities and key services to be provided by the HEA to the Department in 2018 in addition to the service commitments relating to each service along with associated indicators and delivery targets are set out in its 2018 work plan – attached at Appendix 1. In that context, this Agreement reflects the 2018 work plan as approved by the Board of the HEA.

A mid-year review of the work plan will be brought to the HEA Board for consideration at the June Board meeting in 2018.

## **5.0 CORPORATE GOVERNANCE AND FINANCIAL ACCOUNTABILITY FRAMEWORK**

---

### ***5.1 Corporate Governance***

Corporate governance is concerned with the framework of systems and procedures to ensure accountability, fairness and transparency across organizational activities and all State bodies have a responsibility to implement good corporate governance standards. In that context, the following section outlines the commitments to ensuring a high level of corporate governance standards within the HEA and the higher education institutions.

#### **Corporate Governance within the higher education sector**

The Department and HEA are aware of the increasing responsibilities and oversight required in relation to governance and accountability in the Higher Education sector. Cognisant of this, both parties are working together in order to strengthen the oversight processes and, building on developments in the previous year, will be agreeing and implementing strengthened procedures and processes during the coming year.

The HEA will ensure that appropriate governance and assurance mechanisms and structures are in place in the HEA and higher education institutions. The HEA will ensure that the Code of Practice for the Governance of State Bodies 2016 and the Codes of Governance for Universities and IoTs are in place in the HEA and HEIs respectively and will monitor their continued implementation.

The HEA will ensure that circulars which issue from the Departments of Finance/Public Expenditure and Reform are notified immediately to HEIs and will monitor their implementation.

#### **Corporate Governance within the Higher Education Authority**

The values of good corporate governance and the importance attaching for the State is underpinned by the Code of Practice for the Governance of State Bodies 2016. In that context, the HEA agrees to comply with all relevant provisions of the Code.

In accordance with the Code, each State body should be clear about its various functions, roles and responsibilities entailed in the delivery of its mandate. In that context, the following are the roles of the Board, the Chairperson and the Chief Executive Officer:

#### **Role of the Board**

The Board is collectively responsible for promoting the success of the HEA by leading and directing the HEA's activities. It should provide strategic guidance to the HEA and monitor the activities and effectiveness of management. Board members should act on a fully informed basis, in good faith, with due diligence and care, and in the best interest of the HEA, subject to the objectives set by Government.

In addition, the Board should ensure that high ethical standards are observed within the HEA as well as ensuring compliance by the HEA with its statutory and governance obligations.

The Board is also responsible for ensuring that the Minister for Education and Skills is advised of all matters arising in respect of the HEA.

With regard to attendance at Board meetings, Section 3.9 of the 2016 Code of Practice states that the Board should clarify an expectation of 100% attendance at all Board meetings and as part of the assignment of a new Board member, evaluate attendance when the member is due to be re-appointed.

#### **Role of Chairperson**

The role of the Chairperson is to provide leadership to the Board of the HEA by guiding and directing the governance process and to promote the HEA's mission, vision and strategic objectives. The Chairperson shall also provide a comprehensive report to the Minister for Education and Skills in conjunction with the annual report and financial statements. Items for inclusion in the Chairperson's Comprehensive Report, where appropriate/applicable, are set out in Appendix C of the 2016 Code of Practice

#### **Role of the Chief Executive Officer**

The Chief Executive Officer is responsible for proactively driving and leading the work of the HEA, providing leadership and guidance to deliver the agreed objectives in accordance with the HEA's Strategic Plan. The Chief Executive Officer reports to the Board and is also accountable to the Public Accounts Committee and other Oireachtas Committees, as necessary.

#### ***5.2 Financial Accountability Framework***

A Financial Accountability Framework is agreed separately between the Department and the HEA. It sets out details on the structures in place to provide for the necessary assurances to the Department of Education and Skills in respect of the funding advanced to the HEA for (a) the administration of the Authority and (b) the disbursal of funding to the Higher Education Institutions. The document is set out at Appendix 2.

## **6.0 FUNDING ARRANGEMENTS INCLUDING MONITORING AND REPORTING**

---

The HEA will effectively manage the public monies provided and will ensure regular monitoring and verification arrangements to ensure best practice is followed and financial controls are adhered to in order to safeguard the public funding provided from the Exchequer. The HEA will ensure that the allocation of public monies is deployed in accordance with relevant guidelines and Circulars including, but not limited to, Department of Public Expenditure and Finance/Finance guidelines, this Department's guidelines and relevant recommendations of the Comptroller and Auditor General and all legislation relevant to Bodies in receipt of Exchequer funding.

Funding for the provision and administration of grants will be advanced to the HEA in line with agreed procedures which are set out in the grant allocation letters which issue from the Department each year. The HEA will provide financial reports and statistical data as required including data to support the preparation of budget and performance assessment and reporting.

### ***6.1 Financial Procedures***

#### **Written procedures**

The HEA will ensure that there are written financial procedures in place which reflect, and are in compliance with the requirements of the Public Financial Procedures and other relevant financial regulations and guidelines including the requirements of Department of Public Expenditure and Reform circular 13/2014. These procedures will be kept under ongoing review having particular regard to the findings of the annual internal review of the effectiveness of the HEA's system of internal controls and audits.

#### **Grant payments**

The HEA will agree with the Department a profile setting out proposed drawdown of funding for the year. Requisitions, signed by the agreed signatories should be made in line with agreed profiles. In the event of the HEA not requiring full drawdown or requiring an increase for any particular month details of such a variation on agreed profile must be put to the Department in advance for agreement.

The Department will issue grant allocation letters to the HEA each year in respect of each subhead. The HEA will comply with the requirements set out in these letters.

The Department will process requests for funding, where possible, within five working days.

#### **Pension Related Deductions (PRDs)**

The HEA must pay over appropriate PRDs, in respect of public service employees as defined in the Financial Emergency Measures in the Public Interest Act (FEMPI) 2009, to the Department by the fifteenth day of each month in respect of the preceding month's payroll and by a date specified annually in respect of December payroll.

### ***6.2 Risk Management and Compliance***

The HEA will adopt a structured approach to risk and control in respect of the Authority which will provide for the identification and control of financial risks and for the ongoing improvement of its financial management systems. The HEA will monitor the statements of internal control produced by HEIs and reviewed by C&AG including the risk and control mechanisms in place in each higher education institution.

#### ***6.3 Compliance with Public Sector Legislation and Policy***

The HEA will comply with all relevant public financial procedures and legislation. These include public procurement, taxation legislation including income tax and withholding tax, employment and pension legislation, prompt payment of accounts and all other relevant legislation applicable to bodies in receipt of Exchequer funding. The Department must be satisfied that the arrangements for the general control, management and administration of public funds are satisfactory and the HEA will ensure that proper accounts are kept and audited and are available for audit by the C&AG in a timely manner.

