
Performance Delivery Agreement
between the
Department of Further and Higher
Education, Research, Innovation and
Science
&
Higher Education Authority

2022

Date: 20th October 2022

PERFORMANCE DELIVERY AGREEMENT

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1. INTRODUCTION AND CONTEXT

1.1 PURPOSE AND SCOPE OF THE AGREEMENT

This Performance Delivery Agreement (referred to in this document as “the PDA”) sets out the accountability framework between the Department of Further and Higher Education, Research, Innovation and Science (referred to in this document as “the Department”) and the Higher Education Authority (referred to in this document as “the HEA”).

The purpose of the PDA is to:

- provide structured arrangements for ongoing communications, reporting and liaison between the organisations.
- facilitate strong engagement and co-operation between both organisations.
- formalise an agreed level of performance between the Department and the HEA.
- provide clarity on the strategic and operational aspects of the respective organisations’ relationships.
- provide a basis and framework for the delivery of high quality services and to set in place for 2022, the parameters and timeframe within which those services will be delivered by the HEA.
- facilitate high levels of governance within the HEA in line with best practice.

This PDA supersedes the previous 2018 Performance Delivery Agreement.

This PDA is to be considered a dynamic document in that it will be modified through agreement in light of changing circumstances including legislation¹ and is subject to modification in line with changes in the wider public sector. This PDA is not a legally binding agreement or a contract and is not exhaustive in its identification of responsibilities. It does not in any way limit any additional actions or policies between the two organisations.

Both organisations will ensure that all relevant staff are familiar with the PDA and its implications and that all dealings between the two organisations are conducted in accordance with its principles and provisions.

1.2 DURATION OF THE PDA

This PDA is valid with effect from the date signed hereunder until 31st December 2022. The content of this PDA, including the duration of the PDA, may be amended or modified as required provided mutual agreement is obtained from both signatories to the PDA.

¹ As set out at section 10, noting the publication of the Higher Education Authority Bill 2022, this Agreement will be reviewed by both parties upon enactment of the new HEA legislation.

1.3 REPORTING AND LIAISON STRUCTURES

In addition to regular meetings and ongoing dialogue between the respective management and staff in the relevant areas of responsibility in the two organisations, there will be a system of regular senior management meetings between the Department and the HEA.

1.3.1 REGULAR SENIOR MANAGEMENT MEETINGS

To facilitate ongoing dialogue and engagement the senior management team of the Department will meet with the senior management of the HEA. In addition there will be three annual meetings held between the Secretary General of the Department and the CEO of the HEA. Relevant officers from the Department and the HEA will also meet to discuss ongoing operational matters as necessary.

2. OVERSIGHT AGREEMENT

This PDA is the first which will arise under the current Oversight Agreement between the Department and the HEA covering the period 2022-2024. This PDA operates within the parameters of the Oversight Agreement and should be read in conjunction with that Agreement.

3. CORPORATE GOVERNANCE

As a statutory agency operating under the aegis of the Minister, the HEA is cognisant of its responsibilities to conduct its activities consistent with its statutory responsibilities under the HEA Act.

In addition the HEA is subject to a range of statutory and corporate governance obligations including the Code of Practice (and supporting appendices), the Public Spending Code, along with supplementary D/PER obligations and statutory obligations, relevant policies and processes. The HEA will ensure that all the necessary obligations, including those for risk management, internal audit and control, tax compliance, pay and pension policy, public procurement, travel and official entertainment and the Public Spending Code are fully complied with.

It is the responsibility of the HEA to ensure all relevant statutory obligations including, but not necessarily limited to, those referenced in this document and the Oversight Agreement are complied with.

There is currently a process underway to reform the provisions of the HEA Act 1971 which will include improving the functions of the HEA with regard to the regulation of the higher education institutions under its remit. As set out at section 10 below, this PDA will be reviewed by both parties upon enactment of the new legislation.

4. OBJECTIVES OF THE PDA

This PDA supports specific high level goals and objectives of the Department and the HEA and sets out a number of targets for the HEA in line with the Department's Statement of Strategy 2021-2023 and the HEA's Statement of Strategy 2018-2022 and work plan. It also defines the output and outcome indicators on which performance shall be measured and sets out how the Department will support the HEA in delivering those outputs and outcomes.

This PDA has been developed in accordance with the Higher Education Authority Act, 1971 and other relevant statutory provisions, national strategies and Government policies, the Public Spending Code and other relevant Department of Public Expenditure and Reform (DPER) guidance as well as the Code of Practice for the Governance of State Bodies.

5. KEY PROGRAMMES OF ACTIVITY

Details of the priority deliverables for the Department and the HEA in 2022 which were agreed on 20 October 2022 are set out at **Appendix 1**.

These priorities and have been considered and align with the priorities and objectives of the Department's Statement of Strategy 2021-2023 and the HEA's Statement of Strategy 2018-2022.

