

# Operational Plan 2017-18



Noddir gan  
**Lywodraeth Cymru**  
Sponsored by  
**Welsh Government**

## Operational Plan 2017-2018

### ***Sustainable, accessible, internationally excellent higher education***

I am delighted to present the key objectives and detailed operational plan for HEFCW for the financial year 2017-18. Higher education impacts on the lives of everyone in the nation. Providers of higher education offer a life-changing experience for students, and offer indispensable contributions to society, communities and the economy. Welsh higher education has an impact globally, with higher education providers forging alliances around the world. This attracts interest to Wales from business around the world, as well as international students who wish to study in Wales.

This year we have consulted on and published our new Corporate Strategy 2017-2020. Our strategy is more concise but our vision remains the same, to ensure sustainable, accessible, internationally excellent higher education in Wales. Our operational plan links between the longer term objectives we have set in our corporate strategy to the specific actions we plan to take this year in support of meeting those objectives. In addition to our corporate strategy, our planned activities also respond to the steers provided by the Cabinet Secretary for Education in her annual remit letter to us.

For each of our five missions, we have identified the key objectives which we will address this year. Of necessity, this represents a distillation: it cannot cover the totality of our planned activity nor can it capture those unplanned activities that we will undertake during the year in order to respond to new priorities.

In formulating this operational plan, we have given careful consideration to the range of tools at our disposal for policy implementation, including, as appropriate, new regulatory tools which have been conferred upon HEFCW by the Higher Education (Wales) Act 2015, which will be fully implemented by 1 August 2017. In addition to funding, we have a range of processes through which we engage with higher education providers, including Institutional Risk Review (IRR), Strategic Planning and Engagement Document (SPED), Council visits to institutions and fee and access planning. An important aspect to our approach involves influencing higher education through the sharing of good practice and brokering between institutions, the government and other agencies.

We have welcomed the Welsh Government's response to the 'Diamond Review' and the 'Hazelkorn' review and look forward to working with all relevant stakeholders in taking forward the recommendations, in what will be an important time for the whole of post-compulsory education in Wales.

In all our work, the HEFCW executive benefits extensively from the expertise and wisdom of its Council, membership details of which can be found on our [website](#).



**Dr David Blaney**  
Chief Executive

## Corporate Strategy 2017-2020

### Our Vision:

*Sustainable, accessible, internationally excellent higher education in Wales*

### Our Mission:

*In pursuit of this vision we*

- *Fund higher education in Wales*
- *Regulate higher education providers in Wales*
- *Influence higher education with evidence-based advice and strong partnership working*
- *Work in partnership with students*
- *Operate effectively as an organisation*

All five of these objectives contribute to:

### Our Well-being Objectives<sup>1</sup>

Ensure that higher education in Wales is relevant and accessible to all who could benefit from it, or contribute to it	A prosperous Wales, A healthier Wales, A more equal Wales, A Wales of vibrant culture and Welsh language.
Champion internationally excellent higher education that also works to support global well-being, and sustainable development	A prosperous Wales, A resilient Wales, A healthier Wales, A globally responsible Wales,
Promote a system of HE that is financially, economically, socially, and environmentally sustainable.	A resilient Wales, A Wales of cohesive communities.
Ensure that HEFCW is an exemplar organisation where equality, partnership and sustainability are fundamental to delivery of our mission.	A more equal Wales, A prosperous Wales, A globally responsible Wales, A Wales of cohesive communities.

We commit to working in accordance with the sustainable development principle in a manner that seeks to ensure that the needs of the present are met without compromising the ability of future generations to meet their own needs, specifically:

<sup>1</sup> For further information see HEFCW's Well-being Statement (March 2017) on our website.

- **Long term approach** - balancing short-term needs with the desire to safeguard the ability to address longer-term needs.
- **Prevention** - how taking action may prevent problems from occurring or getting worse.
- **Integration** - how our well-being objectives may impact upon each of the well-being goals, on their other objectives, or on the objectives of other public bodies.
- **Collaboration** - How acting in collaboration may help us to meet our well-being objectives.
- **Involvement** - The importance of involving people with an interest in achieving the well-being goals, and ensuring that those people reflect the diversity of the area which the body serves.

## **We fund higher education in Wales**

Our funding objectives: between now and 2020, we will:

- Fund research, teaching (with an initial emphasis on expensive subjects and part-time provision) and other activities, including widening access, in universities and further education institutions in support of meeting Welsh Government higher education policy priorities;
- Fund higher education provision in further education institutions;
- Fund the provision of services to assist institutions;
- Implement HEFCW actions arising from the Welsh Government's response to the Review of the Higher Education Funding and Student Finance (the Diamond Review);
- Review our funding methods to take account of the Diamond Review;
- Develop arrangements for the assessment of the quality of research in partnership with other funding bodies, to inform future funding;
- Fund the development and delivery of Degree level Apprenticeships, subject to our remit, and funding, from Welsh Government;
- Monitor the use and impact of our funding.