In line with the provisions of Department of Public Expenditure and Reform Circular 13/2014 the Department has the right to inspect the records of the HEA if required.

#### ***6.4 Annual Accounts***

In line with the derogation from the Code of Practice agreed between the parties in respect of the submission of unaudited accounts, the HEA will submit a copy of draft unaudited accounts not later than three months after the end of the relevant financial year i.e. 31<sup>st</sup> March.

Section 8 of the Comptroller and Auditor General (Amendment) Act, 1993, provides for the audit by the C&AG of the accounts/financial statements of the HEA.

Section 11 requires that a copy of the Annual Accounts should be submitted to the Department once signed off on by the C&AG. The HEA should submit the accounts and the accompanying annual report to the Department within one month after C&AG sign off. The Department will lay the Audited Accounts and the Annual Report before the Houses of the Oireachtas within two months of receipt in the Department. The HEA should publish the Annual Accounts on its website once the Accounts have been laid before the Houses of the Oireachtas.

The Audited Accounts should be accompanied by a comprehensive report from the Chairperson affirming compliance with all requirements as set out in the 2016 Code of Practice for the Governance of State Bodies.

## **7.0 SPECIFIC OPERATIONAL ARRANGEMENTS**

---

While it is not intended to specify or anticipate every aspect of those interactions, this Agreement provides further detailed arrangements in respect of key operational areas.

### ***7.1 Staffing and Remuneration***

Having regard to the statutory responsibility of the Minister in respect of pay and conditions of staff of the HEA, the Department shall deal directly with the HEA in relation to industrial relation matters. The HEA shall ensure that any information, including views and observations, necessary to assist the Department in undertaking its role will be transmitted to the Department at the earliest opportunity.

In relation to staffing in the HEA itself, the HEA shall comply with relevant legislative provisions and Government policy on pay and staffing numbers. Delegated Sanction Agreement (DSA) arrangements have replaced the previous Employment Control Frameworks (ECF) and associated moratoriums.

It is the responsibility of the HEA to ensure that they remain within their pay ceiling as failure to do will result in withdrawal of the delegated sanction and restoration of the previous ECF and moratorium arrangements.

### ***7.2 Workforce Planning***

Workforce planning is a process which analyses the human capital and budgeting resources of an organisation in order to achieve its goals and strategic plans. It can identify workforce gaps allowing significant time to design a human resource strategy to address those gaps.

Workforce planning is an important process for all organisations and as such completion, quality and implementation of agreed Workforce Plans shall be a key responsibility of the HEA.

The workforce plan shall demonstrate the ability of the HEA to meet its staffing requirements within the agreed current pay budget for the year in which the plan refers, which will be communicated to the Agency by the Department.

Any proposed recruitment or promotion of staff, or other changes to numbers, grades or structures in the HEA, are subject to the prior agreement of this Department and shall be consistent with workforce planning arrangements. The Department shall continue to deal directly with the HEA concerning staffing and related matters including the framework for the departure from approved levels of remuneration, staffing returns, and any related staffing issues.

Vacancies shall be filled in accordance with relevant public sector policies, i.e. through the PAS system, and within the pay ceiling stipulated by the Department. Where appropriate staff are not available under PAS redeployment systems, the Department will consider alternative means of recruiting staff in order that the Agency is properly resourced.

#### ***7.4 General Data Protection Regulations***

New General Data Protection Regulations (GDPR) are being introduced with effect from the 25<sup>th</sup> May 2018 which will, in turn, be supplemented by the associated Data Protection Bill 2018. The HEA must ensure compliance with the GDPR and associated legislation in order to demonstrate transparency in how personal data is collected, used and protected and to demonstrate accountability for its data processing activities. In that context, the HEA shall be responsible for the implementation of appropriate technical and organisational measures to ensure and to be able to demonstrate that the processing of such data is performed in accordance with the GDPR and associated legislation.

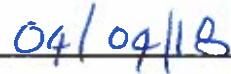
## **8.0 AGREEMENT APPROVAL**

---

Signed on behalf of the Department of Education and Skills

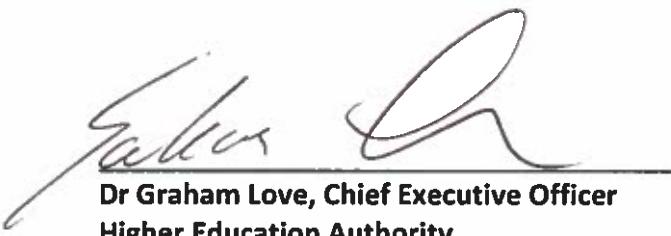


**Mary Doyle, Deputy Secretary General  
Department of Education and Skills**



**Date**

Signed on behalf of the Higher Education Authority



**Dr Graham Love, Chief Executive Officer  
Higher Education Authority**



**Date**

## **APPENDIX 1**

### **Higher Education Authority 2018 Workplan**

#### **A. Governance, Leadership and Operational Excellence**

Key Strategic Actions	Key Performance Deliverables	Timeframe	2018		Timeframe
			Constituent Activities	Key Performance Deliverables	
A.1.1 Oversee the development of a management and leadership capability framework and upskilling programme for the system, and disseminate best practice.	Number of leaders/ senior managers engaged in the upskilling programme	2018/19	Agree a management and leadership upskilling programme with rep bodies IUA and THEA.	First management and leadership upskilling programme completed	Q3
	HEI strategic management representatives network established to share best practice.	2018 - Twice annual meetings	Develop ToR for network, appoint members and call meeting	Network established, and meetings held.	Q1 & Q3
	Improved strategic management by HEIs as demonstrated in management of compacts, budgets	2022			

<b>A.1.2 Work with Governing Bodies to support understanding of responsibilities and reinforce their role in challenging institutional performance and accountability.</b>	Full engagement by all Chairs of Governing Bodies.	2018	Consultation process with Chairs of Governing Bodies	ToR established, and GBs informed of role and responsibility.	Q1
Regular meeting with GBs, or chairs of GBs on compact and strategic dialogue outcomes	Twice annually to 2022	Agree communication and meetings schedule.	Two meetings held.		Q2 & Q4
Enhanced understanding of type of contract appropriate for IoTs/TUs	2018	Support DES in review of international best practice	Commission relevant expert, support preparation of report		Q2

#### **A.2 Strengthen governance and institutional accountability for public funding.**

<b>Key Strategic Actions</b>	<b>Key Performance Deliverables</b>	<b>Timeframe</b>	<b>2018</b>		<b>Timeframe</b>
			<b>Constituent Activities</b>	<b>Key Performance Deliverables</b>	
<b>A.2.1 Establish and monitor compliance with new Codes of Governance for Higher Education</b>	New Codes in place and reflected in HEA governance reporting requirements	2018	Implementation of HEA governance framework incorporating revised code of governance	AI HEIs reporting under the new HEA governance framework	Q2
<b>A.2.2 Develop good practice across particular governance themes via annual rolling review</b>	Reviews undertaken and recommendations implemented	Ongoing	Undertake rolling review on staff payments	Review completed with findings and recommendations	Q3

