

Draft Mission-based Performance Compact

***Draft for Submission to HEA –
October 2018***

2018-2021

between

Higher Education Institution

and

The Higher Education Authority

Date: 24th January 2019

Context

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.

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1. Establishment of the Compact

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

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

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.

UCD's mission is to contribute to the flourishing of Dublin, Ireland, Europe and the world through the excellence and impact of our research and scholarship, the quality of our graduates and our global engagement; providing a supportive community in which every member of the university is enabled to achieve their full potential.

UCD's vision for 2020 is that:

UCD will be a preeminent diverse and inclusive scholarly community of students, faculty and staff who, while contributing to the development of Ireland, have global standing, understanding and impact. UCD will continue to be an excellent research-intensive university, where a comprehensive suite of strong disciplines forms the foundation for high quality interdisciplinary research, scholarship and innovation. Through this combination of world-leading disciplinary and interdisciplinary research, we will vigorously tackle significant global issues and challenges.

Our graduates will be imbued with a knowledge of the past, and will be capable of critically interrogating the present and of imagining the future. Through a holistic student-focused and research-led educational experience which has both breadth and depth, they will be equipped with the knowledge, skills, experience and attitudes they need to flourish in present and future Irish and Global societies.

Highly engaged locally, nationally and internationally, UCD will be known around the world as Ireland's Global University. As such, we will be truly global in our comprehensive range of disciplines, in the reach and impact of our research and innovation, in our holistic educational experience, in the diversity of our University community, in our engagement with all sectors

of society and with all regions of the world, and in the quality and extent of our campus and facilities. We will be distinctive in our agility, innovativeness, commitment to justice, inclusiveness and friendliness. We will bring the best of the world to Ireland, and the best of Ireland, including its distinct cultures to the world.

To achieve this vision we will pursue ten key objectives

1. Increase the quality, quantity and impact of our research, scholarship and innovation.
2. Provide an educational experience that defines international best practice.
3. Consolidate and strengthen our disciplines.
4. Conduct strong interdisciplinary research and education in important areas of national and global need.
5. Attract and retain an excellent and diverse cohort of students, faculty and staff.
6. Build our engagement locally, nationally and internationally.
7. Develop and strengthen our University community.
8. Further develop world-class facilities to support the vision.
9. Adopt governance, management and budgetary structures which enable the vision.
10. Overcome financial, human resource management and other external constraints.

Please note UCD's Strategic Plan 2015-2020 'Ireland's Global University' can be accessed at <http://www.ucd.ie/president/speechespublications/publications/strategicplan/>

4. Development Plans and Key System Objectives

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.

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
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
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.
Objective 4	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
Objective 5	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
Objective 6	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.

Strategy summary:

UCD as a strong autonomous institution is fully committed to realising the ambition of the Action Plan for Education 2016-2019 for Ireland to ‘become the best higher education system in Europe and position Ireland as a Global Innovation Leader’. The UCD Education Strategy 2015-2020 Our Students’ Education and Experience identifies the importance of knowledge, career development and employability in providing a strong talent pipeline. This includes further building capacity in the school system through a highly educated initial teacher education cohort, drawing on the inter-

disciplinary and research strengths of UCD. In so doing UCD will address national challenges in Teacher supply including target subjects (Maths, Physics, Chemistry, Computer Science, French, Spanish, German and Italian).

UCD secured global recognition for its graduate employability. In 2018 it was ranked Number 1 in Ireland and 74th on the QS World University Rankings for graduate employability, thus contributing to meeting the needs of the business economy (HEA, 2018).

UCD continues to provide a wide range of opportunities for students to experience the world of work. UCD upholds the importance of personal and professional development to the enhancement of employability and wider engagement as an active citizen. The UCD Career Development Centre has a clearly identified role to support the university in achieving this through its strategy. UCD provides a range of initiatives for students including internships, careers skills development, understanding the recruitment process, meeting employers, and acquiring & practicing skills through volunteering opportunities. Students are encouraged to enhance their personal development by acting as peer mentors, student ambassadors or student tutors and becoming members of student clubs & societies and other related activities. This approach recognises the agency of students, their diversity and the social constraints that can impact on employability. Opportunities available to students include all aspects of university engagement, alumni, employers, internships, extra-curricular activity and jobs and roles on campus. UCD recognises the importance of close working relationships with employers. Additionally, University College Dublin is striving to develop graduates who have the skills and expertise necessary to support the recovery and growth of the economy. This ambition is supported by UCDinnovation.

Strategic Priority 1

Two priority actions in the UCD Education Strategy 2015-2020 have significance for **Key System Objective 1**: Action 1.5 “*Work with organisations including industry, the professions and the wider community to ensure that our graduates have the adaptable expertise required to excel in changing work contexts, and that our programmes will be responsive to societal needs and meet professional accreditation requirements*” and Action 2.1 ‘*Provide students with opportunities to engage with learning communities outside of their discipline through internships, placements and/or volunteering activities. We will develop a co-curricular award to recognize the development of skills, attributes and attitudes that will enable students to flourish at UCD, in the workplace and in society*’. These priority actions are aligned with High Level Target 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)* is aligned to the UCD Education Strategy Action 2.1 (above).

To achieve: this target UCD will:

Initiative 1.1: Increase opportunities for students to acquire and develop skills

- Increase the opportunities for students to acquire and develop skills to enhance their competitiveness in the world of work through internships, placements, volunteering, membership of student societies, engagement with UCDinnovation.
 - 2017/18 participation rates:
 - 16,000 student members across all societies
 - 6,655 members of sports clubs
 - Over 1,000 students volunteered at orientation events
 - Over 1,360 students participated in internships, work placement and UCDinnovation
 - 2020/21 outcomes
 - Increase student members across all societies by 5%
 - Increase student members of sports clubs by 5%
 - Increase on campus student volunteering by 20%

- Increase participation in internships, work placement and UCDinnovation by 30%

Interim Targets

<u>Increases based on baseline</u>	2017/18 Baseline	2108/19	2019/20	2020/21
Student members across all societies	16,000	16,160 (~1% increase)	16,480 (~2% increase)	16,800 (~2% increase)
Student members of sports clubs	6,655	6,721 (~1% increase)	6,854 (~2% increase)	6,988 (~2% increase)
On campus student volunteering	1,000	1,070 (~7% increase)	1,140 (~7% increase)	1,200 (~6% increase)
Participation in internships, work placement and UCDinnovation	1,360	1,496 (~10% increase)	1,632 (~10% increase)	1,768 (~10% increase)

% increases are against base year

Initiative 1.2: Expand recognition of co-curricular activity

- Expand our recognition of co-curricular activity through our co-curricular award scheme.
 - In 2017/18 211 actual student enrolments 128 (projected 100)
 - Projected enrolments in 2020/21 1,000