6. MUTUAL COMMITMENTS

Both parties are committed to the promotion of partnership, responsiveness and mutual co-operation in their ongoing interactions.

6.1 BOTH PARTIES COMMITMENTS

Both parties working together shall:

- Be proactive and timely in communications, cooperation and information sharing on service delivery and will provide prompt and timely responses to correspondence, information requests and related matters.
- Both parties agree to consult and to keep each other fully apprised on (a) all matters of mutual relevance and (b) updated on any relevant emerging issues. This is to be underpinned by a 'no surprises' approach to matters of mutual concern.
- Support adherence to corporate governance obligations including those set out in the Oversight Agreement and the effective achievement of targets under this PDA.

6.2 DEPARTMENT COMMITMENTS

The Department shall:

- In forming the estimates for the Department's Vote, consider the requirements of the HEA and the higher education sector as part of the annual budgetary provision for the HEA.
- Liaise appropriately with DPER to ensure, as far as possible, timely sanctions for expenditure and resourcing in line with public financial procedures and policies on public service numbers.
- Provide guidance/direction on procurement and expenditure rules, government accounting and governance generally.
- Engage in a timely manner with the HEA on strategic, policy and legislative issues of relevance to the HEA's functions.
- Liaise with the HEA on public service reform/engagement initiatives.
- Engage and progress the State Boards process as vacancies arise or are anticipated on the Board of the HEA and the Irish Research Council.
- Liaise with the HEA at the earliest possible stage on requests for information that may be necessary to assist in meeting the Minister's obligations to the Oireachtas and in responding to representations, media queries etc. and Ministerial/Departmental announcements of relevance to the functions of the HEA.
- Liaise and support the HEA at the earliest possible stage on significant governance developments in Higher Education Institutions and related issues of concern.
- Provide support to the HEA as necessary to fulfil its role and functions. This will include advice on general government policy, staffing, pay and pensions policies, legal matters, shared services models or any other relevant matters.
- The Department shall keep the HEA notified of statutory and public-sector requirements in the areas of human resources, procurement (including ICT), finance and revenue requirements that may affect the HEA.

6.3 HEA COMMITMENTS

The HEA shall:

- Provide timely, relevant and appropriately detailed information to facilitate the monitoring of the Oversight Agreement and the PDA.
- Ensure that expenditure in any individual year does not exceed the allocated amount.
- Operate an effective internal financial control process. Further details set out in the Financial Accountability Framework at **Appendix 3**.
- Provide the Department with timely and accurate pre-agreed data collection and reporting for the sector and agency as necessary.
- Ensure that the Department is appropriately informed and/or consulted on significant governance-related issues or concerns and that these are brought formally to the attention of the Department at the earliest possible opportunity.
- Give the Department timely advance notification (including any appropriate background information) of significant public announcements or media engagements.

- Report to the Department on a quarterly basis to signal any potential areas of concern via the Early Warning Report system.
- Continue to keep the Department informed when making requests to the Minister to attend HEA events. When such requests are accepted, the HEA will supply appropriate briefing and speech material to the Department within the specified timeline.
- Consult with the Department on matters relating to office accommodation including any new leases that the HEA proposes to enter into.

7. INPUTS

7.1 FINANCIAL INPUTS

The 2022 Budget Allocation for the HEA's operations as confirmed by the Department separately is €13.666m. In addition, the HEA is responsible for disbursing c. €1.8bn annually to higher education institutions. The Chief Executive of the HEA is the accountable person. The Department holds copies of the signatures of HEA staff authorised to request funding requisitions. The current list is effective from 1st July 2022. Two authorised signatures are required on all requisitions.

It is the HEA's responsibility to prepare accurate estimates of funding requirements for the HEA and for the higher education sector. The Department will consider these estimates within the context of available funding, but it may not be possible to meet the full funding requirements of the HEA or the sector in any given year. In such instances the HEA will be expected to manage within the allocated budget and prioritise its actions accordingly. Further details on the HEA's financial and funding arrangements are contained within the associated Oversight Agreement.

7.2 STAFFING RESOURCES

The whole-time-equivalent approved staff number for 2022 for the HEA is 108 posts with a further 14 posts approved for the IRC. Staffing levels are managed in line with the Delegated Sanction Agreement of December 2015 and are agreed with the Department.

The Department will endeavour to provide the appropriate and necessary resources to the HEA having regard to wider pressures of availability of funding and competing demands.

8. PERFORMANCE/SERVICE LEVELS AND TARGETS

The key performance targets agreed between the Department and the HEA, which will be used to assess the HEA's progress towards achieving its key mandate and core functions under the HEA Act 1971, are set out at **Appendix 2**. It sets out a broad list of service commitments and measures for 2022 which are aligned with the Department's Statement of Strategy 2021-2023 and the HEA's Statement of Strategy 2018-2022.

