

Cylchlythyr | Circular

Strategic Engagement – Consultation on proposals for changes

Date: 6 May 2014
Reference: W14/16HE
To: Heads of higher education institutions in Wales
Principals of directly-funded further education colleges in
Wales
Response by: 13 June 2014
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This circular is a consultation on detailed proposals for changes to HEFCW's process for engagement with institutions on strategic planning.

If you require this document in an alternative accessible format, please telephone us on (029) 2068 2225 or email info@hefcw.ac.uk.



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Introduction

1. This circular is a consultation on proposals for changes to the process by which HEFCW engages with institutions on their strategic planning. The circular invites views from higher education institutions on the proposed changes. It is intended that changes to the process will be implemented from 2014/15.

Background

2. We currently engage with institutions on their strategic planning through the receipt of full Strategic Plans on a three year cycle, with reports to Governing Bodies on progress against these Strategic Plans sought annually (see circular W09/20HE). In addition, we seek Sub-Strategies to cover areas where strategy funding has been provided, with Annual Monitoring Statements (AMS) submitted on progress against these Sub-Strategies. The current Sub-Strategies run until the end of 2013/14.
3. Proposals are outlined in this circular for a more streamlined Strategic Engagement process, involving the submission of a single institutional Strategic Planning and Engagement Document on a three-yearly cycle to start with effect from 2014/15. This three-yearly Strategic Planning and Engagement Document would replace the requirement to submit separate Strategic Plans and Sub-Strategies wherever possible¹. The draft proposals were discussed with HEI Planning Directors in December 2013 with the proposals outlined here reflecting the outcome of those discussions wherever possible.

Purpose

4. We engage with institutions on strategic planning in order to provide us with the information needed to understand their overall strategic vision and how they intend to achieve their strategic aims. It should be noted that whilst this engagement on strategy does not, in itself, have a regulatory function, it is essential to enable us to understand institutions and the contribution they make to Wales. Information gathered through this engagement also informs the HEFCW's Institutional Risk Review process. Specifically, we engage strategically with institutions in order to:
 - understand their strategic direction;
 - understand how their strategic priorities are to be delivered;
 - assure ourselves that the HEI is sustainable;
 - contribute to our understanding of the overall sustainability of higher education provision in Wales;

¹ Separate Estates Strategies will still need to be sought due to the periods covered by these strategies. Regionally based strategies (Regional Planning and Reaching Wider) will also need to be sought separately.

- enhance each institution's understanding of Welsh Government and HEFCW priorities; and
 - allow us to meet our responsibilities in advising the Welsh Government on matters relating to the development of higher education in Wales.
5. In all of these, we seek to assure ourselves that institutions are making proper use of public funds, are meeting their statutory obligations and are having due regard for Welsh Government priorities. Our engagement with institutions has to be effective in terms of our responsibilities both for the funding we provide to individual institutions and for the future of the sector as a whole. Circular W09/20HE outlined the principles by which we engage with institutions.

Current arrangements

6. Our current Strategic Engagement process is largely based on the submission and analysis of institutional Strategic Plans, and subsequent engagement with institutions in relation to these plans and their implementation. We currently request Strategic Plans every three years, on a cycle agreed with each institution to inform its planning process, with updates also provided as necessary. The detailed analysis and triennial feedback in relation to these Strategic Plans includes dialogue with the head of institution (preceded by a letter giving initial feedback), the Chair of the governing body and others. This complements the existing range of meetings with the sector, including the formal institutional visits by HEFCW's Council and institutional assurance review visits by officers. We currently seek a copy of the annual report to the Governing Body on progress against the Strategic Plan from each institution, with this used to understand the delivery of institutional strategy.
7. We also currently request and review Sub-Strategies, covering areas such as Innovation and Engagement, Learning and Teaching and Widening Access, on a three-year cycle; and those in relation to Estates on a periodic basis. Reporting of progress against Sub-Strategies takes place through the submission of Annual Monitoring Statements (AMS), with the exception of Estates strategies for which detailed information on estates condition, space utilisation etc. is submitted via separate arrangements.
8. Discussions with the sector have suggested that an aspect of the current process that is not ideal is the submission of separate Strategic Plans and Sub-Strategies, and the separate reporting arrangements in respect of these in the form of progress reports and AMS. The current process provides some potential for duplication of effort, confusion and inconsistency. The production and analysis of these separate documents also represents a significant burden on institutions and HEFCW respectively. As the funding linked to Sub-Strategies (Innovation and Engagement Fund, Learning and Teaching Fund etc.) will cease at the end

of 2013/14 our information expectations in these areas must also be balanced against resource implications.