A.2.3 Establish penalty system for governance non-compliance as final step in full implementation of Governance Framework for Higher Education System	Penalty system established	2018	Monitor compliance in 2018; identify, map and scope levels of compliance, communicate with sector potential penalties for non-compliance	Penalty system adapted with appropriate financial implications, awareness in the system of the penalties which can be imposed	Q4
A.2.4 Develop governance unit with clear processes for HEI reviews and securing disclosures	Full new HEI review framework launched	2018 (subject to new legislation)	Scope and define administrative resource requirements needed to fully implement governance framework and HEI review framework	Unit established with appropriate staffing	Q3
A.2.5 Analyse and report to the DES on appropriateness of existing legislative basis for robust governance oversight by the HEA, and improvements that should be progressed to enhance governance arrangements	Analysis completed, and report given to DES on appropriateness of existing legislative basis for robust governance oversight by the HEA	2018/9			

A.3 Improve equality in higher ed		Timeframe	Key Performance Deliverables	Timeframe
Key Strategic Actions	Key Performance Deliverables	Constituent Activities	Key Performance Deliverables	Timeframe

<p><b>A.3.1 Implement the recommendations of the Report of the Expert Group: HEA National Review of Gender Equality in Irish Higher Education Institutions</b></p> <p>HEA is recognised as leading implementation of the review and has engaged other stakeholders to progress their recommendations.</p> <p>Ireland is recognised internationally as leading on this agenda</p>	<p>2018-ongoing</p> <p>Work with DES to progress gender equality in HEIs and provide secretariat for DES Gender Taskforce</p>	<p>Gender equality is included in the new Performance Framework;</p> <p>DES Gender Taskforce report is completed and published, including review of promotion and progression by ECU</p>	<p>Q1</p>
	<p>Publish updated institutional staff data by gender</p>	<p>HEI Staff Profiles by Gender report published</p>	<p>Q2</p>
<p><b>A.3.2 Commence a review of institutional equality policies and their implementation – S36 Unis Act, S 22 &amp; 47 IoT Act</b></p>	<p>A review of other forms of discrimination (e.g. race, disability) in higher education has been completed and a report generated outlining specified actions for key stakeholders</p>	<p>National meetings held, institutional support funding allocated, Irish assessment meetings attended</p>	<p>Ongoing</p>

**B. Funding, Sustainability and Performance**

**B.1 Allocate public funding to the Institutions and support system sustainability and development.**

Key Strategic Actions	Key Performance Deliverables	Timeframe	2018	
			Constituent Activities	Key Performance Deliverables

B.1.1 Allocate public funding through a reformed funding allocation model and implement new management and costing systems.	New funding allocation model implemented.	2018-2022	<p>1. Manage the new funding allocation model group.</p> <p>2. Map plan for recommendations' implementation into the 2019 grant.</p> <p>3. Model and test funding model recommendations in 2019 grant allocation ensuring alignment with local and national social economic needs and aligned with system goals.</p> <p>4. Specific financial monitoring measures and 3year plans for institutions with financial deficits</p> <p>5. Report to the Finance and Governance Committee on the financial health of the HE sector post-budget process.</p> <p>1. Q1-Q2 including 5-year projections agreed with all HEIs under new model.</p> <p>2. Q1-Q4 allocated and paid to all HEIs under new model.</p> <p>3. Regular financial reporting on the financial position of each HEI.</p> <p>4. Ongoing.</p> <p>5. Q3</p>
---	---	-----------	---

<p><b>Performance funding allocated on basis of evaluation of institutional strategic compacts with HEA – Clear feedback to institutions on areas where improvement required</b></p>	<p>Annually over 2018-2022</p>	<p>Q4</p>
<p><b>Common management information system established across the system</b></p>	<p>2019</p>	<p>Develop framework introduced in 2017 budgets providing additional budget forecasting.</p>
<p><b>New costing system developed</b></p>	<p>2019</p>	<p>1. Appoint and manage the expert group to review the costing system. 2. Conduct and complete the review within agreed terms of reference and timeframe.</p> <p>Q4</p> <p>Produce a report analysing existing costing system with recommendations which will assist in achieving an aligned single model costing system for the HE sector.</p>

<p><b>B.1.2 Support an agile, responsive and financially stable system</b></p>	<p>Capital funding priorities identified and full accountability for Exchequer capital spend provided.</p>	<p>Ongoing</p> <p>1. Implementation and management of the PPP review.</p> <p>Develop and manage capital programmes plan for 2018-2021 budget.</p>	<p>1. PPP tender process completed, and private partners appointed for all projects.</p> <p>2. Process for allocation of 2018 capital budgets developed.</p>	<p>Q1-Q4</p>
	<p>Increased funding base for the system (additional funding from NTF, State, non exchequer).</p>	<p>Ongoing</p> <p>Evidence-based analysis of value of HE and its requirement for sustainable funding.</p>	<p>Financial data on the skills contribution HE provides.</p>	<p>Q2</p>
	<p>Move from ECF to more flexible budgetbased HR accountability system.</p>	<p>2020</p> <p>Examine base levels of staffing in HEIs in line with student-staff ratios, and HR budgets</p>	<p>Produce a framework for flexible budgetbased HR accountability</p>	<p>Q3</p>
				<p>Continued financial monitoring and liaison with target institutions.</p>
				<p>Quarterly reports from target institutions</p>
				<p>Q1-Q4</p>

**B.2 Drive system performance by implementing the System Performance Framework 2018-2022.**

<b>Key Strategic Actions</b>	<b>Key Performance Deliverables</b>	<b>Timeframe</b>	<b>2018</b>	
			<b>Constituent Activities</b>	<b>Key Performance Deliverables</b>
B.2.1 Agree compacts with HEIs	Publication of agreed compacts	2018	<ul style="list-style-type: none"> <li>1. Consult with HEIs on new strategic dialogue/compacts;</li> <li>2. Review international models;</li> <li>3. Engage with HEIs - twice to discuss and agree compacts.</li> </ul>	<p>New compacts agreed</p> <p>Q2 subject to framework publication</p>
B.2.2 Monitor institutional performance against compacts annually and on a risk informed basis	Publication of outcomes annually.	Annually	N/A	Q3
B.2.3 Use compact evaluations to provide feedback to HEIs and disseminate good practice.	Feedback communicated to institutions on areas for improvement.  Evidence of improvement identified in subsequent compact evaluations	Annually to 2022	Assessment of compact quality published (will this happen in 2018?)	Publication released

