

Cyngor Cyllido Addysg
Uwch Cymru
Higher Education Funding
Council for Wales

Cwrt Linden
Clos Ilex Llanisien
Caerdydd CF14 5DZ
Ffôn 029 2076 1861
Ffacs 029 2076 3163
www.hefcw.ac.uk

Linden Court
Ilex Close Llanishen
Cardiff CF14 5DZ
Tel 029 2076 1861
Fax 029 2076 3163
www.hefcw.ac.uk

hefcw

Cylchlythyr

Circular

Innovation & Engagement funding arrangements 2011/12 to 2013/14

Date: 03 March 2011
Reference: W11/10HE
To: Heads of higher education institutions in Wales
Principals of directly-funded further education colleges in
Wales and key stakeholder organisations
Response by: 29 July 2011
Contact: Name: Teresa Cooper
Telephone: 029 2068 2304
Email: teresa.cooper@hefcw.ac.uk

This circular invites HEIs to submit innovation and engagement strategies and collaborative bids for the period 2011/12 to 2013/14 and announces indicative Innovation & Engagement Fund allocations for 2011/12.

This document is available online, in large print, Braille, on CD and on audio CD and cassette. Should you or someone you know require this in an alternative format, please contact us on (029) 2068 2225 or email info@hefcw.ac.uk.

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Introduction

1. This circular:
 - (i) Announces indicative Innovation & Engagement Fund (IEF) allocations for 2011/12;
 - (ii) Requests higher education institutions (HEIs) to submit innovation and engagement (I & E) strategies for the period 2011/12 to 2013/14;
 - (iii) Invites bids for collaborative activities to be supported via the IEF between 2011/12 and 2013/14.
2. The circular is being sent to all HEIs in Wales and a wide range of other interested parties from within and without the HE sector.

Background

3. In June 2004 HEFCW established a Third Mission Fund to provide a dedicated stream of core funding in support of HE activities that “stimulate and direct the application and exploitation of knowledge to the benefit of the social, cultural and economic development of our society”. In March 2010, the Council renamed its Third Mission Fund as the Innovation & Engagement Fund, with effect from the 2010/11 academic year.
4. In March 2010 the Council also decided to postpone by one year the start of a new cycle of I & E funding and delegated authority to the Chief Executive and Chair of the Council’s Research, Innovation & Engagement Committee (RIEC) to implement a new three year cycle of I & E funding from 2011/12. This decision was taken in the context of the publication of *For our Future* and the then still ongoing development of the Economic Renewal Programme (ERP), which led to the publication of the Welsh Assembly Government’s (WAG) new economic development policy, *Economic Renewal: a new direction* in July 2010.

Consultation Process

5. HEFCW opened consultation on arrangements for a new three year cycle of I & E funding in October 2009 (**Circular W09/35HE** refers) and consultation events were held in December 2009 and October 2010. In July 2010, the sector was also consulted on proposed changes to the HE funding system in Wales (**Circular W10/27HE** refers). The consultation included a proposal to embed, from 2011/12, additional support for part-time students (commonly referred to as ‘Graham’ funding) into Widening Access and I & E strategies to increase “funding in both streams with an expectation of specific actions to address the part-time agenda within the guidance, strategies and targets for each”. The outcomes of this consultation were published in November 2010

(**Circular W10/37HE** refers). In addition, HEIs were also asked (in the context of the steps they were taking to improve employer engagement) to consider “potential regional approaches to I & E activities from 2011/12 onwards” within their regional strategies submitted to HEFCW in November 2010.

Available funding

6. On 22 February 2011, HEFCW published **Circular W11/07HE: Changes to the HE funding system in Wales**, which announced that:
 - (i) “‘Graham’ funding to support part-time provision has been embedded in the budget lines supporting Widening Access and Innovation and Engagement Strategies”; and
 - a. “the budget for I&E strategies has been increased by 10% on the final 2010/11 funding allocation”.
7. This means that the total volume of I & E funding for 2011/12 is £8.2 million.