Interim Targets

<u>Increases based on baseline</u>	2017/18 Baseline	2018/19	2019/20	2020/21
Student enrolments in co-curricular awards	100	300	600	1,000

○

Strategic Priority 2

UCD will continue to recognise the importance of the employability of our students and adopt as appropriate to each discipline employability statements in line with High Level Target 5 *Employability Statements for all disciplines in all HEIs by 2020 (baseline to be established and tracked)*;

Initiative 2.1: Put in place employability statements for all disciplines

- The UCD Career Development and Employability Strategy 2015-2025 Action 1.6 states: Review UCD Academic Regulations to facilitate the inclusion of employability statements within programmes as appropriate.
- Academic Regulations 2019 will adopt that action through:
 - UCD programme specifications will include careers and skills statements
 - Research degree programmes must include educational and training elements, which develop the advanced knowledge, skills and competencies required for successful original research and/or support the acquisition of generic or transferable skills

Strategic Priority 3

Expand our provision of Initial Teacher Education to include a primary teaching PME and the development of an Undergraduate 4+1 Education pathway for primary and secondary school teachers

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.

Strategy summary:

Global engagement is one of UCD's key strategic initiatives and, as Ireland's Global University, the UCD Global Engagement Strategy 2016-2020 has five objectives:

- Develop a distinctive global culture which will encompass all aspects of university life;
- Extend and develop strategic relationships to enhance our global engagement;
- Grow our global reputation for excellence in education, research, innovation and impact;
- Increase the global impact of our scholarship, research and innovation;
- Further develop an enabling environment for UCD’s global activities.

To deliver on this ambitious strategy, UCD seeks to further enhance its international culture, grow its global reputation and increase the impact of its excellence in scholarship, research and innovation on key global issues. The realisation of these global ambitions is supported by a series of Global Centres overseas and an extensive network of partners worldwide. Operating in a dynamic competitive global market requires flexible and agile operations and the Global Engagement Strategy sets out the enabling environment which UCD requires to ensure that its global engagement is successful.

UCD is Ireland’s most global university, but has the capacity and ambition to become a world-leading global university. We seek to leverage the passionate commitment and engagement of the UCD community and our partners to help us build on our current strengths to realise our global engagement ambitions.

Strategic Priority 1

In support of High Level Target 1 (“Increase the output value of internationalisation to €1.15bn per annum by 2020”), UCD will:

- “Attract and retain an excellent and diverse cohort of students, faculty and staff” (UCD Strategy 2015-2020, Objective 5), as measured in part by the following university-level KPIs:
 - KPI 10.2 Non-EU Student FTEs (non-EU fee-paying student equivalent full-time load)
 - KPI 5.3 International Students Based on Nationality (proportion of Irish to non-Irish students)

This objective will be attained through the following initiatives:

Initiative 1.1: Identify and develop new international student markets

It is crucial for UCD to continue to diversify its international student cohort, both to mitigate financial risk across multiple markets, but also to ensure that its on-campus cohort of students remains balanced in terms of country of origin. Accordingly, UCD has a focus on developing new and emerging international student markets, alongside its work in more mature markets.

- Establish a new UCD Global Centre in Dubai to expand the university’s footprint in the Middle East and to actively engage with sponsorship and scholarship bodies across the region in support of increased student recruitment;
- Undertake research, in collaboration with Enterprise Ireland, to identify potential new student markets for UCD and prioritise resources to their exploration;
- Continue to expand UCD’s presence in Sub-Saharan Africa and Latin America as emerging student markets for Ireland and for UCD;
- Leverage UCD’s enrolment planning process to mitigate risk in relation to those programmes of study which have a particularly high proportion of international students or high proportions from particular nationalities.

Initiative 1.1: Outcomes

- **Baseline:** UCD works actively in 4 major international markets (North America, China, India and SE Asia/NE Asia), and is seeking to develop and consolidate 3 additional markets (Middle East, Latin America and Sub-Saharan Africa)

- **End 2019:** UCD Middle East Global Centre established and fully operational, with student flows in line with 2018/19 enrolment projections and market plan
- **End 2020:** Recruitment activity in key African markets has led to growth in enrolments in line with 2019/20 enrolment projections and market plan
- **End 2021:** Consolidation of key Latin American markets, developed with support from Enterprise Ireland, in order to confirm UCD's key focus countries in Latin America

Please note: Achievement of these targets predicated on effective and coordinated promotion of Ireland as a study destination by Enterprise Ireland & a user-friendly and internationally competitive visa/permission to reside/work permit scheme

Initiative 1.2: *Ensure optimal efficiency at all stages of the international student recruitment cycle*

With growing numbers of international student applications to study at UCD, efficiency in the international student recruitment cycle is crucial, ensuring a smooth transition for students from enquiry to application to offer to acceptance and eventually to registration and enrolment. This efficiency also ensures the most effective allocation of UCD's resources.

- Review internal systems and processes to ensure maximum conversion at all stages of the international student recruitment cycle, in particular from Offer to Acceptance, and from Acceptance to Registration;
- Re-design and re-launch UCD's international website, incorporating new avenues for social media integration in line with market expectations;
- Continue to expand outreach to government scholarship agencies in mature and emerging markets, in order to secure funding agreements in support of student recruitment and broader institutional profile for UCD;
- Work proactively with the Irish Government to ensure that Ireland's student visa and registration policies are market sensitive, agile and scalable, in line with the ambitions expressed in the International Education Strategy for Ireland 2016-2020 "Irish Educated, Globally Connected".

Initiative 1.2: Outcomes

- **Baseline:** For Non-EU UG & GT applicants, Offer to Acceptance rates between 40-50% & Acceptance to Registration rates between 78-88% (based on 2015/16- 2017/18 data)
- **End 2019:** Launch of new UCD International website
- **End 2020:** Maintenance of conversion rates with an Offer to Acceptance rate of at least 45% and an Acceptance to Registration rate of at least 83%
- **End 2021:** New sponsorship agreements secured with funding agencies in mature and developing markets

Please note: Baseline data here is highly variable, as conversion rates fluctuate year-on-year given changes in external circumstances. In addition, UCD's continued penetration into new markets (to secure diversity) is necessarily leading to lower conversion rates over time.

Strategic Priority 2

In support of High Level Target 3 ("Progress towards Bologna target of at least 20% of those who graduate in 2020 to undertake a study or training period abroad"), UCD will:

- "Provide students with opportunities to develop interpersonal, intercultural and life skills within and outside the classroom" (UCD Education Strategy 2015-2020, Priority 2);
- "Develop a distinctive global culture which will encompass all aspects of university life" (UCD Global Engagement Strategy 2016-2020, Objective 1)
 - Key deliverable: UCD Outbound Mobility Action Plan

This objective will be attained through the following initiatives:

Initiative 2.1: Implement the UCD Outbound Mobility Action Plan

In line with both its Global Engagement and Education strategies, UCD recognises that it has the opportunity to encourage a greater proportion of its students to gain an international study experience. Accordingly, a series of actions and initiatives are planned to focus greater attention on this aspect of UCD's global engagement.