Proposed arrangements for consultation

Strategic Planning and Engagement Document

9. It is proposed that a single Strategic Planning and Engagement Document be submitted by each institution to cover a three-year period to start from 2014/15. The document would replace the submission of separate Strategic Plans and Sub-Strategies for HEFCW purposes (with the exception of Estates Sub-Strategies² and regionally based strategies³). Institutions may wish to continue to publish separate 'Strategic Plans' that meet their own specific requirements or timescales. However, where institutions decide to produce such separate documents, there should be no dissonance between these and the Strategic Planning and Engagement Documents that are submitted to HEFCW.
10. Whilst it is proposed that it will be an expectation that all institutions submit a Strategic Planning and Engagement Document, HEFCW will not have a role in their approval, with the documents being provided for information rather than regulatory purposes. A separate consultation was issued on 14 January 2014 (circular W14/02HE) in respect of the future structure of Fee Plans, the key regulatory documents submitted by institutions.

Document format and content

11. It is proposed that a standard template is used for Strategic Planning and Engagement Documents to ensure consistency and enable ease of analysis by HEFCW, with the proposed template format provided at **Annex 1**. This template is based on a proposal arising from discussions with the Planning Directors of Welsh institutions. The template includes an Overarching Strategy Section and sections covering Strategic and Enabling Themes which map to themes in HEFCW's Corporate Strategy: Widening Access; Student Experience; Skills, Employability and Enterprise; Innovation and Engagement; Research; Reconfiguration and Collaboration; and Governance.
12. It is proposed that the Overarching Strategy section provide the following brief information:
 - A statement of the institution's vision.
 - High-level narrative, outlining the key themes across the full breath of the institution's strategy.

² Estates Sub-Strategies run over a longer time scale rendering it impractical to integrate these within the proposed process

³ Regional Strategies and Reaching Wider Strategies

- Brief narrative on the governance mechanisms by which progress, outcomes and success against all aspects of the institution's strategy will be monitored; reviewed; and measured.
 - Brief narrative on how the institution's strategic approach and its impact will be evaluated on an on-going basis.
 - Confirmation that the institution possesses a risk register, which includes adequate and effective controls over key risks in all areas.
 - Specific information on the institution's approach to internationalisation, in the context of the Welsh Government's interest in enhancing the sector's international reputation
13. It is proposed that the Strategic and Enabling Theme sections provide the institutional targets in relation to the HEFCW Corporate Strategy priorities. The sections should also include institutional aims under each theme together with brief narrative text to provide a concise sense of how these aims are to be achieved. This narrative will be essential to enable us to understand the approaches taken to achieve the various aims and inform more detailed face-to-face dialogue with institutions. The sections should also include SMART targets against which delivery of the aims is to be monitored and reported. Some example text has been included in the template at Annex 1 to illustrate the level of detail that is sought. Whilst in most instances it will be for institutions to determine the range of aims, narrative and targets included, there are some areas in which specific information requirements are proposed, in order to ensure that essential information is provided. These are outlined below:
- a) A specific requirement is proposed in respect of the content of the Innovation and Engagement Strategic Theme section. In line with the Welsh Government's innovation strategy *Innovation Wales*, and as a condition of future Welsh Government support, the institutional aims, accompanying narrative and targets should confirm an institution's long-term commitment to knowledge exchange and commercialisation activity, to the benefit of the social, cultural and economic development of society.
 - b) Where research is central to institutional mission, we are asking institutions to include coverage of a number of specific topics under the Research Strategic Theme, as indicated in the template.
 - c) Specific requirements are proposed in respect of the content of the Student Experience Strategic Theme section. We are asking institutions to include coverage of student experience; quality assurance and enhancement; and enhancing learning and teaching through technology. In the case of ITT providers, this information should also cover ITT.
14. Where institutions have previously submitted joint Sub-Strategies in specific areas (e.g. Learning and Teaching, Innovation and Engagement etc.) it is proposed that they prepare the relevant sections of the Strategic Planning and Engagement Document on a joint basis.