The HEA identifies eight key strategic objectives in its Strategic Plan 2018-2022 which are:

1. Institutional Governance, Leadership and Operational Excellence
2. Funding, Sustainability and Performance
3. Evidence, Policy and Strategic Planning
4. Digital Transformation
5. Quality and Academic Excellence
6. Equity of Access
7. Skills and Employability
8. HEA as an Excellent Organisation

In addition, the HEA plays an important role in student and staff engagement across the sector. Forthcoming legislation recognises and encourages this activity and will inform the next iteration of the HEA's strategic plan.

9. POTENTIAL RISK FACTORS

The HEA operates a Corporate Risk Register which, in accordance with the DPER Guidelines, is updated on an ongoing basis. The maintenance of the Register ensures that risks are identified and assessed and necessary mitigating actions are, where resources allow, put in place.

Reflecting the key priorities of the organisation, the risks outlined in the Corporate Risk Register are:

- HEIs do not administer the respective Code of Governance correctly.
- HEIs reporting inadequate.
- HEA template for [HEI] reporting is inadequate.
- Annual Statement of Governance and Internal Control returned by HEIs taken in good faith by HEA.
- Governing Body appointments do not take into account corporate governance expertise.
- HEIs audit to confirm compliance may be delayed by C&AG.
- Final audits may conflict with governance returns and issue arising might not be identified by HEA.
- HEA Board unaware of findings of poor corporate governance.
- Department unaware of findings of poor governance.
- HEIs refuse to implement good governance despite being notified to do so by HEA.
- HEA acts ultra vires to becomes an auditor of HEIs.
- HEA capacity to properly interrogate institutional returns inadequate.

10. FLEXIBILITY AND AMENDMENT OF TARGETS

Both parties recognise that in exceptional situations, it may become necessary to change, modify, add to or otherwise alter, agreed performance targets during the course of this PDA due to unforeseen circumstances.

Noting the publication of the Higher Education Authority Bill 2022, this Agreement will be reviewed by both parties upon enactment of the new HEA legislation.

Further amendments may be prompted by changes in e.g. proposed legislative amendments, Government/Ministerial priorities or policies, prevailing operating circumstances and/or broader political, economic, financial or related priorities. The impacts and effects of the Covid-19 pandemic will also be considered in this context.

Where amendments become necessary, the Department will engage in meaningful and timely consultations with the HEA. Such consultation will include consideration of any increase or reduction in effort required to achieve amended targets and any related impact on total output requirements. 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.

11. MONITORING AND REPORTING ARRANGEMENTS

In accordance with the Department's policy on the monitoring of governance arrangements in relation to the organisations within its remit, the HEA will meet with the Department regularly during the year (as set out at paragraph 1.3 above) to provide an update on developments and achievements of targets as set out in this PDA.

These meetings should complement the ongoing regular meetings and dialogue between the two organisations.

12. REVIEW PROCESS

This PDA covers the period period from the date signed hereunder until 31st December 2022. This PDA will be fully reviewed at the end of 2022.

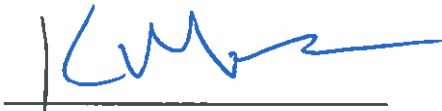
Both organisations will ensure that all relevant staff are familiar with this PDA and its implications and that all relevant dealings between the two organisations are conducted in accordance with its principles and provisions.

The performance of the HEA will be reviewed periodically on the basis of achievement of the deliverables set out in this PDA. Where the HEA becomes aware of non-compliance or potential compliance issues in respect of any obligation, this should

immediately be brought to the attention of the Department by the nominated liaison person or the CEO of the HEA.

13. AGREEMENT APPROVAL

Signed on behalf of the Department:



Keith Moynes
Assistant Secretary
Department of Further and Higher Education,
Research, Innovation and Science



Date

Signed on behalf of the HEA:



Dr Alan Wall
Chief Executive
Higher Education Authority

20/10/22

Date

KEY PROGRAMMES OF ACTIVITY

The following provides an overview of the key priority deliverables for the Department and the HEA in 2022 which were agreed on 20 October 2022.

Deliverable	Activity	Lead Body	Timeline	
HEA Capacity				
1	Assessment of the funding and resourcing requirements for the HEA/IRC including under the proposed new legislative framework	Develop Workforce Plan for 2022 and future years	HEA	Q2 2022
System Governance				
2	Strengthen institutional governance and accountability for public funding	Put 2022 Oversight Agreement in place with HEIs	HEA	Q1 2022
		Review Annual Governance Statements of HEIs	HEA	Q2 2022
		Follow up on governance issues arising at HEI & sectoral level	HEA	Ongoing
		Hold Budget & Accountability meetings with each HEI	HEA	Q2 2022
		Review annual budget and regular reporting from HEIs	HEA	Q2 2022
		Clarify role in relation to sectoral codes of governance as part of the implementation of the HEA Bill	HEA	Q2 2022
		Continue to assess and oversee investigation of Protected Disclosures to the HEA	HEA	Ongoing
		Update HEA PD Procedure with reference to amended legislation and DPER guidelines	HEA	Q1 2023
		Define and clarify roles of DFHERIS and HEA on application and oversight of public pay and pensions policy in HE having regard for legislative provisions	DFHERIS/HEA	Ongoing
		Review Framework for Departures from Remuneration Rates by the Universities. Define and clarify roles on application and oversight of the Framework having regard for legislative provisions	DFHERIS /HEA	Ongoing