- Identify and review policies and procedures associated with outbound mobility programmes
- Establish a formal KPI for outbound student mobility as a College/School deliverable under the Global Engagement strategy
- Ensure accurate data capture of outbound mobility across the university
- Increase the number of partner opportunities for home students to participate on mobility programmes
- Develop a cohesive engagement plan which will support Colleges/Schools to increase student and staff participation
- Review year-on-year existing processes to ensure continued growth and diversity of mobility opportunities

Baseline and future metrics for this initiative will be recorded and set as part of the Outbound Mobility Action Plan.

Initiative 2.1: Outcomes

- **Baseline:** UCD sent out 602 students on outbound exchange and traineeships in 2017/18, but this figure does not capture all outbound mobility..
- **End 2019:** Formal KPI for outbound mobility adopted at UCD and incorporated into College/School planning
- **End 2020:** New outbound mobility applications and student management system developed, tested and rolled out
- **End 2021:** Growth in outbound student mobility in line with KPI established in 2018/19

Initiative 2.2: Reinforce the links between outbound mobility and graduate employability

Studies are increasingly pointing to the strong connections between an international study experience and the development of a range of graduate attributes which support employability (such as global citizenship and an understanding of the world). In this light, UCD seeks to frame a new set of initiatives to support students and staff in relation to the international dimensions of the curriculum and the development of employability skills.

- Through the development of institutional strategy on Career Development and Employability, review and assess the importance of outbound student mobility to graduate employability in relation to global citizenship, cross-cultural understanding and other skills
- Boost capacity to provide cross-cultural guidance and training to staff and students
- Provide additional guidance to faculty in their preparation of curricula which support the development of cognate skills for both mobile and non-mobile students
- In support of "Languages Connect", Ireland's Strategy for Foreign Languages in Education 2017-2026, consider the needs of employers with identified language needs and/or requirements and identify opportunities for UCD to address particular skills gaps

Initiative 2.2: Outcomes

- **End 2018:** Hold a university-wide languages symposium to guide the development of UCD's vision for language learning in response to "Languages Connect"

- **End 2020:** UCD's Outbound Mobility Action Plan to confirm UCD's strategy for connecting mobility and employability, develop measures (as necessary), actively consider the place of internships and work-integrated learning in outbound mobility, and make recommendations on necessary structures and supports
- **End 2021:** Completion of 2018-2020 UCD Fellowships in Teaching & Academic Development with a strategic focus on teaching and learning across cultures, and active dissemination of good practice across UCD during 2021. Through surveys and/or other mechanisms, student employment outcomes to be measured in relation to outbound mobility and other aspects of the student experience at UCD

Supporting documents

UCD Education Strategy 2015-2020 – available [online](#)

UCD Global Engagement Strategy 2016-2020 – available [online](#)

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.

Strategy summary:

Excellent research and innovation are central to all that we do in UCD, drawing on the range and depth of our disciplines, the commitment of our community and the strength of our partnerships to deliver impact in areas of importance and opportunity.

Research and innovation are essential drivers of a dynamic economy, an informed society and a vibrant culture. UCD contributes to this through the advancement of knowledge and the dissemination and application of these advances, and through the development of informed and inquiring minds in an environment imbued with discovery and creativity. We are committed to ensuring the highest standards of integrity in all aspects of our research and innovation. Research and innovation across a university of the breadth of UCD take many different forms. We have fundamental discovery-oriented research as well as research targeting applications in the short, medium or long term. We have lone scholars, small, medium and large research groups, start-up companies and large-scale collaborations

with industry or other partners. We conduct research within each of our extensive range of disciplines, and across disciplinary boundaries.

We value all of these modes of research and innovation and recognise the interdependencies and synergies between them. Whatever the form, we require all research and innovation supported within UCD to be excellent, and unambiguously identifiable as such by the measures applied within the relevant sphere internationally. Research and innovation of this calibre deliver important impact – advancing knowledge, supporting enterprise, informing policy, and underpinning the nature and quality of the education we deliver to our students. This is important to us. We recognise that this impact can take many different forms, over different time scales. Recognising that all of the significant global challenges require interdisciplinary solutions, we will work to develop meaningful responses at scale in areas of major opportunity where UCD has the expertise, the infrastructure and the network to lead internationally.

We will continue to organise around our major research themes of Agri-Food; Culture, Economy & Society; Energy; Environment; ICT and Health. These are areas of global opportunity in which UCD has the excellence, scale and network to deliver significant impact. We will further align internal resources and optimise our external engagements for each of these. We will keep these themes under regular review and will facilitate the stratified development of additional thematic areas based on excellence, scale and opportunity. We will deliver best-in-class structures to support interdisciplinary research and innovation and will seek to ensure that our major research themes are appropriately reflected in our education and in the skilled graduates we produce. Within, across and outside these major themes, the world will be further transformed by disruptive innovation over the years of this strategy. We will combine expertise across our themes and disciplines to imagine, to anticipate and to develop new seams of creativity in cross-cutting emerging areas. We will consider in particular the socialisation of disruptive innovation, combining our strength in humanities and social sciences with that in the STEM disciplines. We will seek to deliver, using the resources of our campus and community and with a network of strategic partners, novel and creative ways to test and implement new ideas in our local environment in a manner that has global impact. We will translate our research findings into outputs that enhance economic, social and cultural wellbeing. We will deliver value through our interactions with enterprise, with the policy system and with social and cultural organisations. Our already renowned activities in entrepreneurship and commercialisation will take a leap forward.

By 2020, UCD will be known internationally for the excellence of our research and innovation, and for the effective manner in which we harness all of our resources and partnerships to deliver impact at scale in areas of global opportunity. We will be a central hub in leading international research networks in a number of strategic areas. Internationally-leading researchers will find in UCD an institution that matches their ambition and in which they want to build their careers. Partners and funders nationally and internationally in enterprise, education, government agencies and social and cultural organisations will find an open and dynamic institution that delivers value in areas of mutual interest. In recognition of UCD's particular role in Irish life, we will continue to support the economic, social and cultural development of Ireland through the supply of talented people and creative ideas. We will also fulfil our role as Ireland's global university, through our participation in the international research community and our contributions to addressing global challenges.

More detail of the UCD Research Strategic Plan can be found at: <http://www.ucd.ie/research/about/researchstrategy/>

Strategic Priority 1: Increase the quality, quantity and impact of our research, scholarship and innovation.