I & E Funding Allocations 2011/12 to 2013/14

8. Funding allocations from 2011/12 to 2013/14 will be allocated on the following basis:
 - (i) The practice of paying a common level of foundation funding to all HEIs will cease.
 - (ii) £6m of the available funding will be allocated by formula and £2.2m via a competitive bidding process.
 - (iii) 42% of formula monies will be allocated to I & E potential and capacity pro rata to FTE of relevant staff as reported to HESA.
 - (iv) Given the decision to embed additional support for part-time students into the I & E Fund, 8% of formula monies will be allocated to reflect the size of each institution’s part-time student cohort (see paragraphs 5 and 6 above);
 - (v) 20% of formula monies will reward income related I & E performance and 30% will reward non-income related performance, all using data returned to either HESA, HEBCIS, GO Wales or WAG.
 - (vi) Throughout the three year cycle, formula allocations will be recalculated annually to incentivise and reward performance.

9. **Annex A** presents indicative I & E Fund formula allocations for 2011/12 and a more detailed description of the formula funding methodology used.

Innovation & Engagement Strategies

10. I & E allocations will only be released on submission of a satisfactory three year I & E strategy for the period 2011/12 to 2013/14.
11. Institutions may submit either individual or collaborative I & E strategies, which, where appropriate, should be consistent with proposals for joint working/operation already agreed and funded under other Council initiatives. Institutions that submitted collaborative strategies in the previous funding cycle will be expected to do so again unless sound operational reasons for not doing so can be evidenced.
12. I & E strategies should be consistent with institutions' overarching strategic plans and where appropriate, cross-reference and demonstrate strategic alignment with other institutional plans in such policy areas as:
- Learning and Teaching and approaches to skills and employability;
 - Regional planning (particularly regarding joint work with employers) ;
 - Widening Access;
 - Research and the commercialisation of research outputs;
 - Internationalisation;
 - Promotion of STEM
13. As additional support for the promotion of part-time employer engagement activity (Graham Funding) is now embedded in the I & E Fund (**paragraph 6 refers**) HEIs must include a discrete section on how they will continue to develop part-time employer engagement activity and detail money allocated for this purpose. In this context, where appropriate, cross-reference should also be made to your regional strategies.
14. As well as a device for the delivery of funding, I & E strategies also:
- Provide accountability for the use of public money through the setting and reporting of target delivery. Funding may be withheld or withdrawn in the event of unsatisfactory performance;
 - Provide a basis for strategic dialogue between HEFCW and the HE sector by setting out institutions' key priorities and their contribution to Welsh Assembly and UK Government priorities;
 - Enable HEIs to demonstrate how they are using HEFCW's I & E funding strategically alongside available WAG funding (particularly from the Academic Expertise for Business (A4B) Programme) to deliver their overall I & E aims and objectives, including leveraging other sources of

funding (eg from EU structural funds) to support delivery of their I & E strategies;

- Help HEFCW to provide informed responses to the WAG and other key stakeholders on the sector's contribution to both social and economic well-being.
15. For all of the above reasons it is imperative that institutions include within their I & E strategy a critical evaluation of the extent to which aims and objectives set for the previous funding cycle were or were not met. Likewise, we anticipate that all strategies will also be cast in the context of HEFCW's Corporate Strategy and WAG priorities for HE as set out in *For our Future* and *Economic Renewal: a new direction*.
 16. **Annex B** offers further guidance on the content and style of I & E strategies. However, strategies should primarily be an effective tool for institutions' own use. Institutions need to develop, individually or collaboratively, an I & E strategy that best fits with their overall mission, aims and objectives and other institutional priorities, while also satisfying HEFCW's requirements for funding.

Competitive I & E Funding for collaborative activity

17. Bids for I & E Fund collaborative funding will need to derive from the I & E strategies of participating HEIs. Like I & E strategies, bids will need to be cast in the context of HEFCW's Corporate Strategy and WAG priorities for HE. Areas for collaboration that we might expect to see covered in bids include activities to enhance the commercialisation of research outputs from Welsh HEIs; raising the international profile of Wales and Welsh HE; promoting entrepreneurship; and increasing levels of HE-business interactions (including in the context of employer engagement and part-time students). This list, however, should not be regarded as prescriptive or exhaustive.
18. All bids must be led by a nominated HEI, but partners in bids are not restricted to the HE sector. Whilst regional bids would be welcomed, bids are not restricted to existing partnerships. HEIs may participate in more than one collaborative bid, but we would normally expect them to lead on only one bid.