## **We regulate higher education providers in Wales**

Our regulatory objectives: between now and 2020, we will:

- Approve or reject fee and access plans and monitor the outcomes of plans as they relate to equality of opportunity and promotion of higher education;
- Monitor fee levels of regulated courses;
- Develop our quality assessment framework in consultation with regulated institutions to ensure that provision where quality is inadequate, or likely to become inadequate, is dealt with;
- Monitor the financial sustainability of HE providers, and the organisation and management of their financial affairs, with particular reference to the requirements of our Financial Management Code;
- Intervene where appropriate in line with our statutory duties for regulation;
- Publicise information about our regulatory role to interested parties;
- Regulate HE providers in proportion to risk in line with our statutory duties;
- Work in partnership with other regulators to minimise burden and duplication;

- Meet our responsibilities as the monitoring authority for relevant higher education bodies' implementation of the statutory Prevent duty;
- Meet our responsibilities for initial teacher training;
- Build the student voice explicitly into regulatory processes and requirements;
- Deal with complaints made to HEFCW against higher education providers in Wales in accordance with our procedures;
- Report to Welsh Ministers on our statutory responsibilities.

### **We influence higher education with evidence-based advice and strong partnership working**

Our advisory and partnership objectives: between now and 2020, we will:

- Work with all stakeholders, providing advice and guidance to maximise delivery of Welsh Government policy priorities including for widening access, the student experience, skills and employability and research, innovation and engagement, and provision through the medium of Welsh;
- Promote the benefits of higher education to economy and society and the competitiveness of the Welsh HE system, including the value of Welsh HE providers to their local communities and economy;
- Collect and analyse data, and synthesise evidence to provide an authoritative voice on higher education;
- Develop measures by which to monitor the performance and delivery of higher education providers including publication where appropriate;
- Monitor and advise on the implications for Wales of higher education developments in other UK administrations;
- Monitor and advise on the implications of leaving the European Union on HE institutions;
- As the primary source of independent HE expertise in Wales, use evidence to advise, inform and challenge providers, external stakeholders, including at UK level, and, where appropriate, the Welsh Government;
- Promote and catalyse collaboration and the sharing of good practice between providers and with other stakeholders to best meet the needs of Wales;
- Work with HE providers to secure delivery in line with statutory responsibilities.

### **We work in partnership with students**

Our student partnership objectives: between now and 2020, we will:

- Work with NUS Wales, the sector and other stakeholders to drive the agenda of students as partners;
- Encourage providers to respond to the diversity of the student experience;
- Embed the student voice in our sector guidance and policies;
- Encourage the publishing of reliable and timely information about higher education;
- Monitor and manage unintended impacts of the changes to the fees and funding regime on student finances; Operate a proportionate and robust regulatory system that minimises risk to students and institutions.

## We operate effectively as an organisation

Our organisational effectiveness objectives: between now and 2020, we will:

- Work with Welsh Government, HE providers and other partners to take forward the implementation of the Welsh Government's response to the Independent Review of the Regulation and Oversight of Post-Compulsory Education and Training in Wales (the Hazelkorn Review);
- Develop an annual operating plan for Welsh Government approval based on our corporate strategy and informed by our annual remit letter;
- Work proactively in partnership with key stakeholders, including the Welsh Government;
- Keep under review our processes in order to minimise burden and maximise effectiveness;
- Continue to be an employer of choice;
- Implement our Strategic Equality Plan and ensure that equality is embedded in all our processes;
- Implement our Welsh language standards, working closely with the Office of the Welsh Language Commissioner;
- Implement our *Well-being Objectives*;
- Be financially responsible and sustainable;
- Continue to improve as an organisation.

## HEFCW Performance Outcomes

By 2020, we will have:

1. Delivered annual funding allocations to HE providers which, in the context of the broader range of financial support for the delivery of higher education, maximises the delivery of policy priorities with the funding available;
2. Implemented the changes required to our processes and procedures to respond to the implementation of the Diamond review;
3. Produced a range of useful reports demonstrating the use of public funds which we have administered;
4. Fully and effectively embedded the regulatory regime developed in the HE (Wales) Act 2015 for regulated institutions;
5. Designed and implemented the operational arrangements for 'specific designation'<sup>2</sup>;
6. Published a range of public information on the contribution of higher education to society and economy;
7. Monitored the financial sustainability of the sector, deploying a range of financial and regulatory interventions to secure corrective action<sup>3</sup> where necessary;
8. Ensured that the quality of provision in the sector has been subject to assessment, deploying a range of financial and regulatory interventions to secure corrective action where necessary;
9. Worked effectively with providers of higher education, further education and work-based learning to maximise smooth transition to the post-Hazelkorn arrangements<sup>4</sup>;
10. Ensured that the student perspective is properly represented in our work and in the work of providers;
11. Delivered at least 95% of our operational plan targets except where external factors prevent delivery;
12. Maintained our performance as an effective employer, with strong employment indicators in addition to well-motivated, engaged staff.

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<sup>2</sup> Subject to Welsh Government confirming our role in this process.

<sup>3</sup> Information about regulatory interventions is included in HEFCW's Statement of Intervention (W16/37HE) on our website.