System Policy and Performance				
3	Improve equality, diversity and inclusion in higher education sector	Continue to embed the Athena Swan Charter across higher education institutions	HEA	Ongoing in respect of staff diversity Athena Swan revisit in future years, consider wider IE specific context.
		Scope review on inclusion and diversity in the Irish research system to identify EDI issues that host institutions need to address	HEA (EDI unit linking with HEA)	Ongoing in respect of staff diversity
		Consider recommendations flowing from the next HEA Review of Gender Equality in HEIs	HEA/DFHERIS (EDI unit linking with HEA)	Ongoing
4	HEI Obligations under The Climate Action and Low Carbon Development (Amendment) Act 2021	Communicate requirements of Public Sector Climate Action Mandate to HEIs in conjunction with the Department	HEA	Early Q4
5	Progress implementation of national TU agenda	Facilitate high level TURN group and advancement of report recommendations	HEA	Ongoing
		Administer TUTF, NRRP and ERDF funding programmes	HEA	Ongoing
		Advance OECD review of academic contracts, career paths and organisational leadership	HEA/DFHERIS	Q3/Q4
6	Facilitate progression of relevant higher education landscape policy	Support St. Angela's incorporation through oversight of residual Landscape Funding	HEA	Q3/Q4 Capital piece, under TSSPF, to commence in Q3/Q4 Legislative interdependency
		Support other landscape reform processes as they arise	HEA	Ongoing
7	Drive system performance by implementing System Performance Framework	Agree compacts	HEA	Ongoing Q4 Legislative interdependency
		Monitor institutional performance against compacts annually and on a risk informed basis	HEA	Ongoing

		Use compact evaluations to provide feedback to HEIs and disseminate good practice	HEA	Ongoing
		Allocate performance funding on basis of evaluation of institutional strategic compacts	HEA	Q2/3
		Development of new SPF	HEA	Ongoing - Legislative interdependency
8	Borrowing Framework	DFHERIS to engage with the HEA in order to progress borrowing framework for purpose of student accommodation	HEA	Ongoing
9	Sustainable Funding Model	Plan for updating of the funding distribution model in consultation with DFHERIS to align the sustainability of allocations in conjunction with Funding the Future and OECD report on Resourcing the Sector	HEA	2022
10	Support the quality of teaching and learning through newly integrated National Forum for the Enhancement of Teaching and Learning	Agree and establish structures for shaping policy priorities for the NFETL	HEA/DFHERIS	Q1/Q2
		Implement recommendations from NFETL Next Steps	HEA	Q4
		Qualitative review of factors impacting non-progression rates in ICT programmes	HEA	2022
11	Foster a consistent standard of research student experience	Scope out work programme for ensuring such a consistent standard, underpinned by Ireland's National Framework on Doctoral Education NStEP should be referenced here including their most recent strategy	HEA, QQI. Consulting with DFHERIS (Innovation, Research & Development Policy and Innovation, Research Org Progs sections, DFHRIS)	2022
12	Support integrated tertiary and life-long learning agenda	Participate in development and implementation of FET-HE transitions proposals	HEA/DFHERIS	2022
13	Develop a digital transformation framework for higher education	Engage with Department on progressing framework	HEA	2023
14	Unified Tertiary System	Continued engagement on and progression of agreed actions acknowledging ongoing work to progress the unified system	HEA/DFHERIS	Ongoing

Capital Planning and Programmes				
15	Planning for next phase of investment in the higher education sector	Launch HESIF II and TSSPF, assess applications and recommend projects to proceed to next stage	HEA	Q2/Q3 2022
		Guide projects in TU sector, under TSSPF to completion of preliminary business case and approval in principle	HEA	Ongoing
16	Management of current and forthcoming HE capital programmes and grant schemes	Manage HE capital programme in line with agreed capital oversight agreement	HEA	Ongoing
Skills and Employability				
17	Support the development of a single unified apprenticeships system, in line with the Action Plan for Apprenticeship 2021-2025	Deliver agreed actions for 2022 as they relate to the HEA	HEA	Q4 2022
18	Support HE sector responsiveness to workforce skills needs	Lead engagement with sector with regard to creation of targeted CAO places in areas of identified skills need	HEA	Q1/Q2
		Roll out Springboard+ 2022	HEA	Ongoing
		Continue oversight of HCI Pillar 1, 2 and 3 projects	HEA	Ongoing
		Continue oversight of second level ICT and Entrepreneurship Camps		
Equality, Diversity & Inclusion within HEIs				
19	Develop plan for implementation of recommendations in the Reports on the National Surveys of Student and Staff Experiences of Sexual Violence and Harassment in Higher Education	Publish Plan	HEA	Q2 2022
		Continue to monitor implementation of the <i>Framework for Consent in HEIs</i>	HEA	Ongoing
		Annual reports from HEIs	HEA	Q3 2022
		Publication of summary of HEI reporting on consent framework implementation progress	HEA	Q4 2022
20	Gender Equality: Continue to implement recommendations of HEA Review of Gender Equality in Irish HEIs and 2018-2020 Gender Action Plan	Publication of HEI Staff Profiles by Sex and Gender	HEA	Q3-2022
		Publication of Report of 2nd National Review of Gender Equality	HEA	Q4-2022
		Continue to implement the Senior Academic Leadership Initiative	HEA	Ongoing
		Complete new 2022 review	HEA	Q4