**B.3 Grow talent and innovation in the regions through system reconfiguration and thematic reviews.**

Key Strategic Actions	Key Performance Deliverables	Timeframe	2018		Timeframe
			Constituent Activities	Key Performance Deliverables	
B.3.1 Support landscape reform processes (i.e. TU mergers & initial teacher education mergers and policy advice to DES on regional cluster development)	Allocation of funding & report on progress being made (incl. completion of mergers & applications/ designations as TUs; clear policy position and goals established for cluster activity)	Annually to at least 2020	Monitor progress, manage allocation of funding, external audit of funding, manage TU designation process;	Funding allocated and accounted for; TU process managed (if necessary); Policy advice on regional cluster development presented to DES and agreed	Q3
B.3.2 Complete thematic reviews	Publication of reports, including Initial Teacher Education, Creative Arts Education and Engineering - identification of successes to date and strategies for further development	Ongoing	Set up and manage the international review of reform of initial teacher education	Publish report and commence implementation of findings	Q2

	<p><b>Manage the national programme for the Inclusion Coordinators for Early Years' service</b></p> <p>Publish completed review of Creative Arts Education, consult with stakeholders, finalise direction, and commence implementation of agreed recommendations</p>	<p><b>Funding allocated, and monitoring reports produced. 1st graduate cohort tracked through graduate outcomes survey.</b></p> <p><b>Direction of policy agreed - commenced implementation</b></p>	<p><b>Q2-Q4</b></p>
	<p>Engage consultants for Engineering review, stakeholder consultation, report preparation</p>	<p><b>Report published and recommendations actioned</b></p>	<p><b>Q2</b></p>

**C. Evidence, Policy and Strategic Planning**

Key Strategic Actions	Key Performance Deliverables	Timeframe	2018		Timeframe
			Constituent Activities	Key Performance Deliverables	
C.1.1 Deliver the Data & Knowledge Management Strategy	Full implementation of strategy actions	2018	<p>1. Completion of an interactive data query tool in collaboration with the CSOSTATBANK facility</p> <p>2. Collect, GEO Code and analyse all address data to determine deprivation index scores used to measure equity of access for disadvantaged groups to higher education</p> <p>3. Code occupation data from Equal Access Survey</p>	<p>Delivery of the interactive data query tool</p> <p>All data collected and coded</p> <p>All data coded and recorded</p>	<p>Q1</p> <p>Q4</p> <p>Q4</p>

	4. Produce and publish subject and career area statistical fact sheets	Publish 4 Fact Sheets	Ongoing
	5. Continue to collaborate with CSO on data linking projects using HEA and administrative data (Revenue, Social protection etc)	Collaborate on one major project to be determined	Ongoing
	6. Enhance security of the SRS front end to mitigate security breaches	Modification of the Oracle APEx front end	Q1-Q2
	7. Enhance quality of data returns from HEI's	Redesign validation of data uploads and adapt and improve ETL process	Q1-Q4
	8. Data Queries from	All queries	ongoing

	<b>Government, Public, Agencies and Researchers</b>	<b>responded to in 4 working days</b>	
	9. Publication of a full study of completion rates in Irish Higher Education Institutions	Report Published	Q1
	10. Collect, validate and publish annual statistical data from the SRS	Publication of Key Facts and Figures, NonProgression report	Q1-Q4
	11. To implement a Staff database - Scoping exercise, Groups set up, Database design	Staff database set up	Q1-Q4
	12. To continue the development of Key Institutional Statistics	Institutional Profiles Published	Ongoing
	13. Validation of PPSN data using the Department		

	of Employment Affairs and Social Protection client identity services	Appropriate data collection notice disseminated; privacy impact assessments drafted for each dataset, data sharing agreements drafted and signed with each HEI.	Q1-2
	14. Ensure compliance with GDPR.	Report published	Q2-Q4
C.1.2 Analyse HE graduate outcomes in terms of employability and earnings potential	Publication of graduate outcomes in terms of salary, employment sector and longitudinal destinations Developed system-wide tracking of researcher mobility?	1. Run the 2018 survey across 24 higher education institutions, analyse data and publish report	
C.1.3 Enhance interagency collaboration to support higher education oversight	MOUs in place leading to improved alignment with other agencies' data collection and policy making processes, e.g. QQI, SFI and Solas.	1. Finalise and publish an MoU with Solas  2. Finalise and publish an updated MoU with QQI	Q1  MOU with QQI published; Full SMT of HEA/ QQI held; CEO of each organisation will meet with Board of the other; improved alignment of QQI's

	<p><b>Institutional dialogue with the HEA's strategic dialogue</b></p> <p>3. Implement agreed actions under MOU with SFI</p> <p>4. Participate in Enterprise Ireland's IRCC</p>	<p>3. Full SMT of SFI/HEA held; CEO of each organisation will meet with Board of the other.</p> <p>4. Enhanced interagency collaboration supporting HE oversight</p> <p>5. Setup working group to progress the actions assigned to the HEA in 'Connecting for Life, Ireland's National Strategy to Reduce Suicide 20152020.</p>	<p>Q1-Q4</p> <p>Monthly meetings</p> <p>Q.4</p>	
C.1.4 Review Good practice in impact assessment models	<p>Review national and international models relevant to teaching &amp; learning, research and engagement.</p> <p>Make recs to DES on appropriate metrics and model(s) for Ireland.</p>	<p>2018-2020</p>	<p>Impact assessment models relevant to teaching and learning, research and engagement are reviewed.</p>	<p>Report produced on best practice and template for case studies developed.</p> <p>Q.1-3</p>

**C.2 Support good practice and policy advice in Ireland by anticipating trends in higher education development nationally and internationally.**

<b>Key Strategic Actions</b>	<b>Key Performance Deliverables</b>	<b>Timeframe</b>	<b>2018</b>		
			<b>Constituent Activities</b>	<b>Key Performance Deliverables</b>	<b>Timeframe</b>
C.2.1 Engage and consult with national and international stakeholders on emerging trends and action needed	Stakeholder Forums held to discuss emerging trends and their relevance to Irish higher education	Bi-annually to 2022	Organise and hold two Stakeholder Fora and publish discussion	Stakeholder Forums held to discuss emerging trends & their relevance to Irish HE. Published proceedings	Q2 & Q4
C.2.2 Support the Department in relation to policy development and responding to the wider political system	Timely analysis and briefing reports generated	Ongoing	Support the Department in relation to policy development and reporting to the wider political system	Timely analysis and briefing reports generated	Ongoing

**D. Digital Transformation**

<b>Key Strategic Actions</b>	<b>Key Performance Deliverables</b>	<b>Timeframe</b>	<b>2018</b>		
			<b>Constituent Activities</b>	<b>Key Performance Deliverables</b>	<b>Timeframe</b>
D.1.1 Develop a digital transformation framework for higher education	Framework developed and launched	2019			