Assessment process

19. All strategies and competitive bids will be analysed by HEFCW officers using the assessment criteria presented at **Annex C**. An independent assessment panel, chaired by Professor Robin Williams, Chair of HEFCW's RIEC, will then review this analysis to assist HEFCW staff in the formulation of funding

decisions. We expect to pay 2011/12 I & E Fund allocations in three tranches in October/November 2011, January 2012 and March 2012.

Performance Monitoring

20. Aims and objectives for the period 2010/11-2013/14 will be confirmed with all HEIs. As in previous cycles, you will be asked to provide annual milestones or performance indicators to indicate progress towards your overall aims and objectives. Performance against agreed performance indicators will be reported via annual monitoring statements (AMS) as part of our strategic planning interactions with the sector.
21. Institutions are also asked to demonstrate within their strategy that effective internal systems and procedures are in place for the ongoing monitoring and evaluation of I & E performance. If operational experience indicates a need to recast any overall aim or associated performance indicator, institutions will be able to discuss this with HEFCW officers prior to submission of their AMS. If any such case reveals that capacity to deliver the overall I & E strategy has been seriously undermined, then funding may need to be withheld.
22. In line with our commitment to minimising the sector's reporting burden, no separate data request is being made in conjunction with this request for I & E strategies. However, institutions are reminded that, since 2005, returns to the annual UK-wide HE-Business & Community Interaction Survey (HEBCIS) are a condition of grant.

Equality and diversity

23. We invite your views on the equality and diversity implications of this guidance to help us ensure that there is no negative impact on, nor unintended consequences to, individuals with protected characteristics or groups under-represented in HE arising from this guidance. Please notify us by 1 April 2011 of any issues of concern. We will be subjecting this guidance to an internal HEFCW equality impact assessment process and if, as a result of this and/or any issues raised by the sector, we need to revise anything in this circular, supplementary guidance will be issued later in April 2011.

Responses

24. Strategies should be submitted no later than **29 July 2011** to the Research, Business and Communities Team Administrator at HEFCW, Linden Court, Ilex Close, Llanishen, Cardiff, CF14 5DZ. Please provide one bound and one loose-leaf copy and **ensure that all pages are numbered**. One electronic copy is also requested.

Further information

25. For further information, contact Teresa Cooper (tel 029 2068 2304; email teresa.cooper@hefcw.ac.uk). For enquiries specific to the proposed funding formula allocations please contact hannah.falvey@hefcw.ac.uk.
26. As in previous cycles, HEFCW staff will be happy to meet with institutions before the submission of final strategies and bids.

ANNEX A

Innovation and Engagement funding methodology 2011/12 to 2013/14 and indicative allocations for 2011/12

The allocations for HEIs comprise formula funding plus funding on the basis of competitive bids. The total funding available for these two elements is broken down as follows:

To be allocated by formula	£6,000,000
To be allocated on basis of competitive bids	£2,200,000
Total	£8,200,000

The allocations in the table below represent the formula funding. This is broken down into funding allocated in relation to:

Potential and Capacity Building	£3,000,000
Rewarding Performance (income related)	£1,200,000
Rewarding Performance (non-income related)	£1,800,000
Total formula funding	£6,000,000

I & E formula funding for 2011/12

Institution	2011/12 allocation (£)
University of Glamorgan	737,496
Aberystwyth University	567,763
Bangor University	501,254
Cardiff University	1,732,193
University of Wales Trinity Saint David	152,705
Swansea University	907,489
University of Wales Institute, Cardiff	410,814
University of Wales, Newport	267,345
Glyndŵr University	205,576
Swansea Metropolitan University	255,260
The Open University in Wales	262,105
Total	6,000,000

Innovation and Engagement Funding Methodology 2011/12 to 2013/14

Details of the how the allocations are calculated within each of the three elements are below.

Potential and Capacity Building

Individual institutional allocations are calculated by allocating five sixths pro rata to the FTE of professional and academic staff and one sixth pro rata to part-time credits as described below:

Measure	Description	Source
Staff FTE	FTE of managerial, academic, professional, technical and administrative staff with an active contract in the academic year (includes HESA activity codes 1 to 4A). Atypical staff are excluded.	HESA staff record 2009/10
Part-time student volume	Total value of part-time undergraduate student credits (where student is studying ≥ 10 credits)	HESA student record 2009/10

Rewarding Performance - Income Related

Individual institutional allocations are calculated pro rata to the sum of four income related measures described below which are taken from the 2009/10 HEBCIS survey:

Measure	Description	Table reference and item number
Contract research income	Total value of contracts	Table 1, item 2h
Income from intellectual property rights	Total revenues (including sale of shares in spin-offs)	Table 4, item 3f
Income for regeneration	Total income for regeneration	Table 3, item 1g
Income from collaborative research activity	Total income from collaborative research activity	Table 1, item 1e

Rewarding Performance - Non-income Related

The allocation available for this element of the formula funding is split equally between 12 measures giving a total of £150,000 allocated for each measure.