21	Race Equality Implement recommendations in the report on Race Equality in the Higher Education Sector	Development of plan for implementation of recommendations in the report on Race Equality in the Higher Education Sector	HEA	Q3-2022
System Funding				
22	Provide analysis to DFHERIS of Recurrent funding to HEIs	Provide report to DFHERIS on 2022 estimated Recurrent Grant analysis (Core, Fees, Topslices etc)	HEA	Q1 and Q4 p.a.
		Provide report to DFHERIS on 2022 actual Recurrent Grant analysis outturn		
23	Employment Control Framework Ceiling Allocation and Monitoring	HEA to allocate annual REV ECF ceiling for HEIs and HEA to provide quarterly reports based on inputs from HEIs to DFHERIS	HEA	Annually / quarterly
24	Report on Public Sector Number Quarterly returns for both HEA/IRC and designated institution HEIs within HEA	HEA to request, receive and process ECF data on a quarterly basis from HEIs and return to DFHERIS	HEA	Per quarter for each preceding quarter (Staff data returns are mandated by the ECF. Until the ECF is revised or removed, staff data collection will continue as previously)
HEA General				
25	HEA Obligations under the Climate Action and Low Carbon Development (Amendment) Act 2021	Adopt Public Sector Climate Action Mandate	HEA	Q4 2022
26	Consideration of future funding reforms model and RFAM allocation format	Consider initiating action with a view to being further progressed in 2023	DFHERIS / HEA	Ongoing in PDA
Finance				
27	Provision of HEA annual financial statements	Provision of annual audited financial statements	HEA	Q3
28	Annual estimates submission	HEA to provide annual estimates submissions to DFHERIS	DFHERIS / HEA	Q2
National Access Plan				
29	Develop Implementation Plan in partnership with DFHERIS for the National Access Plan: Strategic Action Plan for Equity of Access, Participation and Success in Higher Education 2022 - 2026	Implementation of agreed work programme for NAP implementation Annual Access Forum Management of ERD budget to support NAP	HEA	2022 & 2023

30	Tender & Roll out of pilot on intellectual disability including appointment of intellectual disability expert in DFHERIS	Continue discussion with DFHERIS	HEA	2022 & 2023
31	Management of the Programme for Access to Higher Education (PATH) Fund Strands 1, 2, 3, 4 & 5	Management and reporting on the use of the PATH funding for all three strands. Roll out of funding to HEIs. Annual review of PATH 2 guidelines	HEA	Ongoing
		Commission PATH Impact assessment which will be carried out in 2023	HEA	Q4 2022
		Develop a new IT System for PATH to support reporting requirements – this will be incorporated into HEA IT systems developments	HEA	Q2 2023
		Participation in Access Steering Group	HEA	On-going
		Roll out of new initiatives supporting UDL - PATH 4 phase 1		Q4 2022
		Procure research to support the development of policy on supporting students with an intellectual disability in HE	DFHERIS	Q4 2022
32	Management third level access funding programmes	Management and reporting on the use of the FSD funding to include strategic initiatives Annual review of the FSD guidelines	HEA	Ongoing
		Management and reporting on the use of the SAF and COVID SAF funding. Annual review of the SAF guidelines	HEA	Ongoing
		Management and ongoing reporting on the COVID €1.9m emergency fund	HEA	2022
		Rollout of Dormant Accounts Fund to HEIs. Management and reporting to DFHERIS. Input into Dormant Accounts Annual Report. Establishment and roll-out of PATH 5 to enable continuation of good practice	HEA	2022
33	Implementation of the new National Access Plan: Strategic Action Plan for	HEIs to report to HEA on an annual basis on the implementation of National	HEA	Q4 2022