D1.2 Implement recommendations under the Digital Transformation Framework for Higher Education	Digital Transformation Framework for Higher Education recommendations implemented	2020-2022
--	---	-----------

**E. Quality and Academic Excellence**

**E.1 Improve the student experience and promote student engagement.**

Key Strategic Actions	Key Performance Deliverables	Timeframe	2018	
			Constituent Activities	Key Performance Deliverables

<p><b>E.1.1 Support the quality of teaching and learning through funding and oversight of the National Forum for the Enhancement of Teaching and Learning.</b></p>	<p>Recommendations of the 2017 independent review of the National Forum have been implemented.</p>	<p>2018</p> <p>Continue funding and oversight of the National Forum for the Enhancement of Teaching and Learning</p> <p>Q3</p>
	<p>New operational and governance framework implemented</p> <p>A DES/HEA seminar on Forum-funded research projects demonstrates impact of the project</p> <p>Digital Skills Framework; Continuing Professional Development Framework; Learning Analytics - Improved data usage by HEIs; National prespecified projects: Open</p> <p>Access impact on link between research and T&amp;L.</p>	<p>Q1</p> <p>Ongoing</p>

E.1.2 Use & enhance Irish Survey of Student Engagement	<p>Continued Data collected &amp; Ongoing results published. Latter to commence at institutional level in 2018.</p>	<p>1. Roll out of Year 6 of ISSE survey across 24 higher education institutions</p> <p>2. Gather data, analyse, distribute institute specific reports and publish findings</p> <p>3. Launch Postgraduate Survey of Student Engagement, run survey, gather and analyse data and publish and launch report</p>	<p>ISSE survey</p> <p>ISSE Data analysis</p> <p>ISSE report published</p> <p>PES survey</p> <p>PES data analysis</p> <p>PES report published</p>	<p>Q1-2</p> <p>Q3</p> <p>Q4</p> <p>Q1-2</p> <p>Q3</p> <p>Q4</p> <p>Q1-Q3</p> <p>Q1-Q4</p>
	100% of HEIs are using ISSE in their compacts	2018		
E.1.3 Work with USI & QQI to manage the National Student Engagement Project	Participated in national steering group.	Ongoing	<p>1. Continued implementation of the 5 work streams</p> <p>2. National</p>	<p>1. Workstreams in train</p> <p>2. National</p>

	<b>Student Engagement Network operational</b>	<b>2. Network up and running</b>	
	<p><b>3. Six additional institutions undergoing Institutional analysis</b></p> <p><b>4. Student Reviewers taking part in institutional quality reviews</b></p> <p><b>5. Agreement on approach to future funding and governance arrangements (with QQI)</b></p>	<p><b>3. New institutions added</b></p> <p><b>4. Student reviewers operational</b></p> <p><b>5. Funding and Governance approach agreed</b></p>	<p><b>Q3-Q4</b></p> <p><b>Q1-Q4</b></p> <p><b>Q1-Q2</b></p>
	<p><b>Increased numbers of students trained to participate in Academic Councils.</b></p> <p><b>Digital Badge for</b></p>	<b>2018</b>	

<p><b>Student Engagement developed.</b></p> <p><b>National Student Engagement Network established.</b></p>	<p><b>2018</b></p> <p><b>E.1.4 Support a better transition from second level to higher education by participating in Transition Reform Steering and Research Groups.</b></p>	<p><b>Ongoing</b></p> <p><b>Broader undergraduate entry.</b></p> <p><b>1. Member of the Transitions Reform Steering Group</b></p> <p><b>2. Analysis of compacts and summary paper completed</b></p> <p><b>Q1</b></p>

Publish research after Leaving Certificate points system changes.	2018	3. Member of the Transitions Research Group	Oversee LC early Impact study Determine other areas for research	Q1-Q2 Recurrent
E.1.5 Assess the institutional approach to teaching and learning (as agreed in the compacts), relative to the overall institutional strategy and mission, and good practice, and provide feedback to the HEIs	Creation of more comprehensive and coherent HEI strategies for improving the student experience	2022		

**E.2 Promote the balanced strategic development of the higher education research system.**

Key Strategic Actions	Key Performance Deliverables	Timeframe	2018		
			Constituent Activities	Key Performance Deliverables	Timeframe
E.2.1 Deliver actions which the HEA is designated lead in Innovation 2020, and support implementation of other actions.	Joined-up approach to implementation of national research policy through participation in High-Level Group (HLG) meetings of Innovation 2020 (I2020)	Ongoing	Participate in HLG meetings of I2020, H2020, SRPG, and RPE of the next PRTL	Joined-up approach to implementation of national research policy through participation in HLG meetings of I2020, H2020, SRPG, and the RPE Active engagement in the development for HEA and IRC	Ongoing

	Ireland's Open Science activities reach, at a minimum, the EU standard level of practice through oversight by the National Open Research Forum	2018 ongoing	Co-Chair National Open Research Forum (NORF) with HRB; Participate in NORF subgroups;	Ireland's Open Science activities reach, at a minimum, the EU standard level of practice through oversight by the NORF	Review completed and report published	Q2
			Conduct a joint analysis with D/BEI of the readiness of Irish HEIs to meet EU requirements for Open Science;	Member of the HRB National Publishing Steering Group	National oversight provided for HRBs new Open Research Platform	Q1
	Large Items of Research Equipment (LIRE) database upgraded and maintained	2018-ongoing			Establish inaugural National Doctoral Framework Advisory Forum with QQI	Q1

		National Doctoral Framework Advisory Forum meetings	Ireland
E.2.2 Support the development of a well-balanced higher education research system, particularly the development of people, infrastructure, and all types of excellent research across all disciplines.	<p>Consistent approach to implementation of national research policy through participation in Higher Education Research Group (HERG) meetings.</p> <p>Stakeholders are consulted and systemwide institutional indicators of research capacity and capability are agreed, tracked and improvement is seen.</p>	<p>Ongoing</p> <p>Papers prepared and submitted to HERG for discussion</p> <p>Research Group (HERG) meetings</p>	<p>Consistent approach to implementation of national research policy through participation in Higher Education Research Group (HERG) meetings</p> <p>Work with stakeholders on national approach to ejournals and bibliometrics platforms</p>
			<p>Support Funding Model Review Working Group on Research Metrics to identify appropriate metrics for Ireland.</p> <p>Q3?</p> <p>Research Metrics for Ireland are identified and agreed</p>

	Irish researchers supported by HEA European Strategy Forum for Research Infrastructures (ESFRI) National Delegate (ND)	Ongoing	Work with SFI ND and Irish stakeholders on ESFRI	Irish researchers supported by HEA National Delegate to engage fully with ESFRI	Ongoing
E.2.3 Assess the institutional approach to research and innovation (as agreed in the compacts), relative to the overall institutional strategy and mission, and good practice, and provide feedback to the HEIs	Creation of more comprehensive and coherent HEI strategies for improving research and innovation performance	2022			