15. Each institution's Strategic Planning and Engagement Document will need to be aligned with its Fee Plan. This might mean that those elements of the Strategic Planning and Engagement Document which are covered by the Fee Plan (e.g. Widening Access) include only strategic information additional to that contained within the Fee Plan, so as to avoid duplication. In addition, the Strategic Planning targets in individual areas (e.g. Widening Access, Learning and Teaching etc.) will need to be fully aligned with those included with the Fee Plans, albeit recognising the differing time-frames covered by the Strategic Planning and Fee Plan documents and that the targets might need to be reviewed as Fee Plans change.

Reporting

16. It is proposed that reports on progress against all areas of the Strategic Planning and Engagement Document will be submitted at the end of each year of the three-year planning cycle. The proposed format of the Strategic Planning and Engagement Document includes space to provide these annual reports (see Annex 1). This would negate the requirement for separate reporting documents and would replace the submission of Strategic Plan Progress Reports and AMS for HEFCW purposes.
17. The proposed format would enable the Strategic Planning and Engagement Document 'aims and measures' to be updated annually as necessary.

Timing

18. It is proposed that Strategic Planning and Engagement Documents will be submitted by all institutions by 31 October 2014. It will be an expectation that each institution's Governing Body reviews and approves the Strategic Planning and Engagement Document prior to submission.
19. It is proposed that updated Strategic Planning and Engagement Documents including annual reports on progress will be submitted by 31 October in 2015, 2016 and 2017.

HEFCW analysis and feedback

20. It is proposed that HEFCW analysis of the first tranche of Strategic Planning and Engagement Documents take place in November-December 2014, with this analysis to be used to initiate a dialogue with institutions prior to drafting a single feedback letter for each institution covering all aspects of strategic planning. It would be the intention that these letters would be issued in early 2015. In subsequent years, a similar process would be adopted for the updated Strategic Planning and Engagement documents containing annual progress reports. It would be the intention that a single letter for each institution would be issued early in each year to provide analysis and feedback on the reported progress.

21. In addition to written feedback, it is proposed that there should be an expectation that meetings are held periodically between HEFCW staff and relevant institution staff to discuss the various Strategic and Enabling Theme areas (e.g. research, learning and teaching etc.). This dialogue will enable us to gain a much more detailed understanding of how institutions are intending to deliver against their various strategic aims. This will be essential if HEFCW is to be able to liaise effectively with the Welsh Government and other stakeholders on higher education matters.

Confidentiality

22. It is proposed that the Strategic Planning and Engagement Documents and subsequent annual updates/reports would be treated as confidential by HEFCW, although information derived from these documents would be used to inform other HEFCW processes, such as the Institutional Risk Review process, and also to fulfil Welsh Government information requirements.

Comment is invited on the above proposals and suggested Strategic Planning and Engagement Document format at Annex 1.

Timetable

23. Institutions wishing to respond to the above proposals and the suggested specification shown at Annex 1 should respond by 13 June 2014.

Further information / responses to

24. For further information, contact Ewen Brierley (tel 029 2068 2291; email ewen.brierley@hefcw.ac.uk). Responses should be forwarded to Clare Thomas by 13 June 2014 (tel 029 2068 2237; email clare.thomas@hefcw.ac.uk).

Assessing the impact of our policies

25. We will be carrying out an equality impact assessment to help safeguard against discrimination and promote equality. We will also consider the impact of policies on the Welsh language, and Welsh language provision within the HE sector in Wales. Contact equality@hefcw.ac.uk for more information about EIAs.

STRATEGIC PLANNING & ENGAGEMENT DOCUMENT

OVERARCHING STRATEGY

VISION

A brief statement of institutional vision, for example:

'A world-class research university in the top 20 in the UK that provides an excellent student experience and equality of opportunity'

KEY THEMES

A high level narrative, outlining the key themes across the full breath of the institution's strategy, for example:

- **Creating opportunities:** breaking down barriers to access, supporting students and staff to succeed and grow, embedding employability across our curriculum and promoting experiences that allow our students to test and develop their skills, valuing people and maximising their potential.
- **Research excellence:** building on our research successes to address global challenges.
- **Teaching that inspires:** enhancing our recognised world class student experience through investment in infrastructure and an excellent portfolio which emphasises employability and lifelong skills, equipping our students for future success.
- **Etc.**

MANAGING DELIVERY

Brief narrative text on:

- *The governance mechanisms (including students) by which progress, outcomes and success against all aspects of the institution's strategy will be monitored; reviewed; and measured.*
- *How the institution's strategic approach and its impact will be evaluated on an on-going basis.*
- *Confirmation that the institution possesses a risk register, which includes adequate and effective controls over key risks in all areas.*

For example:

Implementation of the strategic plan and its related business processes are led and managed by a Senior Management Team comprising the Vice-Chancellor, Registrar, Director of Finance and Pro-Vice-Chancellors. In order to enable the effective monitoring and evaluation of progress against the University's vision of being in the top 20 in the UK, a range of KPIs have been established at institution and department level which are benchmarked against leading institutions. Identified actions at both institution and department level will be undertaken in consultation with student representatives, wherever appropriate. The delivery of the strategic plan will be overseen by the Council's Strategy and Resources Committee, with progress against the KPIs to be a standing item at all Committee meetings.

Etc.

STRATEGIC THEME – WIDENING ACCESS					
<i>Objective: secure inclusion, progression and success in higher education</i>					
Welsh Government expectations:					
<ul style="list-style-type: none"> • Participation is maximised through different and more flexible ways to experience higher education, including through part time study • Improved part-time learning opportunities are offered • Inconsistencies in access and opportunity are addressed 					
INSTITUTION CONTRIBUTION TO NATIONAL TARGETS	2011/12 BASELINE	2012/13	2013/14	2014/15	2015/16 TARGET
<u>HEFCW Corporate Strategy Target 1 – Widening Access</u> A rise in the proportion of all Welsh domiciled students studying higher education courses at higher education institutions and further education institutions in Wales who are domiciled in the bottom quintile of wards in Welsh Index of Multiple Deprivation or in Communities First cluster areas, from 20.0% in 2011/12 to 22.4% in 2015/16 (a rise of 11.8%)					
<u>HEFCW Corporate Strategy Target 2 - Participation</u> An increase in the proportion of all UK domiciled students studying higher education courses at higher education institutions and further education institutions in Wales who are from UK low participation areas from 33.2% in 2011/12 to 35.3% in 2015/16 (a rise of 6.3%)					
<u>HEFCW Corporate Strategy Target 3 - Retention</u> (a) A decrease in the percentage of full-time undergraduate students no longer in higher education following year of entry from 9.2% in 2011/12 to 8.2% in 2015/16 (a drop of 10.7%) (b) a decrease in the percentage of part-time first degree students no longer in higher education two years following year of entry from 33.7% in 2011/12 to 30.1% in 2015/16 (a drop of 10.7%)					
<u>HEFCW Corporate Strategy Target 4 – Part-Time</u> The percentage change in the number of part-time students attending higher education courses in Welsh higher education institutions and further education institutions to be equal to, or greater than, the comparable figure for the UK					

STRATEGIC THEME – WIDENING ACCESS INSTITUTIONAL STRATEGY Key themes to cover in this section: Widening Access, Participation, Retention, Regional Progression Pathways, Part-time/Flexible Study, Reaching Wider, HE in FE, Evidence-based Strategic Developments.	
FOCUS OF INSTITUTIONAL STRATEGY UP TO 2015/16	ANNUAL PROGRESS REPORTS
<p><i>Example aim, narrative and targets for illustrative purposes:</i> Aim 1: To increase and widen access to and through higher education from WA priority groups The University will continue to deliver targeted activities aimed at raising the aspirations of potential learners from Communities First and Low Participation Neighbourhoods, and BME communities, including through the Reaching Wider programme. These activities will include a programme of workshops and outreach events aimed at providing a taste of higher education programmes in schools, FE colleges, communities and the workplace. These will include the delivery of annual STEM Summer Schools and a range of industry sponsored events aimed at encouraging applications to Engineering and Mathematics courses from Communities First and Low Participation Neighbourhoods. A dedicated programme of support will also be established to care leavers to access HE. These activities will include opportunities for potential students to increase their awareness of the financial support that is available. This approach will be coupled with the introduction of a contextual admissions system and transitional and continuing academic support for full time widening access students.</p> <p><i>Targets:</i></p> <ul style="list-style-type: none"> • <i>Increase the number of WA STEM Pathways adult/young participants securing a place at HE from X% (and actual number) in base year to Y% (and actual number) in year 1, year 2, year 3, etc. of strategy</i> • <i>Increase the number of CF learners, care leavers, BME</i> 	<p><u>2014/15</u></p> <p><u>2015/16</u></p> <p><u>2016/17</u></p>