UCD is strongly committed to delivering impact from our research and innovation. Our greatest impact is delivered through the quality of our academic output and of our people. From both of these, all other impacts are possible. Building on this strong academic base we will work effectively with partners to translate our knowledge for the development of a better and stronger society and economy. As part of this strategy, impact will be a central objective of our research programmes and projects,

and will be designed into them from inception. We will examine and assess the impact of our research and innovation, sharing best practice to improve performance, and communicating our achievements to a wide range of audiences.

Much of the distinctive value of UCD lies in the coverage and depth of our disciplines. Success in research and innovation can only be delivered if we build successfully from within these disciplines. This success will then in turn lead to stronger disciplines, through the attraction and development of outstanding faculty and students, stronger partnerships, better facilities and enhanced reputation.

The research programme of a single academic can add significantly to UCD's reputation in a field, or give rise to the development of a strong cluster of research over time. Our research environment must support a balanced approach, where single scholars as well as research groups of all sizes add to our body of knowledge and enhance the University's reputation. Above all, our research must be excellent, delivering impact to our society and economy. We will develop a framework that allows us to understand, evaluate and build excellence across our rich landscape of disciplines.

Initiative 1.1: *The Impact Programme*

The impact programme is a multi-annual programme of work that seeks to develop tools and support strategies to maximise the impact of UCD's research. It ensures that impact is a key consideration from the planning of a research project, to its execution and outputs. The programme recognises that impact planning is a relatively new competence in research planning and aims to build the capacity of our academic staff to define, capture and communicate the impacts of their work.

The project will have the following deliverables over the period:

- A range of tools and supports for impact development and capture that systematise our approach to impact
- Implement a new research management system that enhances the capture and visibility of the quality, quantity and impact of our research
- A programme to build academic capacity around the capture and communication of impact

Measure of success: # of impact case studies.

Initiative 1.1: *Outcomes*

- **Baseline:** No of impact case studies – 39
- **End 2019:** No of impact case studies – 51
- **End 2020:** No of impact case studies – 66
- **End 2021:** No of impact case studies - 81

Initiative 1.2: *The Excellence Framework*

Our strategy requires all research and innovation supported within UCD to be excellent, and unambiguously identifiable as such by the measures applied within the relevant sphere internationally. The excellence framework project aims to define excellence by area and to assist our academic staff to maximise the academic impact of their publications and enhance UCD's reputation.

We have already taken significant steps towards encouraging faculty to publish their outputs through the best and most impactful channels. In 2016, the University launched a new Output Based Research Support Scheme (OBRSS). The Scheme is based on the Danish, Finnish and Norwegian models of research assessment and assigns points to research outputs that appear on a publication list of prestigious journals, publishers etc. In addition the Scheme recognises PhD supervision. Each faculty member is eligible to receive a small research award based on their outputs as evaluated under the scheme. We recognise the importance of internationalising our research outputs and in recognition of this, publications with international co-authors receive a 1.25 multiplier for the purposes of OBRSS.

In addition, the University has also opened a system of rolling promotions for faculty based on a revised faculty development framework. The development framework is supported by an online system that allows faculty to capture evidence of their outputs across the dimensions of teaching and learning, research, scholarship and innovation and leadership and contribution.

The excellence framework will continue to build on the work to date and will have the following deliverables over the period:

- An internal excellence framework that uses external reference points to recognise high research performance
- Embed these frameworks in university structures for recruitment, progression and recognition
- Increase our PhD population

Measure of success: # of publications in Scopus-listed journals.

Initiative 1.2: Outcomes

- **Baseline:** No of publications in Scopus listed journals – 3,369
- **End 2019:** No of publications in Scopus listed journals – 3,470
- **End 2020** No of publications in Scopus listed journals – 3,574
- **End 2021:** No of publications in Scopus listed journals – 3,681

Please note Baseline per April 2018 - Growth of 3% per yr.

Initiative 1.3: Value through Innovation

UCD is already renowned for its programmes in entrepreneurship and innovation. This project seeks to advance this position further by increasing both the number and successes of our spin-outs and spin-ins and increasing depth and levels of UCD's engagement with industry.

The project will have the following deliverables over the period:

- New supports for developing high-quality spin-outs and spin-ins.
- New structure and supports to commercialise intellectual property in the clinical environment.
- Strengthen the focus of our industry collaborations to ensure that the research results contribute more to the development of new products, processes and services.
- Increase our consultancy engagements to enhance innovation.

Measure of success: # spin-outs and licences.

Initiative 1.3: Outcomes

- **Baseline:** No of spin-outs – 4; No. of licences - 21
- **End 2019:** No of spin-outs – 5; No. of licences - 22
- **End 2020** No of spin-outs – 5; No. of licences - 24
- **End 2021:** No of spin-outs – 5; No. of licences - 25

Strategic Priority 2: Diversify our funding base in support of our key research priorities

The research funding we secure reflects our competitiveness and also enables the delivery of research outputs and impact. We will grow our funding from a balanced range of sources: national, international (including but not limited to EU), foundations, industry and others. We will target, in particular, sources of funding aligned with our core objective of delivering research excellence. We will work with partners to develop major value propositions that will attract very substantial funding not just to UCD but to Ireland.

Delivering on this objective will require excellent people working within and across disciplines, with world-class support structures and facilities, and in collaboration with a network of engaged partners.

We have developed for a number of years now our major research themes of Agri-Food, Culture, Economy & Society, Energy, Environment, ICT and Health. These are areas of global opportunity where UCD can lead, Ireland can lead and we have a strong network of partners. Over the period of this strategy we will expect significant advances for each of these themes, with step changes in international profile, strategic partnerships and major research successes. We will continue to review achievement against these expectations.

We will also seek to identify additional cross-cutting themes where the intersection of excellence, partnership and opportunity at scale is particularly significant. One example of a theme recently under intensive development in UCD is Manufacturing. We will support the development of this and further themes. We will continue to scan the horizon internally and externally and will support the development of emerging areas where UCD can be an early leader in a growing area of research.

Initiative 2.1: EU Funding Support Programme

The EU represents the largest funding source available for research and innovation activities internationally. It's structure focusing on individual excellence and larger scale collaborative programmes aligns well with UCD's strategy. We aim to increase our success in attracting EU funding to UCD and its partners for the remainder of Horizon 2020 and position UCD for success in its successor programme FP9.

The project will have the following deliverables over the period:

- Develop and put in place a comprehensive support structure for EU awards that encourages greater participation by our academic community
- Increase the number of UCD representatives on EU advisory groups
- Enhance the profile of UCD through position papers and events

Measure of success: % growth in H2020 funding over baseline.