Within each measure, individual institutional allocations are calculated pro rata to the total of the measure. Allocations for each measure are then summed for each institution to get individual institutional allocations. The 12 measures are described below:

Measure	Description	Source
Number of graduate start-ups	Total number of active firms	HEBCIS survey 2009/10, Table 4, item 4biv
Number of A4B engagements	Total number of Academic Expertise for Business (A4B) engagements at 31 st Jan 2011 as a lead or partner in CIRPS, KTPs, KEPS and LADPS	Welsh Assembly Government
Number of licences	Total number of non-software plus software licences	HEBCIS survey 2009/10, Table 4, items 2aiv and 2biv
Number of active spinouts (excluding graduate start-ups)	Total number of active firms including spinouts with some HEI ownership, formal spinouts not HEI owned & staff start-ups (excludes graduate start-ups)	HEBCIS survey 2009/10, Table 4, items 4bi, 4bii and 4biii
Student entrepreneurship engagement	Weighting based on percentage of students with student entrepreneurship engagement activity in curriculum (Weight: 5 – 20+%, 4 - 15+%, 3 – 10+%, 2 – 5+%, 1 - 1%+ and 0 for less than 1%)	NCGE Survey 2009/10 (Via WAG)
GO Wales target	Weighting based on percentage of target of SMEs engaged in GO Wales 5 achieved in 2009/10 (Weight: 4 – 120+%, 3 – 100+%, 2 – 75+% and 1 for less than 75%)	GO Wales 5
Number of contracts – consultancy	Total number of consultancy contracts	HEBCIS survey 2009/10, Table 2, item 1g
Number of facilities and equipment related services	Total number of facilities and equipment related services	HEBCIS survey 2009/10, Table 2, item 2g
Number of ERASMUS students	Total number of outgoing exchange ERASMUS students	HESA student record 2009/10
Number of industrial placements	Total number of industrial placements	HESA student record 2009/10
Courses for business and the community	Total learner days of CPD/CE courses delivered	HEBCIS survey 2009/10, Table 2, item 3f
Academic staff time expended on public engagement activity	Total academic staff time in days for free and chargeable events	HEBCIS survey 2009/10, Table 5, item 2

Content and format of strategies

- 1 HEIs' I & E activities contribute to economic and social well-being in many ways and at the same time contribute to the achievement of Assembly and UK Government agendas. Good progress has been made in recent years and examples of key policy areas in which the sector is helping to make a difference are listed below. This list is purely indicative and is not intended to direct future activity. HEIs should continue to mould their strategies around their own particular areas of strength and expertise and to focus their aims and objectives accordingly.

Key policy areas on which HEIs impact

- Approaches to skills and employability (including via regional partnership plans and SSC engagement)
 - Enterprise and entrepreneurship (specifically in context of YES)
 - Services to business & other employer engagement activities
 - STEM agenda promotion
 - Research and the commercialisation of research outputs
 - Inward investment and regional economic development more generally
 - Health & community (also covers civic role of HEIs)
 - Culture (including Welsh language issues)
 - European & wider international activity
 - Education for sustainable development & global citizenship
- 2 As in previous cycles, you are asked to pay particular attention to the intended impacts of your I & E strategy on both economic and social well-being. In doing so, you are specifically asked to demonstrate how lessons learnt from the previous cycle are shaping and influencing the ongoing development of your I & E activities. This is why you are being asked to include a critical evaluation of your success in achieving the impacts on society and economy that were identified as aims in your previous strategy.
 - 3 You are also asked to demonstrate the way in which planned activities will contribute to key Assembly Government and (where appropriate) UK Government and wider, European and international economic and social policy imperatives.
 - 4 Further to the decision to embed additional support for part-time students into the I & E Fund (see paragraph 13 of circular) you need to ensure that funding continues to be made available for employer engagement in the context of part-time study. Although previously the subject of ring-fenced funding, such activities will have been developed in the context of existing I & E strategies and must continue to be taken forward in the same way.