<p><i>students applying to HE, admitted to HE, attending WA outreach provision from X% (and actual number) baseline year to Y% (and actual number) in year 1, year 2, year 3)</i></p> <ul style="list-style-type: none">• <i>etc.</i> <p><i>Aim 2, Aim 3, Etc.</i></p>	
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STRATEGIC THEME - STUDENT EXPERIENCE					
<i>Objective: Secure excellent quality higher education and student experience, enhanced by the student voice</i>					
Welsh Government expectations:					
<ul style="list-style-type: none"> • Make continuing efforts to deliver an excellent student experience • Enable study through the medium of Welsh to take place in a wider range of programmes and locations in Wales • Ensure that the student voice strengthens higher education • Make Wales a destination of choice for international students and staff 					
INSTITUTION CONTRIBUTION TO NATIONAL TARGETS	2011/12 BASELINE	2012/13	2013/14	2014/15	2015/16 TARGET
<u>HEFCW Corporate Strategy Target 5 – National Student Survey</u> The three year rolling average score for Wales in the National Student Survey 'overall satisfaction' question will be equal to, or greater than, the comparative score for the UK					
<u>HEFCW Corporate Strategy Target 6 – Welsh Medium</u> The number of students studying higher education courses at higher education institutions and further education institutions in Wales undertaking at least 5 credits of their course through the medium of Welsh, per annum, will rise from 4,335 in 2011/12 to 5,600 in 2015/16, including a rise from 2,269 to 3,030 in the number of those studying at least 40 credits per annum					
<u>HEFCW Corporate Strategy Target 7 – Overseas Students</u> The percentage change year on year in the number students attending higher education courses in Welsh higher education institutions will be equal to, or greater than, the comparable figure for UK higher education institutions (excluding London and the South East)					
<u>HEFCW Corporate Strategy Target 8 - Quality</u> All institutions being reviewed in the Corporate Strategy period to meet the UK thresholds for quality and standards in the QAA Institutional Review					
<u>HEFCW Corporate Strategy Target 9 – Initial Teacher Training</u> Welsh Government intake targets for ITT undergraduate primary, postgraduate primary, undergraduate secondary, postgraduate secondary priority and postgraduate secondary other subjects to be met annually					

STRATEGIC THEME – STUDENT EXPERIENCE	
INSTITUTIONAL STRATEGY	
Key themes to cover in this section: Student Experience, Learning & Teaching, Welsh Medium, Internationalisation, ITT	
FOCUS OF INSTITUTIONAL STRATEGY UP TO 2015/16	ANNUAL PROGRESS REPORTS
<p><i>Example aim, narrative and targets for illustrative purposes:</i></p> <p>Aim 1: To ensure provision is of high quality</p> <p>The University is committed to providing an outstanding student learning experience. We will continue to review and adapt our programme of provision with teaching informed by research excellence, engagement with employers and professional bodies. This will involve the evaluation of all modules against a framework of requirements in order to ensure consistency in the quality of provision across all subject areas. The University will also continue to work in partnership with the student body, with student involvement on relevant committees underpinned by training programmes to ensure effectiveness. This will be coupled with the introduction of online questionnaires seek to student feedback on provision at programme and module level. The University will also continue to review the outcome of NSS and student feedback, with a Working Group established to oversee delivery of the action plans for those areas of provision where weaknesses have been identified. Areas for development previously identified via the NSS will be addressed through a series of measures including the introduction of electronic coursework feedback; and the building in of opportunities for formative feedback within modules. These developments will be underpinned by a programme of CPD for all teaching staff.</p> <p><i>Targets</i></p> <ul style="list-style-type: none"> • <i>Development of a consistent approach for module evaluation by 2014/15</i> • <i>Ensure a holistic process is in place for the analysis of survey outcomes by Sep 2015, and review annually</i> • <i>Annual training programme for student representatives</i> • <i>Introduction of online questionnaires for all programmes and</i> 	<p><u>2014/15</u></p> <p><u>2015/16</u></p> <p><u>2016/17</u></p>

modules by 2014/15

- *Introduction of electronic coursework feedback by 2014/15*
- *Quarterly NSS Working Group*
- *All teaching staff to have engaged in CPD programme by 2016/17*