	Equity of Access, Participation and Success in Higher Education 2022 - 2026	Access Plan as part of the Strategic Dialogue process		
		NFETL to report to HEI on the implementation of the Student Success Framework	HEA	
34	To facilitate regular engagements between DFHERIS, HEA, HEIs and other partners to share information and best practice	Annual Access Forum Community of Practice Events PATH events Engagement with sector on new measures	HEA	On-going and as required
Research				
35	Support the implementation of HEA related research actions under Impact 2030	Work with DFHERIS to confirm roles and responsibilities as well as identification of resource requirements to enable deliver of Impact 2030 actions from 2023 onwards	HEA	Q4 2022
36	Establish strong governance and oversight structures to deliver the vision and ambition of <i>Impact 2030</i> the R&I Strategy	HEA to join and contribute to work of cross-Government Department and Agency R&I Strategy Implementation Forum	DFHERIS	2022
37	Deepen and widen R&I linkages across the island of Ireland	Strengthen all-island research collaborations through cooperation between SFI, HEA and the Government's Shared Island Initiative	Collaboration	ongoing
38	Participate and resource HEA's engagement with the Innovate for Ireland initiative in order to attract the best talent to Ireland	Attract the best students globally to take part in the Irish experience, learning from the best and gaining cutting-edge experience through existing programmes, and through the development of new initiatives, for instance, by way of a partnership between industry and Government	DFHERIS, with others, including HEA	2022-2023
39	Invest in research talent across the full span of a research career as a foundation for an innovative society	Through the new R&I agency, invest in talent by providing stability and consistency across funding programmes	HEA /DFHERIS	2022-2023
40	Ensure that researchers in Ireland have the right opportunities, skills and	Scope out initiatives to address career advice, opportunities and transversal	HEA with others	2022-2023

	career incentives to maximise their impact and realise their potential	skills development across HEIs and funders		
41	Ensure that researchers' assessment maximises their impact on wider objectives	Embed emerging international best practice and explore options to reflect the wider impact of their work as part of a researchers' career assessment	HEA IRDP/EU	2022-2023
		Consider the inclusion of targets in engaging the public in research as part of the research dimension of the <i>Higher Education System Performance Framework</i>	HEA	2022
42	Reinforce the research excellence and R&I impact of "established universities" in Ireland	Through the Systems Performance Framework, monitor how the "established universities" strengthen their R&I footprint and promote collaboration with the newly established TUs	HEA (contribution)	ongoing

Performance / Service Levels and Targets

	Service Commitment/Action/Output	Key Performance Deliverable	Timeline	Lead Responsibility
High Level Goal and Objective: Capital Planning and Programmes				
1	Launch HESIF II and TSSPF, assess applications and recommend projects to proceed to next stage	Applications appraised and selection completed in line with agreed assessment framework	Q2/Q3 2022	HEA – Capital
2	Guide projects in TU sector to completion of preliminary business case and approval in principle	Key TU projects advanced in line with sectoral objectives and within affordability constraints	Ongoing	HEA – Capital
3	Manage HE capital programme in line with agreed capital oversight agreement	Quarterly progress reports/Funding drawdowns in line with profile/Identification of emerging risks	Ongoing	HEA – Capital
High Level Goal and Objective: Skills and Employability				
4	Support the development of a single unified apprenticeships system, in line with the Action Plan for Apprenticeship 2021-2025	National Apprenticeship Office established and fully operational HEA deliverables under the Action Plan achieved for 2022	Q4 2022 Q4 2022	NAO HEA

High Level Goal and Objective: Equality, diversity and inclusion across Higher Education Institutes			
5	<p>Sexual Violence and Harassment in HEIs Develop implementation plan of recommendations in the Reports on the National Surveys of Student and Staff Experiences of Sexual Violence and Harassment in Higher Education</p>	<p>Publish Plan</p> <p>Continue to monitor implementation of the <i>Framework for Consent in HEIs</i></p> <ul style="list-style-type: none"> • Annual reports from HEIs • Publication of summary of HEI reporting on consent framework implementation progress 	<p>Q2 2022</p> <p>Q3 2022 Q4 2022</p> <p>HEA – Centre of Excellence for EDI HEA – Centre of Excellence for EDI</p>
6	<p>Gender Equality Continue to implement recommendations of HEA Review of Gender Equality in Irish HEIs and 2018-2020 Gender Action Plan</p>	<ul style="list-style-type: none"> • Publication of HEI Staff Profiles by Sex and Gender • Publication of Report of 2nd National Review of Gender Equality • Continue to implement the Senior Academic Leadership Initiative • Complete new 2022 review 	<p>Q3 2022 Q4 2022</p> <p>Ongoing</p> <p>Q4 2022</p> <p>HEA – Centre of Excellence for EDI</p>
7	<p>Race Equality Implement recommendations in the report on Race Equality in the Higher Education Sector</p>	<ul style="list-style-type: none"> • Development of plan for implementation of recommendations in the report on Race Equality in 	<p>Q3 2022</p> <p>HEA – Centre of Excellence for EDI</p>