Key Strategic Actions	Key Performance Deliverables	Timeframe	2018	
			Constituent Activities	Key Performance Deliverables

**E.3 Support internationalisation of the higher education system and ensure that institutions adopt a holistic approach to internationalisation as a strategy for quality enhancement,**

<p><b>E.3.1 Support the DES in progressing the International Education Strategy for Ireland</b></p> <p><b>Revised Government of Ireland International Education Scholarship Programme implemented</b></p>	<p>Annually until 2020</p> <p>Run 2018 call for Government of Ireland International Education Scholarship programme</p> <p>improves ability of HEIs to attract international students to Ireland Improved efficiency in call process</p> <p>Hold welcome and event Ambassador award ceremony for Scholars</p> <p>Investigate potential for online awards system</p>	<p>New Government of Ireland International Education Scholarship programme</p>	<p>Q1-Q3</p>
<p><b>Academic Staff Mobility Programme implemented</b></p>	<p>Annually until 2020</p> <p>Run 2018 call for Academic Staff Mobility programme</p> <p>Monitor 2017 call</p>	<p>Increased outward mobility of Academic staff</p>	<p>Ongoing</p>

<b>Holistic approach to internationalisation adopted by HEIs</b>	2020	<p>Participate in High Level Group for implementation of the International Education Strategy</p> <p>Chair subgroup 2 of International Education Strategy implementation groups</p> <p>Participate in other subgroups</p> <p>More clearly defined international student data collected and monitored</p>
		Q2

<b>E.3.2 Increase student and staff mobility through our role as national agency for the higher education components of the Erasmus+ programme</b>	<b>Impact review of Erasmus+ completed</b>	2018	E+ impact review completed and recommendations implemented	E+ improvements in place	Q1?
	<b>Increased participation in E+ by students and staff</b>	2020	Promote E+ 2018 call online, in roadshows, at National ploughing, etc.	2018 E+ run and awardees identified	Ongoing
			Administer 2017 call, conduct system checks/ audits/monitoring , submit reports to Commission	Successful oversight of previous E+ calls	
	<b>Active participation by national agency in E+ international working groups</b>	Ongoing	Participate in selected priority working groups (including EHEA).	Irish E+ perspective reflected & represented in identified EU working group activities.	Ongoing
<b>E.3.3 Engage in BREXIT activities and represent HE perspective</b>	<b>Higher Education interests have been represented in BREXIT negotiations, potential opportunities realised, and risks to HE minimised.</b>	Ongoing	Support DES in its negotiations for the sector.  Issue new HEA Brexit discussion paper?	Optimal position for Irish HE in domestic & EU Brexit negotiations	Ongoing for DES support.  Q1 for HEA paper?

	Relationship with UK as well as European countries maintained.	Ongoing	Existing strong relationship with UK on students, staff & research protected as best possible.	Ongoing
E.3.4 Assess the institutional approach to internationalisation (as agreed in the compacts), relative to the overall institutional strategy and mission, and good practice, and provide feedback to the HEIs	Creation of more comprehensive and coherent HEI strategies for improving internationalisation	2022		

#### *F. Equity of Access*

**F.1 Ensure that the diversity of the higher education student population reflects the diversity of the national population by leading the Implementation of the National Access Plan.**

Key Strategic Action	Key Performance Deliverables	Timeframe	2018	
			Constituent Activities	Key Performance Deliverables

F.1.1 Successfully implement the National Access Plan	Implementation of the National Access Plan 2015-2019 completed	<p>NAP targets reflected in new SPF</p> <p>Analysis of access infrastructure</p> <p>Strategy for Improved access data indicators</p> <p>Strategy for Student Success</p>	<p>New compacts reflecting national targets</p> <p>Project plan and timeframe agreed</p> <p>Implementation plan signed up to by all stakeholders.</p> <p>Agreement and commencement of IoT study re Level 6 and 7;</p> <p>Process led by HEA for development of Strategies for Student Success in every HEI;</p> <p>Agreed process for dissemination of best practice; DESSI study outcomes to support student success.</p>	<p>Consistent with new compact and strategic dialogue process"</p> <p>"Q1 for clarifications and agreement of appropriate timeframes throughout 2018</p> <p>Review of HEA funding of College Awareness Week</p> <p>Mid Term Review of NAP</p>	Q1	Q2
---	---	--	---	---	----	----

	implementation as appropriate		
		2019-2022	New National Access Plan 2020-2025 and initial components developed and implemented

<b>F.2 Manage Access funding programmes</b>					
<b>Key Strategic Action</b>	<b>Key Performance Deliverables</b>	<b>Timeframe</b>	<b>2018</b>		
			<b>Constituent Activities</b>	<b>Key Performance Deliverables</b>	<b>Timeframe</b>
F.2.1 Manage Programme for Access to Higher Education (PATH)	PATH funds delivering additionality with regard to equity of access participation and completion.	2018-2020	<p>Monitoring of funded projects and reporting to DES</p> <p>Allocation of bursaries in line with recommendations of evaluation panel</p> <p>Allocation of funding in line with recommendations of evaluation panel</p>	<p>Outcomes identified for Year 1 of projects achieved</p> <p>Funding allocated and appropriate monitoring</p> <p>Funding allocated and appropriate monitoring</p>	Q1 & Q3 Q1 Q1

<b>F.2.2 Manage third-level Access measure funding programmes</b>	Recommendations arising from review of Student Assistance Fund (SAF) implemented.	2018	Review of 2017 Guidelines and other implementation measures applied in 2017	Successful management of SAF funding	Ongoing
	Recommendations arising from review of Fund for Students with Disabilities (FSD) implemented.	2018-2019	Management of implementation group	Successful implementation of review recommendations	throughout 2018

#### **G. Skills, Employability and Engagement**

<b>Key Strategic Actions</b>	<b>Key Performance Deliverables</b>	<b>Timeframe</b>	<b>2018</b>		
			<b>Constituent Activities</b>	<b>Key Performance Deliverables</b>	<b>Timeframe</b>
<b>G.1.1 Undertake next employers' survey</b>	Third iteration of HEAQI-Solas employers survey completed	Medium-term	1. Finalise, analyse and Publish the results of the 3rd National Employers Survey	Survey published	Q1-Q2