Initiative 2.1: Outcomes

- **Baseline:** EU funding €16,988,000
- **End 2019:** % growth in EU funding over baseline – 5%
- **End 2020** % growth in EU funding over baseline – 10%
- **End 2021:** % growth in EU funding over baseline – 13%

Initiative 2.2: Industry Funding Support Programme

Industry funding and co-funding is increasingly becoming a key eligibility criteria and success factor is securing agency-led funding. Industry partners also provide a clear pathway to impact for university research. In seeking to diversify our funding base it is critical that UCD increases its funding from industry sources. The Industry Funding Support Programme aims to deliver these increases.

The project will have the following deliverables over the period:

- Develop a strong portfolio of industry collaborative awards through SFI SPPs, Centres and IRC Employment-based Schemes
- Grow our innovation partnership awards
- Develop a flagship programme in a key priority area with industry, academia and government in a multi-actor partnership

Measure of success: % growth in industry funding over baseline.

Initiative 2.2: Outcomes

- **Baseline:** Industry funding €4,500,000
- **End 2019:** % growth in industry funding over baseline – 3%

- **End 2020** % growth in industry funding over baseline – 5%
- **End 2021:** % growth in industry funding over baseline – 7%

Risk Assessment

We have ambitious plans for growth. Our ability to deliver on these ambitions and attract significant additional funding from the competitive international funding market is contingent on a solid base of national funding. This is true for all international research systems.

Innovation 2020 is Ireland's National plan for investment in research and innovation. Published in 2015, it set out the goal to reach the R&D intensity target of 2.5% of GNP by 2020. However, at the current rate of funding, Ireland is due to fall far short.

As highlighted in Government reports Research and Development Budget 2016-17 and Enterprise 2025 Renewed, Ireland's R&D intensity has in fact fallen from 1.94% of GNP in 2012 to 1.43% in 2016. The Government's R&D budget has also fallen, from 0.63% of GNP in 2009 to 0.33% in 2017, with expenditure down 17% from its peak. Ireland now ranks 16th in the EU, and significantly below the EU average, for Government investment in research and development as a percentage of total Government expenditure.

The national situation is concerning and may impact UCD's ability to deliver on ambitious growth plans if not addressed soon.

We also recognise that we compete with international institutions for international and industry funding. Many of these institutions are in systems where the full economic cost of research is recoverable from funding agencies. The absence of a full economic cost model, and indeed any overhead at all, from certain agencies is a significant and ongoing challenge to the growth and sustainability of research activities

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.

Strategy summary:

UCD Strategic Plan 2015-2020 sets out its vision is to become “A *pre-eminent diverse and inclusive scholarly community of students, faculty and staff*” (p.9). A series of objectives support the achievement of this vision. In particular, Objective 5 “*Attract and retain an excellent and diverse cohort of students, faculty and staff*”, Objective 2 “*Provide an excellent educational experience that defines international best practice*”, and Objective 6 “*Build engagement locally, nationally and internationally*”; support the University’s diversity ambition. The University’s Access & Lifelong Learning (ALL) Work Plan (UCD, 2017) is a cornerstone of the University’s strategy to become a diverse and inclusive scholarly community, ensuring that UCD can recruit a student body that reflects the diversity and social mix of Ireland’s population. The UCD Access & Lifelong Learning Work Plan 2017-2020 was developed and informed by the *National Plan for Equity of Access to Higher Education 2015-2019*, which establishes the key priorities as: mainstreaming the delivery of access, collection of accurate data, development of coherent pathways and entry routes, and forging of HE/community partnerships. The UCD Access & Lifelong Learning Work Plan sets out a series of

goals and related actions to support the University’s goal whereby 33% of undergraduates will be drawn from communities experiencing low progression rates to higher education, by 2020.

The UCD Widening Participation Committee is the formal university-wide mechanism to oversee, monitor and promote progress towards the achievement of the University’s objective of diversifying the student profile to reflect that of general population. The following deliverables support and facilitate the achievement of *Key System Objective 4*.

Strategic Priority 1:

Develop and implement a suite of responses to widen access and ensure participation by diverse student cohorts, including students with disabilities, mature students, part-time students, students from communities experiencing disadvantage, Irish Travellers/ethnic minorities, lone parents, refugees, asylum seekers and those given leave to remain. This strategic priority is aligned with High Level Target 4: *Sustain the expansion from underrepresented groups with 2,000 additional enrolments from socioeconomically disadvantaged groups and 1,000 from Further education access programmes.*

To achieve this target UCD will

Initiative 1.1: *Expand activities to widen access*

- Further expand our activities to widen access and ensure participation by diverse student cohorts, including students with disabilities, mature students, part-time students, students from communities experiencing disadvantage, Irish Travellers/ethnic minorities, lone parents, refugees, asylum seekers and those given leave to remain. Expand the UCD Future You Community Outreach Programme, to include additional Family Fora, Further Education settings, disability organisations and community partnerships, in addition to the inclusion of DEIS primary schools (secondary DEIS schools currently participate).
 - In 2018 UCD is working with 18 DEIS secondary schools. From 2018-2021 UCD plans to develop links with 50 DEIS primary schools, 5 Colleges of Further Education, 5 family fora, and 10 disability/community organisations to deliver on this section of UCD’s Strategic Priority 1.
 - Current proportion of underrepresented groups: 30.5%: Target 2020/21 33%

Widening Participation - Undergraduate Programmes (Certificates, Diplomas and Degrees)				
	2018	2019	2020	2021
Socio-economically disadvantaged students (full time degree only) (1)	1,120	1100	1125	1250
Students reporting a Disability (full time) (2)	1,940	1900	1950	1970
Students reporting a Disability (part time)	17	20	25	30
Mature students (full time) (3)	923	900	890	870
Mature students (part time)	830	830	820	800
Part Time and Flexible Learning (4)	1,094	1100	1140	1150
FETAC / HETAC (full-time)	345	400	410	420
All UCD Widening Participation Students	4,993	6250	6360	6490
TOTAL UCD undergraduate students	17,169	Students may be represented in more than one category so overall % cannot be provided as targets.		
% Widening Participation Students	29.1%			

- Implement the HEA approved PATH 1, 2 &3 proposals, whereby approximately €90,000 was awarded to a UCD-led consortium to increase access to higher education for under-represented student cohorts.
- Institutional level admissions, progression and completion data for all equity student groups are currently available to all undergraduate Programme Boards (PBs). Programme level

admissions data is now also available to all. Work is planned to develop programme level data for progression and completion between 2018 and 2020

- Each programme to identify progression and completion targets for under-represented groups by 2020.
 - Programmes will specify action plans to deliver on targets; which will be linked to the integrated School planning process