Aim 2, Aim 3, Etc. (To include reference to delivery of an internationalised student experience and an improved volume of overseas students. It should also cover student experience; quality assurance and enhancement; and enhancing learning and teaching through technology. In the case of ITT providers, this should include ITT)

STRATEGIC THEME – SKILLS, EMPLOYABILITY AND ENTERPRISE

Objective: Secure graduates who are equipped for life and work, and universities that contribute to an up-skilled workforce

Welsh Government expectations:

- A greater proportion of the population achieves higher level skills
- Greater diversity and flexibility in programme design, duration and delivery is developed, to match need and demand
- Employability is a key outcome of the higher education experience
- The contribution of higher education to workforce development is strengthened

INSTITUTION CONTRIBUTION TO NATIONAL TARGETS	2011/12 BASELINE	2012/13	2013/14	2014/15	2015/16 TARGET
<u>HEFCW Corporate Strategy Target 10 - Employment</u> The proportion of leavers from Welsh higher education institutions obtaining undergraduate qualifications through full-time and part-time study who were employed, studying or both six months after leaving will be equal to, or greater than, the UK proportion					
<u>HEFCW Corporate Strategy Target 11 - Employability</u> The proportion of leavers who were working, or working and studying, who were working in a managerial/professional job six months after leaving to rise from 67.5% in 2010/11 to 72.7% in 2015/16 (a rise of 7.7%)					
<u>HEFCW Corporate Strategy Target 12 - Continuing Professional Development</u> The total number of learner days delivered by Welsh higher education institutions for continuing professional development will rise from 202,498 in 2011/12 to 226,000 in 2015/16 (a rise of 11.6%)					

STRATEGIC THEME – SKILLS, EMPLOYABILITY AND ENTERPRISE INSTITUTIONAL STRATEGY Key themes to cover in this section: Skills, Employability, Employer Engagement	
FOCUS OF INSTITUTIONAL STRATEGY UP TO 2015/16	ANNUAL PROGRESS REPORTS
<p><i>Example aim, narrative and targets for illustrative purposes:</i></p> <p><i>Aim 1: Internationalisation - To develop global skills and employability</i></p> <p>The University improve the employability of its graduates through a range of measures to improve their global skills. Activities will include the development of new student placement opportunities in identified industry sectors in Europe and mainland China by 2016/17. This will be underpinned by the active role played in the UK HE Mobility Unit Community of Practice. The University will also refresh its undergraduate curricula in partnership with international employers, with new credit bearing placement modules to be developed in a range of disciplines with business partners operating overseas by 2016/17. In addition, the number of students undertaking a work placement opportunity abroad will be expected to double from the current level by 2016/17.</p> <p><i>Targets:</i></p> <ul style="list-style-type: none"> • <i>Introduce 10 new credit bearing placement modules in a range of disciplines with business partners operating overseas by 2016/17.</i> • <i>x students taking up a work or study opportunity overseas: 2014/15 x; 2015/16 x; 2016/17 x (= x% of total student population)</i> <p><i>Aim 2, Aim 3, Etc. (To include promotion of enterprise and entrepreneurship; contribution to workforce development)</i></p>	<p><u>2014/15</u></p> <p><u>2015/16</u></p> <p><u>2016/17</u></p>

STRATEGIC THEME: INNOVATION AND ENGAGEMENT

Objective: Secure the application and exploitation of knowledge to deliver social justice and a buoyant economy

Welsh Government expectations:

- The economy is supported by strengthened and systematic knowledge exploitation
- The cultural and civic role of higher education is enhanced
- Closer links between universities and businesses operating overseas

INSTITUTION CONTRIBUTION TO NATIONAL TARGETS	2011/12 BASELINE	2012/13	2013/14	2014/15	2015/16 TARGET
<u>HEFCW Corporate Strategy Target 13 - Collaborative Research Income</u> The total amount of income from collaborative research involving both public funding and funding from business will rise from £65,253k in 2011/12 to £72,000k in 2015/16 (a rise of 10.3%)					