		the Higher Education Sector		
High Level Goal and Objective: Research & Development				
8	Irish Research Council The IRC will deliver its programme of activities on which the Department will be consulted.	Key strategic actions addressed as set out in the 'Implementation Plan for Strategic Plan 2020-2024'	2022	IRC
9	IRC will work with Science Foundation Ireland (SFI) to increase the alignment of the activities of both organisations, consistent with their respective remits.	Consideration will be given to the timing of calls and to joint initiatives. Opportunities for increased alignment are planned to be raised at IRC and SFI Boards	2022	IRC
High Level Goal and Objective: Funding and Funding Reform				
10	Consideration of future funding reforms model and RFAM allocation format	Consider initiating action with a view to being further progressed in 2023	Q4 2022	DFHERIS/HEA
11	Ensure through funding and reporting systems all HEI institution have regard to Departmental strategies for instance including but not limited to 'The National Strategy for Higher Education to 2030', (& other DFHERIS strategies applicable to HEA) and planning and sectoral delivery opportunities such as Ireland 2040; Regional Spatial and Economic Strategies	Develop / devise a review and reporting structure on national objectives as they pertain to HE and FET	Q2-Q4	HEA
12	Develop a digital transformation framework for higher education	Engage with Department on progressing framework	Q4 2022	

13	Develop shared information service model on initially agreed parameters with DFHERIS for further implementation over years 2 and 3 of the overall oversight agreement	Agree on regularly requested datasets that could benefit from this approach. Test implementation	Q4 2022	DFHERIS
14	Facilitate high level TURN group and advancement of report recommendations	Convene periodic meetings of TURN group Agree and progress priorities for group	Ongoing Ongoing	HEA HEA/TURN
15	Secure, administer and report on TUTF, NRRP and ERDF funding programmes	TUTF- issue annual call, assess proposal, disburse funding, monitor project implementation NRRP TU Teaching & Learning Reforms project- secure funding, issue call, assess proposals for sectoral initiative, disburse funding, monitor project implementation ERDF RRDII – secure funding, issue annual call, assess proposal, disburse funding, monitor project implementation	Ongoing Ongoing Ongoing	HEA HEA HEA
16	Advance OECD review of academic contracts, career paths and organisational leadership	Support delivery of final OECD report and costing model	2022	DFHERIS/HEA
17	Support St. Angela's incorporation	Funding allocated and accounted for as appropriate	Ongoing	HEA

		Agreed transitional current funding arrangements	2022	HEA
		Review eligibility in accordance with legislation	Q4 2022	HEA
18	Support other landscape reform processes as they arise	Policy advice provided as required	As required	DFHERIS/HEA
19	Monitor institutional performance against compacts on a risk informed basis		Ongoing	HEA
20	Use compact evaluations to provide feedback to HEIs and disseminate good practice	Feedback communicated to institutions on areas for improvement	2022	HEA
		Evidence of improvement identified in subsequent compact evaluations	Ongoing	HEA
21	Allocate performance funding on basis of evaluation of institutional strategic compacts	Funding allocated	Q3 2022	HEA
22	Provide high level overview report to Department highlighting key developments or trends in the sector		Q4 2022	HEA (System Performance report)
23	Develop new Performance Framework	Publication of new Performance Framework	TBC on Bill commencement	HEA (pending legislation, with Ministerial approval)
24	Agree and establish structures for shaping policy priorities for the NFETL		Q2 2022	HEA

25	Implement recommendations from NFETL Next Steps as appropriate	Agreed structures in place for development of work programme for NFETL		
26	Qualitative review of factors impacting non-progression rates in ICT programmes	Analysis provided to DFHERIS on T&L factors impacting on non-progression	TBC	HEA
27	Agree oversight approach to embedding Student Success Framework	Student Success Framework oversight approach in place	Q4 2022	HEA
28	Implement agreed actions under National Strategy on Education for Sustainable Development	Actions agreed for inclusion in strategy on ESD	Q1/Q2 2022	HEA
		Implementation of agreed actions	To 2030	HEA
29	Participate in development and implementation of FET-HE transitions proposals	Policy proposals agreed	Q3 2022	DFHERIS/HEA/ stakeholders
30	Lead engagement with sector with regard to creation of targeted CAO places in areas of identified skills need	Agreement reached with sector on provision and funding of places in targeted skills areas	Q2 2022	HEA
		Launch of suite of Springboard+ courses	Q2 2022	HEA
31	Roll out Springboard+ 2022	High level project implementation report provided to DFHERIS	Q4 2022	HEA
32	Continue oversight of HCI Pillar 1,2, and 3 projects			