Strategic Priority 2

To support and enable the University to develop an institution-wide, universally designed and inclusive approach to access, participation and success, and “integrate the principle of equity of access more fully into the everyday life of the HEIs so that it permeates all faculties and departments, and is not marginalised as the responsibility of the designated access office” (HEA, 2015, p. 25). This strategic priority is aligned with High Level Target 1: *All HEIs will have a Student Success Strategy in place by 2020, which will embed whole-of-HEI approaches to institutional access strategies.*

To achieve this target UCD will

Initiative 2.1: Develop the University for All initiative

- Continue to implement the *University for All* initiative to mainstream access and widening participation. UCD was the first Irish university to develop a strategy for a whole-institution approach.
 - In 2018/19 consult with faculty and professional staff to identify local access priorities, resources available, identification of any training needs, and result in the development of associated action plans.
 - 2019/20 deliver on action plans
 - In 2018/19 Access and Lifelong Learning to deliver workshops for all student-facing faculty and staff to enable them to provide accessible documents including policies, publications, website material, videos, etc. using Communications Toolkit for the Public Service - A Universal Design Approach (Centre for Excellence and Universal Design, NDA & Department of Public Expenditure and Reform, 2017).

In 2018/19 develop a ‘*Toolkit for Inclusive Practice in Higher Education*’, along with Case Studies that provide practical examples of programmes and services, which are designed inclusively and meet diverse needs of the entire student cohort. It is intended that these publications will offer know-how and confidence and capitalise on the commitment of faculty and staff.

Initiative 2.2: Develop a University Student Success Strategy by 2020

Recognising that the University for All initiative (above) will be an important component, UCD will describe its approach to student success in a unified Student Success Strategy by September 2020 through:

- Distillation of existing student success associated initiatives and strategies, with particular reference to the UCD Student Education Strategy, “Our Students’ Education and Experience” 2015-2020.
- Completion of a UCD Student Experience Mapping project which will identify opportunities for improved integration of student services and supports and will also highlight gaps and areas for prioritisation in the overall student experience.
- Evaluation of internal and external technological tools that allow the UCD student and staff community to reflect on attendance, engagement, retention and academic progress for all students in order to optimise approaches that harness data analytics for student success.

These steps will enable the provision of a Strategy that will provide a roadmap for student success, including performances indices, in parallel to the creation of the UCD 2020-2025 Strategy.

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.

Strategy summary:

The UCD Strategic Plan sets out a series of objectives, the most relevant to **Key System Objective 5** is Key Strategic Objective 2: *“Provide an educational experience that defines international best practice”* (p.14). The Strategy is further described by a number of major strategic initiatives including initiative 2; Defining educational excellence: *“We will build on the work we have already done to establish an approach to education that supports all our students to achieve academic excellence and to equip them with the social, intercultural and generic skills to succeed in a diverse society”* (p24). Furthermore, the UCD Education Strategy further defines the student experience holistically combining the experience of students in formal educational settings with their wider experience of the institution. The strategy outlines six areas of priority, which align with Key System Objective 5. Specifically the UCD Education Strategy in Priority 5 sets out to foster an institutional culture that values teaching and research equally and embeds institutional mechanisms that facilitate, recognize and reward excellent teaching and supervision while providing effective and enabling structures that support educational enhancement. To enable this UCD is committed to supporting the professional and career development of all faculty and staff engaged in teaching, through the provision of flexible accredited programmes of study (face to face and online) and specialist CPD support to enhance new

approaches to learning, teaching, curriculum development and research supervision. These actions will ensure students have access to excellent academic advice and support throughout their time in university, provide opportunities for students to become partners in their own learning, create an environment where they can take responsibility and ownership of their learning and develop graduate research students to the highest level. The following deliverables support and facilitate the achievement of **Key System Objective 5**.

1. Prioritise closure of the student feedback loop based on an analysis of module feedback and data from the ISSE. A “you said, we did” campaign will be implemented for the ISSE and other institution wide surveys associated with the student experience.
2. Develop an Assessment Enhancement Implementation Framework. Assessment is an integral part of programme design and a fundamental aspect of the student learning experience. The Curriculum Review & Enhancement (CRE) project highlighted a number of assessment challenges and concerns related to programme assessment and feedback approaches. This new initiative, aligned with UCD’s Education Strategy (Action 1.2), will leverage the significant body of work already undertaken in the area of assessment and feedback both within UCD and nationally

Strategic Priority 1

UCD is committed to total quality management. Under Priority 1 of the UCD Education Strategy, Action 1.6 states *Review our Quality Assurance framework in partnership with students, faculty, staff and external examiners, to ensure that programmatic reviews and strategic reviews of schools will further enhance our students’ academic experience*. Additionally, **Priority 4** *Enable students to proactively manage their health and well-being, and develop the attributes required to make the most of their wider university experience* is central to a quality student experience. This focus on quality assurance will facilitate UCD’s capacity to engage with High Level Target 6 *The HEA will develop guidelines to steer the process of total quality management, in line with best international practice* and more broadly with 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*.

To achieve this target UCD will

Initiative 1.1: Engage with QQI Institutional Review

- Engage fully with the QQI Institutional Review planned for 2019. This will provide an opportunity for UCD to demonstrate the effectiveness of its quality enhancement processes through the provisions of evidence of enhancements arising from unit reviews and the associated quality improvement plans and also from University wide continuous improvement projects such as the Curriculum Review and Enhancement Programme.

Initiative 1.2: Enhance feedback systems

- Prioritise enhancement of feedback systems and closure of the student feedback loop based on an analysis of module feedback and data from the ISSE. A “you said, we did” campaign will be implemented for the ISSE and other institution wide surveys associated with the student experience.
 - To ensure validity of data for use in you said, we did” campaign continue to increase ISSE response rate using targeted campaigns across all stakeholders to promote engagement
 - Response rate taught programmes in 2017 of 23.8%, which increased to 27% in 2018
 - Projected response rate of 30% by 2020

- Baseline response rate graduate research students of 39.2% in 2018; national average of 32.5%
 - Projected response rate of 40% by 2020

Interim Targets

<u>Increases based on baseline</u>	2017/18 Baseline	2108/19	2019/20	2020/21
ISSE Taught Programme response	27%	28%	29%	30%
ISSE PG Research Students *	39%	35%	38%	40%

*Note given the high response rate in Year 1 of the ISSE PG Research Students it is anticipated that the response rate may fall initially.