Examples of employer engagement in the context of part-time provision include:

- increasing work-based learning opportunities and more flexible delivery, including e-learning
- engaging employers in vocational skills provision
- working with employers to identify their needs, and then to design and improve delivery
- developing innovative ways of responding to employers' skills needs

5 We suggest that the following areas need to be addressed within your strategy, but feel free to adapt formats to align with other internal strategies and documentation. As stated in the circular, officers will be happy to meet with you before submission of a finalised strategy with a view to minimising subsequent queries and delays in the release of funding.

- Mission statement
- Context – including a critical evaluation of success or otherwise in delivering aims set out in your previous strategy; internal and external drivers; any underpinning market research/needs analysis
- Overall I & E aims – clearly identifying how their achievement will impact on both social and economic well-being
- Operational Plan – focusing on the activities that will ensure delivery of your overall aims and how these activities will be funded and their implementation monitored and reported (a suggested format is attached)
- Management and control of I & E activity at both operational and institution-wide (and cross-institution in the case of collaborative strategies) levels; include a detailed break-down of how HEFCW's I & E formula allocation will be used
- Performance monitoring and evaluation arrangements – at both operational and institution and cross-institution wide (where appropriate) and including annual performance indicators that you propose to include in Annual Monitoring Statements to HEFCW
- Compliance – addressing the needs of potentially disadvantaged groups or groups under-represented in HE; the needs of Welsh speakers, learners and communities, taking account of your engagement with the new Coleg Cymraeg Cenedlaethol; and demonstrating how your I&E strategy underpins your institution's approach to Education for Sustainable Development and Global Citizenship (ESDGC).

Collaborative bids for competitive funding

6 Where institutions and other partners come together to bid for a share of the £2.2m pa collaborative I & E fund monies, applications will need to:

- Clearly derive from the I & E strategies of all partner HEIs.

- Explain how and why the partnership has developed and the benefits and impacts that will accrue from the collaboration.
- Clearly identify for what purposes the additional monies are being sought and how their implementation will contribute to the delivery of *For our Future*, HEFCW's Corporate Strategy for 2010-11 to 2012-13 and *Economic renewal: a new direction*.
- Break-down the proposed expenditure of the funds sought.
- Provide an operational plan and associated SMART targets that will enable both the partners and HEFCW to monitor implementation.
- Identify a lead HEI via which all funding allocations will be made.

Assessment Criteria

I & E STRATEGIES 2011/12 to 2013/14 (Analysis Template)

Institution(s):

Part 1: Information provided

Does the strategy include:	Y	N	P	Page Nos.	Comments/Analysis
A statement of I & E & objectives and how these relate to the overall mission & vision of the HEI/HEIs concerned.					
A vision of where the strategy will take the HEI(s) over the next 3 years and beyond and how this aligns with other relevant strategies, eg Learning & Teaching, Research, Widening Access, and overall strategic plan.					
The projected impacts and outcomes that will accrue from successful implementation of this strategy.					
A context section that aligns the strategy with FoF, HEFCW's Corporate Strategy, <i>Economic Renewal: a new direction</i> and other relevant policy imperatives locally, nationally and internationally					
A critical evaluation of success in achieving the aims and objectives set out in the previous strategy/strategies for the period 2007/08-2009/10.					
NB If the strategy is collaborative or includes a collaborative element with one or more partners, the development of this collaboration should be explained within the context section.					

Does the strategy include:	Y	N	P	Page Nos.	Comments/Analysis
Aims and objectives for the period 2011/12 to 2013/14, which clearly identify the impacts that will accrue on society and economy from their implementation.					
An operational plan that provides the kind of information detailed in the suggested format.					
A detailed break-down of how I & E allocations will be utilised alongside other sources of funding to deliver this strategy, including clear provision to continue development of employer engagement in the context of part-time provision.					
A summary of the way in which I & E activities are planned, managed and controlled – including systems and procedures in place to enable both top-down strategic guidance from governors and senior managers, and bottom-up contributions from staff, and any arrangements for stakeholder engagement in the planning process.					
An account of the systems and procedures in place to monitor and evaluate performance at both an operational and institution-wide level and to ensure that the outcomes inform ongoing policy and strategy of the HEI/HEIs concerned (and other partners where appropriate).					
SMART targets including annual milestones/performance indicators to include in Annual Monitoring Statements to keep HEFCW informed of progress in implementing this strategy (<i>NB HEIs will have an opportunity to review these over the 3 years of the cycle</i>).					