HEA Financial Accountability Framework

<p>Financial Accountability Framework</p> <p>Department of Further and Higher Education, Research, Innovation and Science and the Higher Education Authority</p> <p>Note: This framework works in conjunction with the Oversight Agreement and Performance Delivery Agreement agreed between both parties</p>	
<p>Key Accountability Objective and Responsibilities:</p>	
<p>Service Commitments:</p> <ul style="list-style-type: none"> ❖ Proper and effective use of public funding ❖ Effective control, audit and accountability measures ❖ Cost effective and efficient delivery of services 	
<p>Responsibility</p> <p>Governance Assurance and Accountability Structures</p>	<p>Commitment</p> <ul style="list-style-type: none"> • The HEA to ensure that its own governance and assurance mechanisms and structures are effective and adequate • The HEA shall require confirmation from the higher education institutions under its designation that the governance and accountability mechanisms and structures in place are effective and adequate • Governance and assurance mechanisms for the HEA to be reviewed on an ongoing basis • Governance and assurance mechanisms for HEI's under its designation to be reviewed on an ongoing basis
	<p>Key Performance Indicators</p> <ul style="list-style-type: none"> • Up to date Code of Practice assurances of compliance in place by Department for HEA • Oversight Agreements in place with each HEI • No. of issues where early warning identified • Annual Governance Statement reporting by HEIs

Responsibility	Commitment	Key Performance Indicators
Financial Control and Reporting	<ul style="list-style-type: none"> • HEA to account for funding provided to HEIs. Overview of annual budget and accountability meetings to be provided to the Department • Written financial procedures to be in place in the HEA and updated as required. HEA to have clearly defined roles and responsibilities in place with segregation of duties as appropriate for all financial transactions and reporting • Financial system must have adequate audit trail to ensure full history of each transaction can be accessed and accounted for • 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 • HEA to be in compliance with public financial procedures and with other relevant circulars • The HEA shall require assurance from the higher education institutions under its designation regarding compliance with public financial procedures and Government circulars by HEI's • HEA to be in compliance with financial requirements under the Code of Practice for the Governance of State Bodies • The HEA shall require assurance from the higher education institutions under its designation that the HEI's are in compliance with the relevant sectoral Codes of Governance 	<ul style="list-style-type: none"> • HEIs provide regular financial updates to HEA • HEA notify DFHERIS promptly of any concerns regarding the financial sustainability of HEIs • HEIs provide audited financial statements to DFHERIS within agreed timelines • Payments processed by the Department in a timely manner with appropriate information provided • HEA draft accounts submitted to DFHERIS by 31st March within timeline • Audited financial statements of HEA received and laid before Oireachtas in line with relevant timelines • Oversight Agreements with HEIs

Responsibility	Commitment	Key Performance Indicators
<p>Audit arrangements</p> <ul style="list-style-type: none"> • Audit & Risk committee in place and a properly constituted internal audit function with a formal charter as required under the Code of Practice • The HEA shall require assurance from the higher education institutions under its designation that audit committees are in place • HEA's Audit & Risk Committee should meet at least four times per year • The HEA shall require assurance from the HEIs under its designation that their Audit Committee meets four times per year • The HEA Board is responsible for the body's system of internal control and should review annually the effectiveness of same. A Report regarding same must form part of the annual accounts • Draft unaudited annual accounts to be submitted to the Department in line with agreed timeline • Annual Accounts of the HEA, signed off on by the C&AG, to be submitted to the Department within one month of the audit certificate on the accounts being issued by the C&AG 	<ul style="list-style-type: none"> • HEA Audit & Risk committee in place and meets at least 4 times per annum • HEA Internal Audit outsourced to Deloitte • Assurance provided in AGS that HEIs have A&R committees and meet at least 4 times per annum • Statement on System of Internal Control included in audited financial statements • Annual review of internal control effectiveness carried out by internal auditors 	

Responsibility	Commitment	Key Performance Indicators
Risk Management	<ul style="list-style-type: none"> As required under the Code of Practice, the HEA should have a Risk Management Policy and the Board should approve the risk management framework and monitor its effectiveness. The board should review material risk incidents and note or approve management's actions The HEA shall require assurance from the higher education institutions under its designation that each HEI has a similar arrangement in place 	<ul style="list-style-type: none"> Risk Management Policy in Place in HEA Confirmation that Risk Management Policy in place in HEIs in AGSS
Procurement	<ul style="list-style-type: none"> 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 The HEA shall require assurance from the higher education institutions under its designation that each HEI confirms compliance with public procurement policy 	<ul style="list-style-type: none"> Procurement Policy and Procurement Plan in place in HEA HEIs report details of non-compliant procurement in AGSS and in annual financial statements. Confirmation of Procurement Policies in place in HEIs in AGSS
Travel and Subsistence	<ul style="list-style-type: none"> The HEA shall adopt and comply in all respects with the circulars 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 A Travel Framework should be in place in the HEA The HEA shall require assurance from the higher education institutions under its designation that each comply with public sector guidelines on travel and subsistence 	<ul style="list-style-type: none"> Travel Framework in place in HEA Confirmation of compliance with public sector travel policy from HEIs in AGSS

Responsibility	Commitment	Key Performance Indicators
Tax	<ul style="list-style-type: none"> 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 The HEA shall require assurance from the HEIs under its designation that each HEI confirms compliance with taxation laws 	<ul style="list-style-type: none"> Confirmation of compliance with taxation laws from HEIs to HEA