Initiative 1.3: Develop assessment and feedback mechanisms

- Develop an Assessment Enhancement Implementation Framework Assessment is an integral part of programme design and a fundamental aspect of the student learning experience. The Curriculum Review & Enhancement (CRE) project highlighted a number of assessment challenges and concerns related to programme assessment and feedback approaches. Recent national-level projects highlighted the importance of programme approaches to assessment and feedback (National Forum, 2017)
 - By 2020 develop a user friendly guide for staff and students on assessment
 - By 2020 redesign UCD's module feedback system

Initiative 1.4: Develop counselling and welfare services

- Invest in a three-year project to enhance student counselling and wellbeing services (2018/19), incorporating a point of care assessment, which will be new to the service model. To understand the impact of this investment data, not previously collected, will include:
 - Student satisfaction with the new service model
 - Student reach
 - Defined mental health outcomes
 - Monitor different cohorts of students, including doctoral candidates, in line with best practice

Strategic Priority 2

UCD is committed to digital teaching and learning. Under Priority 1 of the UCD Education Strategy, Action 1.3 states *Work with programme teams to incorporate blended learning to create flexibility and anticipate the realities of future digital worlds*. This priority is aligned with High Level Target 5 *All HEIs to have in place policies for digital teaching and learning by 2019*.

To achieve this target UCD will

Initiative 2.1: Develop UCD's Virtual Learning Environment

- In 2018/19 commission a virtual learning environment aligned to the current and future needs of the learners and staff. This project is due to be completed by the end 2019 but will need continued evaluation beyond this date. Outcomes associated with the future VLE will be:
 - Provision of individual student-facing information regarding student engagement with the VLE and their success within their programmes and modules in advance of terminal assessments

- A more consistent, accessible and personalised online experience that enables technological enhancement of education provision
- Provision of academic, programme and support staff-facing information regarding student engagement such that students in danger of failing modules or failing to progress can be identified for support and appropriate intervention earlier than is currently the practice.

Develop a digital learning and teaching policy that collates aspects of existing regulations, policies and guidelines that relate to the online environment, incorporating new elements that are specific to digital learning by 2020. This should also be consistent with the Statutory Quality Assurance Guidelines for Providers of Blended Learning Programmes (QQI 2018). Outcome: Clarity for learners and employees on UCD's approach to the use of digital learning, and the associated responsibilities of faculty, staff and students.

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.

Strategy summary:

Overview of UCD's existing governance structures

The Governing Authority is the principal University governance and decision-making body in accordance with the Universities Act, 1997, and is responsible for guiding the strategic direction of the

University with particular emphasis on overseeing policy, monitoring the performance of senior management and working with the President to set the University's strategic aims. The Governing Authority is chaired by an independent Chairman appointed in accordance with s.17(3), Universities Act, 1997.

There are two permanently constituted standing committees of the Governing Authority: the Finance, Remuneration and Asset Management Committee (FRAMC) and the Audit and Risk Management Committee (ARMC). Both standing committees are chaired by external members of the Governing Authority who are not employees and are not members of the student body.

The Finance, Remuneration and Asset Management Committee (FRAMC) is responsible for supervising the financial affairs of the University and for advising the Governing Authority on matters relating to the financial management of the University. Membership of the committee comprises a number of members of the Governing Authority.

The Audit and Risk Management Committee (ARMC) is responsible for advising the Governing Authority on audit and risk management matters in the University. Membership of the committee comprises a number of members of the Governing Authority and additional external members.

The Academic Council is responsible, subject to the financial constraints determined by the Governing Authority and to review by the Governing Authority, and subject to the traditional principles of academic freedom, for controlling the academic affairs of the University including the curriculum of, and instruction and education provided by, the University.

The President is the Chief Officer of the University and is appointed by the Governing Authority. The President is responsible for managing and directing the academic, administrative, financial, personnel and other activities of the University.

The University Management Team (UMT) comprises the President and other officers and senior managers in the University. A number of UMT sub-groups support the work of the University Management Team (Research, Innovation and Impact Group; Education Group; Student Experience Group; Global Engagement Group; Capital Projects Group; Communications and Brand Group; Equality, Diversity and Inclusion Group; and University Business Planning Group).

Within a devolved management structure, Senior Officers, College Principals and Heads of Schools/Units are responsible for ensuring that internal controls are operating effectively for their respective areas of responsibility. Formal policies, procedures, regulations and guidelines are in place for all of the principal activities and major systems within the University.

Assessment of the effectiveness of UCD's existing governance structures

The requirement to review the effectiveness of the UCD Governing Authority arises from *Governance of Irish Universities 2012* which stipulates that "The Chairperson should lead a periodic review by the Governing Authority of its own effectiveness (section 3.1.2.3)"

The Code of Practice for the Governance of State Bodies 2016 requires the following reviews of state body boards:

- Annual Self - Assessment. A self- assessment evaluation of the performance of the board and its committees should take place annually (section 4.6)
- External Evaluation of Performance. An external evaluation of the board's performance proportionate to the size and requirements of the State body every three years (section 4.6)
- Periodic Critical Review. A periodic critical review of the State body, to include organisational capacity (including governance) no later than every five years (section 8.14)

In February 2016, the UCD Governing Authority approved a recommendation that a review of governance and the operation and performance of the UCD Governing Authority and its Committees be undertaken by an externally appointed reviewer once every five years, i.e. once during the term of each Governing Authority.

An external effectiveness review of the UCD Governing Authority was undertaken by Advance HE to assess the effectiveness of the Governing Authority in the fulfilment of its role as UCD's primary governance body, and to provide recommendations to enhance the Governing Authority's effectiveness in relation to the following:

- University Governance
- Membership, including members' understanding of their roles and induction material for members
- Use of skills matrices when appointing members
- Committee structure, including
 - Finance, Remuneration and Asset Management Committee
 - Audit and Risk Management Committee
- Conduct of meetings and provision of meeting support for Governing Authority and its committees
- Relationships with other University governance bodies
- Functions regarding strategic oversight
- Functions regarding compliance oversight
- Roles of key Governing Authority officers (i.e. Chair and Secretary)
- Reserved powers, as set out in legislation

The review group produced its report to the Governing Authority in June 2018 with a set of recommendations for enhancing governance effectiveness.

UCD Risk Management Approach

The UCD approach to risk management issues comprises two higher level parts, namely the process itself and its reports [i.e.. the first connects to the second], as follows:

UCD Risk Management process:

The UCD Risk Management process aims to ensure risk is managed by attaching a risk owner to the main risks. A risk owner is a person who has direct responsibility for a particular risk. The owners of high level (top-down) risks in UCD are the following:

Governing Authority

The UCD Governing Authority has appointed the Audit and Risk Management Committee (ARMC) with the duty to advise it on Risk Management issues. [Statute 6, Chapter 5, Paragraphs 13. to 16.]

ARMC

The duties of the ARMC include the consideration of Risk Management issues to ensure that these are being adequately addressed by management.

University Management Team (UMT)

Under the direction of the President, the UMT is the owner of enterprise risk. It is responsible for the identification, management, prioritising and monitoring of fundamental risks.