G.1.2 Roll out targeted skills initiatives	<p>New Springboard rolled out with increased focus on lifelog learning.</p> <p>2018</p> <p>1.Remaining places for 2017/18 allocated and funded</p> <p>2. Application Management System re developed and Springboard Website upgraded</p> <p>3.Call document prepared and evaluation</p>	all 2017/18 places filled and funded	Systems in place for new call 2018	Q1	Documents distributed and call launched	Q1-2
--	---	--------------------------------------	------------------------------------	----	---	------

	processes developed for 2018 call		
	4. Programme Evaluation Process underway 2018	Courses approved and outcomes agreed by Expert Panel	Q2
	5. National Marketing Campaign Launched	National wide media campaign	Q3
	6. Surveys of participants inputs and outcomes and trend analysis carried out and published	Publication of inputs, outputs and outcomes data gathered and audits conducted	Q4
	7. ESF Drawdown of funds accounting		Q1/2
Increased HE apprenticeship enrolments through engagement with institutions and participation in National Apprenticeship Council	2020	1. Development and funding of new apprenticeships in higher education from Call 1 and Call 2	

		Up to 5 New apprenticeships starting in 2018 Active engagement with Solas and HEI's to allocate off the job blocks by trade Funding allocated and ongoing	Ongoing
	2. Effective engagement with HEI's in the provision of the off the job phases of apprenticeships to meet increasing demand for places 3. Oversee the roll out of Capital funding to develop equipment and infrastructure for the implementation of new syllabi in existing apprenticeships		
Development of new DES ICT Skills Action Plan supported by the HEA	2018	<p>1. Represent the HEA at the EGFSN ICT Skills Demand Forecast Steering Group</p> <p>2. Work with DES and IBEC on the development of a new ICT Skills Action Plan</p>	<p>Report of the group published</p> <p>Action Plan published</p> <p>Q1</p>

<b>G.1.3 Drive improved use of Institutional Employability Statements</b>	<p>Review of current activity conducted. Guidelines developed for HEIs at discipline/ school/ department level.</p> <p>Strategic Dialogue used to track statements.</p>	<p>2019</p> <p>3. Implement recommendations of new Plan</p> <p>4. Calls for ICT summer Camps and Entrepreneurship summer camps and ICT retention</p> <p>Calls evaluated, funding allocated and monitoring reports developed.</p>

<b>Key Strategic Actions</b>	<b>Key Performance Deliverables</b>	<i>Timeframe</i>	<b>2018</b>		<b>Timeframe</b>
			<b>Constituent Activities</b>	<b>Key Performance Deliverables</b>	

## **G.2 Support engagement with enterprise, as well as civic and community engagement.**

<b>G.2.1 Active strategic bilateral engagement with relevant agencies &amp; representative bodies</b>	Enterprise asks incorporated in relevant initiatives.	<p><b>Ongoing</b></p> <p>1. Active strategic engagement with agencies such as EI, IDA, IBEC and Amcham strengthening the relationship between higher education promotion and future employment and innovation through membership of EGFSN, Oversight Hospitality Skills Group, Food and Drink Skills Group, ICT Skills Group</p>	<p><b>Recurrent</b></p>
<b>G.2.2 Two-way representation with enterprise bodies</b>	HEA	HEA participation in National Skills Council. Enterprise reps on Authority.	<p><b>Ongoing</b></p> <p>Actively participate on the NSC including development of information items for agenda,</p> <p>Continue to implement the actions of the National Skills Strategy</p>

G.2.3 Membership of Campus Engage Steering Group	Indicators developed to monitor community and civic engagement.	2018	1. Liaise with Campus Engage through membership of its Steering Group and Metrics and Evaluation Working Group	Metrics developed for inclusion in Institutional Profiling and System Performance Framework	Recurrent
G.2.4 Assess the institutional approach to Engagement (as agreed in the compacts), relative to the overall institutional strategy and mission, and good practice, and provide feedback to the HEIs	Creation of more comprehensive and coherent HEI strategies for improving Engagement	2022			

#### *H. HEA as an Excellent Organisation*

H.1 Build internal HEA capacity to enable the organisation members and staff to maximise their contribution to the strategic development of the Irish higher education sector.			
Key Strategic Actions	Key Performance Deliverables	Timeframe	2018
		Constituent Activities	Key Performance Deliverables
H.1.1 Develop and implement HR Strategy to align HR activities with overall objectives of the organisation	HR strategy developed  Reviewed 2020	Develop HR Strategy	HR Strategy developed

<p><b>H.1.2 Optimise staffing of the organisation and equip staff with knowledge and skills to respond to evolving requirements and opportunities</b></p>	<p>Sanctioned additional and vacant posts filled and new staff inducted. Staff will agree annually work and development objectives. This will include opportunities to be involved in cross functional teams</p>	<p>2018 onwards</p>	<p>As part of PMDS staff will identify development needs - on the job training, short courses, cross sectional work and certified programmes</p>	<p>Ongoing 2018, Q 2 2018</p>
<p><b>H.1.3. The HEA will operate to the highest standards of Corporate Governance</b></p>	<p>Code of Practice for the Governance of State Bodies fully implemented.</p> <p>Review of System of Internal Controls</p> <p>Annually</p>	<p>2018</p>	<p>Q4</p>	<p>Q2 2018</p>
	<p>Annual report and audited financial statements published</p> <p>Compliance with GDPR</p>	<p>Annually</p>	<p>Q4</p>	<p>Q1</p>
<p><b>H.1.4 The Board will be operating to the highest standards of governance</b></p>	<p>Board self-evaluation</p> <p>External Board evaluation</p>	<p>2018 onwards</p>	<p>Self-evaluation of the Board</p>	<p>Board selfevaluation completed</p>

**H.2 Underpin the organisation's operations and enhance external interface through continuous improvement of its technological and communications capabilities.**

<b>Key Strategic Actions</b>	<b>Key Performance Deliverables</b>	<b>Timeframe</b>	<b>2018</b>		<b>Timeframe</b>
			<b>Constituent Activities</b>	<b>Key Performance Deliverables</b>	
<b>H.2.1 Enhance IT services in the HEA</b>	T Strategy 2018-22 to align HEA IT activities with the overall organisation strategic objectives  HEA fully utilising MS SharePoint and is operating as a paperless office	2021	Continue to roll out share point	A minimum of one section will be fully on-line by end 2018	Q3
<b>H.2.2 Enhance HEA communications</b>	Communications strategy developed for 2018-2022  Website and social media used effectively by the HEA	2018  2018-ongoing	Develop new communications strategy for 2018-2022  Implement actions in communications strategy	Communications strategy is developed for 2018-2022  Actions in communications strategy implemented	Q1  Q4

## APPENDIX 2

Financial Accountability Framework		
Department of Education and Skills and the Higher Education Authority		
<b>Note:</b> This framework works in conjunction with the Performance Delivery Agreement agreed between both parties		
Service Commitments:	Key Accountability Objective and Responsibilities:	Key Performance Indicators
<ul style="list-style-type: none"><li>❖ Proper and effective use of public funding</li><li>❖ Effective control, audit and accountability measures</li><li>❖ Cost effective and efficient delivery of services</li></ul>	<p>The HEA to ensure that its own governance and assurance mechanisms and structures are effective and adequate</p> <p>The HEA shall require confirmation from the higher education institutions under its designation, that governance and assurance mechanisms and structures in place are effective and adequate</p>	<ul style="list-style-type: none"><li>• No. of non-compliance issues as highlighted by the C&amp;AG and/or rolling reviews of corporate governance carried out by HEA</li><li>• No. of issues where early warning identified</li></ul>