Part 2: Evaluation of information provided

Have institutions ? -	Comments (include strengths and weaknesses)
Clearly articulated their existing and planned future contribution to the HE sector's I & E agenda and their impacts on society and economy.	
Recognised how their I & E strategy interacts with and impacts on other plans and strategies and how it contributes to the achievement of overall institutional aims and objectives	
Ensured that the present strategy is informed by experiences in achieving the goals set out in previous I & E strategies and (in relation to support for employer engagement in the context of PT provision) as set out in previous <i>Graham Plans</i> . (This should include an evaluation of success in meeting AMS targets for 2007/08-2009/10).	
Demonstrated that the strategy is also underpinned by appropriate contextual research and analysis activity that takes account of factors both internal and external to the organisation.	
Ensured that all long term aims and objectives are consistent with the I & E strategy and overall institutional plan(s), and will impact on both social and economic well-being in Wales.	
Demonstrated the existence of integrated management and planning processes to facilitate the above strategic interactions (especially in relation to collaborative strategies).	

Have institutions ? -	Comments (include strengths and weaknesses)
<p>Provided an overview of how planned activities will be funded over the life of the strategy and demonstrated a strategic approach to the use of Council and non-Council funding (especially A4B) to finance I & E activities.</p>	
<p>Provided a more detailed breakdown of how the Council's I & E allocations will be used over the 3 year period, which is sufficient to satisfy the Council's duties in respect of ensuring the proper use of public monies.</p>	
<p>Bid for a share of the £2.2m pa reserved for the promotion of collaborative I & E activities.</p>	<p>If yes – also complete additional sheet attached</p>
<p>Presented an operational plan that provides the Council with confidence in the institution's/institutions' ability to deliver targeted outcomes.</p>	
<p>Developed or are developing a policy for promoting their contribution to the I & E agenda in such areas as:</p> <ul style="list-style-type: none"> • Approaches to skills & employability (including via regional partnerships and plans and SSC links • Enterprise and entrepreneurship (specifically in context of YES) • Services to business & other employer engagement activity • Research & the commercialisation of research outputs • STEM agenda promotion • Inward investment & regional economic development more generally • Health & Community (also covers civic role of HEIs) • Culture (including Welsh language issues) • European & International activity 	

Have institutions ? -	Comments (include strengths and weaknesses)
Adequately provided for the continued development of employer engagement in the context of part-time provision, which has hitherto been supported by separate, additional support for part-time students (Graham funding).	
Paid due regard to all relevant legislation and associated agendas in the preparation of this strategy, eg that pertaining to equality of opportunity, race, age, disability & gender and the Welsh language.	
Demonstrated how the strategy underpins the institution's approach to Education for Sustainable Development & Global Citizenship.	
Demonstrated that they have systems and processes in place to monitor & evaluate performance at both the operational and cross-institution level and how this information will be used to inform future strategy development across the organisation(s) concerned.	
Formulated verifiable (SMART) indicators of performance to monitor and evaluate success or otherwise in achieving the projected impacts and outcomes of this strategy.	
Put forward an adequate set of milestones/performance indicators for inclusion in the Annual Monitoring statements to be submitted to Council from 2011/12 onwards. (In the case of collaborative strategies HEIs may put forward common PIs).	

BIDS FOR ADDITIONAL MONEY TO SUPPORT COLLABORATIVE ACTIVITY

Project Title.....

1	Partners involved	HEIs: Non-HEI Partners: Lead HEI:
2	Amount requested & any other contributions (actual or targeted)	£
3	Reason (s) additional monies are being requested	
4	Proposed expenditure break-down of amount requested	
5	Are proposed activities consistent with and/or do they add value to overall I & E strategy/strategies of participating HEIs	
6	Assessment of proposed targeted outcomes(eg in context of <i>FoF</i> and/or <i>ERP</i> delivery) and extent to which appropriate SMART targets have been provided	
7	Satisfied all compliance requirements	
8	Overall assessment and recommendation (all reasons to be detailed)	