Vice-Presidents/College Principals

The Vice-Presidents and College Principals are the owners of risk in their respective academic and management units. The owners of bottom up risks are the heads of academic and support units below the Vice-Presidents/College Principals level.

Risk reports:

The UCD Risk Management process produces three main kinds of reports, namely a consolidated University Risk Register, Risk Registers for all major academic and Support units and Annual Risk Reports as follows:

University Risk Register:

This is an expression of high level risks compiled by reference to UMT that is updated annually for submission to ARMC.

Academic and Support Unit Risk Registers

These reports identify risks for each major academic and support unit. They are compiled within each of the relevant units, managed at College Executive level and reported to the ARMC on a rotational basis.

Annual Risk Reports

These are annual risk assessments by operational units inclusive of the Vice-Presidents and College Principals that detail the main strategic and operational risks and the associated processes and procedures to manage them and which inform the compilation of the university risk register.

Strategic Priority 1: Compliance with Public Sector Procurement Requirements

The University has put in place procurement policies and procedures and all non-pay expenditure is required to be procured in accordance with these policies and procedures. These policies and procedures have been communicated to the faculty and staff of the University.

The University endeavours to ensure full compliance with procurement procedures and guidelines. The University is actively working with the Office of Government Procurement (OGP) and with the Education Procurement Services (EPS) to ensure that procurement activities are taking place in accordance with the operating model put in place by the OGP. The implementation of this model is an ongoing process since 2013 and is being managed by the OGP.

Specific measures taken by the University to address non-compliant procurement practices are as follows:

Within Estate Services and with specific emphasis on larger Capital Projects trained staff with an appropriate level of procurement experience are now in place. This has enabled UCD to:

- partner with project teams managing externally funded capital projects to advise and monitor both funding-specific and general requirements at the earliest stages of procurement
- develop dialogue across the Estate Services project managers around procurement requirements
- establish a ‘go to’ list of audit-standard documents required (based on Article 13 checks) as the guideline for information retention

perform ‘spot-check’ audits on smaller capital projects to verify procurement compliance

Strategic Priority 2: Devolved Budgetary System

A devolved budgetary system is in place with senior staff in the university charged with responsibility to operate within defined accountability limits and to account for significant budgetary variances to the Bursar, who in turn must account to the President.

Monitoring and review of the effectiveness of budgetary controls is also informed by the work of the Comptroller & Auditor General in his management letters and audit reports, which are reviewed by UCD’s Audit and Risk Management Committee.

During the course of the financial year, significant analysis is undertaken by the university to assess any potential adverse variances against budget allocations and these variances are reported quarterly to the UCD Finance Remuneration and asset Management Committee.

The university produces financial and performance reports on a monthly, quarterly and annual basis.

The university produces its annual financial statements, within four months of its financial year-end for the annual statutory audit conducted by the Comptroller & Auditor General.

The measures being taken by UCD to improve budgetary controls are as follows:

- Regular external verification by the UCD Internal Audit Unit that the controls and procedures in place are operating satisfactorily.
- To ensure that budgets are operating effectively, budgets for all university units are allocated on a phased basis across the 12 months of the financial year in a realistic manner to reflect the seasonal pattern of expenditures. Appropriate phasing of the budget allows for meaningful comparison between actual and planned activity.
- Budgets must be aligned with university strategic objectives and all university units must demonstrate this alignment when submitting their budgets for approval.
- The carry-forward of budget surpluses into the next financial year and the use of those budget surpluses will be permitted if there is a clear expenditure plan that will generate additional income.

Strategic Priority 3 *Removing Barriers to Equality*

UCD is acting to mainstream equality, diversity and inclusion values and actions throughout the University and to remove barriers to equality. For example, in respect of gender, through Implementation of Gender Equality Action Plan 2016-19 submitted as part of UCD's Bronze Athena Swan Accreditation, granted March 2017 and the completion of the next Gender Equality Action Plan. Steps towards implementation of the current plan include:

- Supporting nine schools towards Departmental Athena Swan Awards by the end of 2019 and all STEMM schools to apply by 2021
- Annual Culture and Engagement survey – total favourable score on gender in the Culture and Engagement survey for 2018 set at 76% and 80% for 2019 with a high level of awareness of UCD Gender Equality Action Plan reaching 85% by 2019.
- Incorporation of Equality, Diversity and Inclusion values into quality assurance processes
- Expand initiatives in ICT and Engineering to improve intake of female students and support their retention (Intake: $\geq 25\%$ (baseline: $< 20\%$); Retention: $\geq 95\%$)
- Annual review of gender dimension in pay to ensure equality. If gap $\geq 3\%$ at any level, situation will be investigated further and corrective action taken if gender is the reason.
- Continue monitoring of academic promotions against gender quota cascade targets, resetting targets annually. Targets for 2017/2018 as follows:
 - Lecturer to associate professor – at least 50.7%
 - Associate professor to professor – at least 40.3%
 - Professor to full professor – at least 31.4%
- Review impact of social levy and provision of cover during maternity leave. Explore the expansion of social levy funding to cover re-entry period following maternity leave
- College Principals will take steps to achieve gender balance in the appointment of Heads of School, and will report to UMT on this (Increase in the number of female appointees to Head of School roles, reaching $\geq 40\%$ of new appointments by 2019)

The outcomes of the 2016 Expert Recommendations were acted on and reported in the Athena Swan Bronze application. The outcomes of the 2018 Gender Equality Task Force will be acted on and incorporated in the next Gender Equality Action Plan.

Outcomes – Schools applying for Athena Swan Bronze Accreditation

- **Baseline:** 1 school
- **End 2019:** 14
- **End 2020:** 16
- **End 2021:** 20

Please note that while most schools are applying as a single application, The College of Engineering and Architecture will make a single application covering 6 schools

Outcomes – Culture and engagement survey – favourable score for EDI

- **Baseline:** 70%
- **End 2019:** 79%
- **End 2020:** 79%
- **End 2021:** 79%

Please note that while most schools are applying as a single application, The College of Engineering and Architecture will make a single application covering 6 schools

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

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: 6/2/2019

Chief Executive, Higher Education Authority

Signed: 

Date: 28/01/2019

President, Higher Education Institution

Signed: 

Date: 28/01/2019

Chair, Governing Body, Higher Education Institution

Appendices

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

List the appendices here:

<input type="checkbox"/>	Appendix 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
<input type="checkbox"/>	Appendix 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
<input type="checkbox"/>	Appendix 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
<input type="checkbox"/>	Appendix 4: 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"/>	Appendix 5: 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"/>	Appendix 6: Demonstrates consistent improvement in governance, leadership and operational excellence
<input type="checkbox"/>	Appendix 7: Institutional quantitative data return (September 2018)