STRATEGIC THEME: INNOVATION AND ENGAGEMENT INSTITUTIONAL STRATEGY Key themes to cover in this section: Innovation & Engagement	
FOCUS OF INSTITUTIONAL STRATEGY UP TO 2015/16	ANNUAL PROGRESS REPORTS
<p><i>In line with Innovation Wales, and as a condition of future Welsh Government support, the University confirms its long-term commitment to knowledge exchange and commercialisation activity, to the benefit of the social, cultural and economic development of our society. We demonstrate this as follows:</i></p> <p><i>Example aim, narrative and targets for illustrative purposes:</i></p> <p><i>Aim 1: Knowledge exchange and the commercialisation of research</i></p> <p>The University will ensure core support for the innovation and engagement infrastructure, with an innovation and commercial services unit to be established. This unit will oversee all collaborative research and development and commercial work, including the management of the relationship with venture capital providers. The Unit will undertake an audit of intellectual property across the university, drawing on professional support, in order to identify and screen potential opportunities for commercialisation in partnership with existing companies (e.g. via the A4B programme), through licensing or spin-out. This activity will be underpinned by the provision of shared space across the campus where academics and industry can undertake collaborative research and development. We will identify potential commercial opportunities within the university and provide professional support in order to progress them through licensing to spin out</p> <p><i>Targets:</i></p> <ul style="list-style-type: none"> • <i>Establish Innovation and Commercial Services Unit by 2014/15</i> 	<p><u>2014/15</u></p> <p><u>2015/16</u></p> <p><u>2016/17</u></p>

<ul style="list-style-type: none">• <i>Initial screening of intellectual property by 2015/16</i>• <i>Establish 3 research and innovation institutes by 2015/16</i> <p><i>Aim 2, Aim 3, Etc. (To cover areas such as contribution to inward investment and regional development; cultural, community and civic role of the university; strategic partnerships with businesses operating overseas).</i></p>	
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STRATEGIC THEME: RESEARCH					
<i>Objective: Secure research of internationally excellent quality to deliver a buoyant economy and support social justice</i>					
Welsh Government expectations:					
<ul style="list-style-type: none"> • Research activity thrives and is effective • The impact of university research is increased, through targeting support on areas of strength and national priority, and especially through collaboration • Internationally excellent research in selected areas 					
INSTITUTION CONTRIBUTION TO NATIONAL TARGETS	2011/12 BASELINE	2012/13	2013/14	2014/15	2015/16 TARGET
<u>HEFCW Corporate Strategy Target 14 - Research Council Income</u> The annual percentage change in income from Research Councils will exceed the comparable figure for UK higher education institutions (excluding the 'golden triangle' of Oxford, Cambridge and London)					
<u>HEFCW Corporate Strategy Target 15 - Research Excellence Framework (REF)</u> An increased proportion of research submitted to REF by Welsh higher education institutions will achieve 3* and 4* in the Research Excellence Framework 2014 from a baseline of 35% at 3* and 14% at 4*in the 2008 Research Assessment Exercise					

STRATEGIC THEME: RESEARCH INSTITUTIONAL STRATEGY Key themes to cover in this section: Research	
FOCUS OF INSTITUTIONAL STRATEGY UP TO 2015/16	ANNUAL PROGRESS REPORTS
<p><i>Where research is central to institutional mission, we are asking institutions to include coverage of the following topics: any planned changes to the overall profile of research activity; provision for researcher development; measures to increase Research Council and other research income; plans for PGR; plans for capital investment; high level arrangements for performance monitoring; and strategic partnerships with world-leading universities.</i></p> <p><i>Example aim, narrative and targets for illustrative purposes:</i></p> <p><i>Aim 1: Develop our research base and increase our ability to attract larger company inward investment to Wales and the UK</i> The University will establish new facilities that will enable applied researchers in life sciences and engineering to be co-located with transnational companies and SMEs to drive forward the regional and national economy. This will be coupled with expansion of the Biosciences, Medicine and Engineering departments through a programme of new professorial appointments. These appointments will develop research capacity in key interdisciplinary areas and build on the University’s involvement in the Sêr Cymru programme, especially in Engineering and Advanced Materials and other collaborative research developments.</p> <p><i>Targets:</i></p> <ul style="list-style-type: none"> • <i>Maintain and consolidate our relationship with existing lead industrial partners, and establish research partnerships with two new multi-national companies by 2016/17</i> • <i>Establish research partnerships with 10 SMEs by 2016/17</i> • <i>Appoint 10 new Professors in identified priority areas (4</i> 	<p><u>2014/15</u></p> <p><u>2015/16</u></p> <p><u>2016/17</u></p>