	<p>That a system of early warning reporting is in place for any potential problems to be highlighted and addressed. HEA will report to DES on a quarterly basis (or immediately in the case of extreme case) of any non-compliance issues/financial irregularities/accountability issues identified by HEA, arising from C&amp;AG liaison or otherwise, in the previous quarter</p> <p><b>Governance and assurance mechanisms for the HEA to be reviewed on an ongoing basis</b></p> <p><b>Governance and assurance mechanisms for HEIs under its designation to be reviewed on an ongoing basis</b></p>	<ul style="list-style-type: none"> <li>● Up to date Code of Practice and verification/assurance reporting in place by Dept for HEA</li> <li>● Verification of up to date Codes of Governance in place in each HEI</li> <li>● Annual system of reporting by HEIs to HEA to confirm compliance with key elements of the code</li> <li>● System of rolling reviews to provide further assurances of HEI compliance</li> </ul>	<ul style="list-style-type: none"> <li>● Timely, accurate and sufficiently detailed reporting and information supplied so that Department is aware of financial position of HEIs</li> <li>● Procedures in place and up to date</li> <li>● Audit trail available for inspection</li> </ul>
Financial Control and Reporting	<p>HEA to account for funding provided for HEIs. Overview of budget meetings to be supplied to the Department. Details of financial position of each HEI to be supplied to the Department following budget meetings each year</p> <p>Written financial procedures to be in place in the HEA and updated as required. These procedures to include clearly defined roles and responsibilities with segregation of duties as appropriate for all financial transactions and reporting</p>		

	<p><b>Financial system must have adequate audit trail to ensure full history of each transaction can be accessed and accounted for</b></p> <p><b>HEA to supply required bank account and cashflow details as required under the grant allocation letters terms and conditions issued by the Department each year</b></p> <p><b>HEA to be in compliance with public financial procedures and with other relevant circulars</b></p> <p>The HEA shall require assurance from the higher education institutions under its designation regarding compliance with public financial procedures and Government circulars by HEIs</p> <p>The HEA to ensure that HEIs are in compliance with the provisions of Circular 02/2016 relating to Digital and ICT-related Expenditure and the procedures agreed to ensure compliance with same</p> <p>HEA to be in compliance with financial requirements under the Code of Practice for the Governance of State Bodies</p> <p>The HEA shall require assurance from the higher education institutions under its designation that the HEIs are in compliance with financial requirement of the Codes of Governance for the sectors</p>	<ul style="list-style-type: none"> <li>• Payments processed upon receipt of information</li> <li>• Full compliance by HEA and assurances from HEIs under monitoring &amp; review procedures outlined above</li> <li>• Checks of compliance prove same are in place</li> </ul>
<b>Audit arrangements</b>	An audit committee should be in place and a properly constituted internal audit function with a formal charter as required under the Code of Practice	<ul style="list-style-type: none"> <li>• Confirmation of committee in place by HEA to DES</li> </ul>

	<p><b>The HEA shall require assurance from the higher education institutions under its designation that audit committees are in place</b></p> <p><b>Audit Committee should meet at least four times per year</b></p> <p><b>The HEA shall require assurance from the higher education institutions under its designation that the Audit Committee meets four times per year</b></p> <p><b>The Board is responsible for the body's system of financial control and should review annually the effectiveness of same. A Report regarding same must form part of the annual accounts</b></p>	<ul style="list-style-type: none"> <li>● Confirmation of committee in place by HEIs to HEA</li> <li>● Confirmation to DES by HEA</li> <li>● Confirmation to HEA by HEIs</li> <li>● Confirmation in Chairpersons report and A/Cs of HEA to be submitted to DES</li> <li>● Confirmation in annual governance statements and A/Cs of HEIs to be submitted to HEA</li> <li>● HEA draft accounts submitted to DES by 31<sup>st</sup> March</li> </ul> <p>Draft unaudited annual accounts to be submitted to the Department not later than three months after the end of the financial year.</p>	<ul style="list-style-type: none"> <li>● Annual Accounts of the HEA, signed off on by the C&amp;AG, to be submitted to the Department within one month of the audit certificate on the accounts being issued by the C&amp;AG</li> <li>● Annual Accounts of the HEIs, signed off on by the C&amp;AG, to be submitted to the Department by the HEIs within one month of the audit certificate on the accounts being issued by the C&amp;AG</li> </ul>	<ul style="list-style-type: none"> <li>● Risk Management Policy in Place in HEA</li> </ul>
--	--	--	---	--

<p>management framework and monitor its effectiveness. The board should review material risk incidents and note or approve management's actions</p> <p>The HEA shall require assurance from the higher education institutions under its designation that each HEI has a similar arrangement in place</p>	<ul style="list-style-type: none"> <li>Confirmation that Risk Management Policy in place in HEIs</li> </ul>
<p>Procurement</p> <p>The HEA must ensure that public procurement policy is adhered to and that when commissioning public services that economy, efficiency, transparency and effectiveness is achieved. There should be a Procurement Plan in place</p> <p>The HEA shall require assurance from the higher education institutions under its designation that each HEI confirms compliance with public procurement policy</p>	<ul style="list-style-type: none"> <li>Public Procurement Policy in place in HEA</li> <li>Confirmation of compliance with Public Procurement Policy from HEIs</li> </ul>
<p>Travel and Subsistence</p> <p>The HEA should adopt and comply in all respects with the circulators issued from time to time regarding travel and subsistence. If significant annual expenditure on foreign travel by members of the staff or the Board occurs, appropriate procedures should be in place to monitor, report, and enforce the relevant rules and requirements</p> <p>A Travel Framework should be in place</p>	<ul style="list-style-type: none"> <li>Travel Framework in place in HEA</li> </ul>
	<ul style="list-style-type: none"> <li>Confirmation of compliance with public sector travel policy from HEIs</li> </ul>

Tax	<p>The HEA must ensure full compliance with taxation laws and ensure that all tax liabilities are paid on or before due dates. Tax clearance requirements must be adhered to with regards the payment of grants, subsidies and any other similar type payments</p> <p>A copy of the Tax Clearance Certificate must be made available to the Department so as to ensure payment of Exchequer funding can be made.</p> <p>The HEA shall require assurance from the higher education institutions under its designation that each HEI confirms compliance with Taxation laws</p>	<ul style="list-style-type: none"> <li>• Current Tax Clearance certificate submitted to DES by HEA</li> <li>• Confirmation of compliance with taxation laws from HEIs to HEA</li> </ul>
-----	---	---