<p><i>Engineering, 4 Biosciences and 2 Medicine) by 2016/17</i></p> <p><i>Aim 2, Aim 3, Etc.</i></p>	
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STRATEGIC THEME: RECONFIGURATION AND COLLABORATION

Objective: Secure a reconfigured higher education system with strong providers that, through collaborative partnership working, particularly regionally, offers more accessible higher education opportunities and a stronger HE offering across Wales

Welsh Government expectations:

- Increased collaboration among higher education providers and between
- higher education and other providers,
- A particular focus on appropriate reconfiguration of the higher education sector
- A regional dimension to the planning and delivery of higher education

INSTITUTION CONTRIBUTION TO NATIONAL TARGETS	2011/12 BASELINE	2012/13	2013/14	2014/15	2015/16 TARGET
<p><u>HEFCW Corporate Strategy Target 16 - Reconfiguration and Collaboration</u> At least 75% of the Welsh higher education institutions to have an annual income in excess of the UK median, with no institution to be in the lower quartile by 2015/16</p>					

ENABLING THEME: RECONFIGURATION AND COLLABORATION INSTITUTIONAL STRATEGY Key themes to cover in this section: Reconfiguration & Collaboration, Regional Planning	
FOCUS OF INSTITUTIONAL STRATEGY UP TO 2015/16	ANNUAL PROGRESS REPORTS
<p><i>Example aim, narrative and targets for illustrative purposes:</i></p> <p>Aim 1: Development of Regional Partnerships The University will develop strategic partnerships with FE colleges to underpin regional FE-HE progression. The University will also continue to develop and deliver the regional strategy for the planning and delivery of HE, including the implementation of agreed collaborative arrangements in staff development and training.</p> <p><i>Targets:</i></p> <ul style="list-style-type: none"> • <i>Strategic partnerships established with 4 FE colleges by 2015/16</i> • <i>SLA for staff development and training established with regional partners by 2015/16</i> • <i>Delivery of regional strategy targets</i> <p>Aim 2, Aim 3, Etc.</p>	<p><u>2014/15</u></p> <p><u>2015/16</u></p> <p><u>2016/17</u></p>

ENABLING THEME: GOVERNANCE					
Objective: Secure continual improvement in the quality of governance and long term sustainability of the higher education system					
Welsh Government expectations:					
<ul style="list-style-type: none"> • Promote the civic role of higher education providers and their role as corporate citizens • Review institutional governance in higher education 					
INSTITUTION CONTRIBUTION TO NATIONAL TARGETS	2011/12 BASELINE	2012/13	2013/14	2014/15	2015/16 TARGET
<u>HEFCW Corporate Strategy Target 17 - Governance</u> No higher education institution to be classified as 'high risk' in accordance with HEFCW institutional risk review processes					

ENABLING THEME: GOVERNANCE INSTITUTIONAL STRATEGY Key themes to cover in this section: Governance, Financial Sustainability, HR Strategy, Estates Strategy, Sustainable Development, Equality & Diversity, Student Voice	
FOCUS OF INSTITUTIONAL STRATEGY UP TO 2015/16	ANNUAL PROGRESS REPORTS
<p><i>Example aim, narrative and targets for illustrative purposes:</i></p> <p><i>Aim 1: Governing body performance</i> The University is committed to delivering continual improvement in its governance arrangements. The University has actively worked to enhance the effectiveness of the Council, and it will continue to drive up the quality of governance. A key aspect of this will be to encourage active engagement by Council and Committee members, including student governors, supported by training and development. The University will also seek to engage with appropriate stakeholder groups to work to enhance the diversity of Council membership. An independent review of Council effectiveness will be undertaken in 2015/16.</p> <p><i>Targets:</i></p> <ul style="list-style-type: none"> • <i>Annual programme of governor training</i> • <i>Quarterly briefings for student governors initiated by 2014/15</i> • <i>Produce an annual ‘dashboard’ of KPIs for the Council, with quarterly updates, to be utilised alongside the HEFCW Information Toolkit and National Student Survey results</i> • <i>Meetings with local community and business groups to stimulate participation by under-represented groups to have been initiated by 2014/15</i> • <i>Independent review of Council effectiveness by 2015/16</i> <p><i>Aim 2, Aim 3, Etc.</i></p>	<p><u>2014/15</u></p> <p><u>2015/16</u></p> <p><u>2016/17</u></p>