<sup>4</sup> Subject to Welsh Government consultative processes.

## HEFCW Operational Plan 2017-18

Key to current status of task		Key to Due Date	
✓	Completed	Q1	April to June
	On course for completion by due date/significant progress made with this task	Q2	July to September
	Potential issues leading with the delivery of the task – task will not be delivered by due date but will be completed by the end of 2017-18	Q3	October to December
	Issues with the delivery of the task – task will not be completed by the end of 2017-18	BYE	January to March
	No longer applicable	BYE	By year end

Objectives	Activities including remit tasks	Date	Lead	Current status	In order to
<b>We fund higher education in Wales</b>					
Fund research, teaching (with an initial emphasis on expensive subjects and part-time provision) and other activities, including widening access, in universities and further education	Allocate Quality Related (QR) research funding in support of HEFCW and Welsh Government research policy objectives and our Corporate Strategy commitments.	Q1	AT	✓ Achieved. QR allocation agreed by HEFCW Council and announced in circular W17/11HE HEFCW Funding Allocations 2017/18 (June 2017)	Secure internationally excellent quality research to underpin the knowledge economy and support civil society.
	Joint funding of the Sêr Cymru I programme: Research Chairs and three National Research Networks.	BYE	AT	✓ Achieved. Sêr Cymru I payment profile agreed with WG. Quarterly payments underway.	



Objectives	Activities including remit tasks	Date	Lead	Current status	In order to
institutions in support of meeting Welsh Government higher education policy priorities	Contribution to the WG's Sêr Cymru II programme	BYE	AT	Not achieved. Provisional payment profile obtained, but further information awaited from WG.	
	Allocate funding from the Global Challenges Research Fund and monitor outcomes.	Q2	AT	✓ Achieved. Allocation announced in circular W17/23HE (August 2017)	
	Allocate funding from the Newton Fund and monitor outcomes.	Q3	AT	No longer applicable. BEIS has informed us that it is unlikely to be able to provide us with Newton Funding this year, as the budget is overcommitted.	
	Allocate UK Research Partnership Investment Fund	BYE	AT	✓ Achieved. Payments for FY17-18 allocated.	
	Allocate postgraduate research funding in support of postgraduate research (PGR) activity in Wales.	Q1	AT	✓ Achieved. PGR allocation agreed by HEFCW Council and announced in circular W17/11HE HEFCW Funding Allocations 2017/18 (June 2017)	
	Fund the European Social Fund (ESF) funded GO Wales: Achieve through Work Experience (AtWE) Programme.	BYE	EM	✓ Achieved. Funding was allocated in 2017-18 and the programme is undergoing an extension.	Improve the employability of certain categories of young students most at risk of being 'not in employment, education or training' (NEET) when they leave higher education.
Fund the Reaching Wider programme.	BYE	JJ	✓ Achieved. RW Programme strategy period extended to end of 2017/18 and Partnerships funded.	Promote widening access and regional collaboration.	

Objectives	Activities including remit tasks	Date	Lead	Current status	In order to
	Provide a premium for expensive subjects	Q2	HF	✓ Achieved. Expensive subjects premium allocated for clinical medicine and dentistry and Conservatoire performance element provision. Agreed by HEFCW Council and announced in circular W17/11HE HEFCW Funding Allocations 2017/18 (June 2017)	Subsidise some subjects that cost above the maximum fee limit.
	Provide funding for part-time credits delivered at HEFCW funded institutions, including associated access and retention, Welsh medium and disability premia as well as per capita funding.	Q2	HF	✓ Achieved. Credit based, per capita and premium funding allocated to Welsh higher education providers. Agreed by HEFCW Council and announced in circular W17/11HE HEFCW Funding Allocations 2017/18 (June 2017)	
	Recognise the unique contribution and position of the Open University as a UK-wide institution that must adapt to the investment and priorities of each nation.	BYE	HF / JJ	✓ Achieved. Monitored OU in Wales' contribution through HEFCW's Strategic Planning and Engagement processes. Supported the OU through funding mechanisms. Mitigation funding allocated to the OU. Agreed by HEFCW Council and announced in circular	Ensure part-time and flexible learning opportunities are offered in line with HEFCW's Part-time Study Position Statement and funding is provided for priority areas.

Objectives	Activities including remit tasks	Date	Lead	Current status	In order to
				W17/11HE HEFCW Funding Allocations 2017/18 (June 2017).	
	Provide targeted fee waiver support for eligible part-time students unable to access part-time tuition fee loans.	BYE	CON	✓ Achieved. Guidance for applications published. Fee waiver submissions have been received and have been checked.	Ensure part-time and flexible learning opportunities are offered in line with HEFCW's Part-time Study Position Statement and funding is provided for priority areas.
	Fund educational research	BYE	CON	✓ Achieved. £125k awarded to WISERD/CU for Successful Futures for All project. Inception meeting held 3rd October 2017	Build greater capacity for educational research in Wales.
Fund higher education provision in further education institutions	Develop funding initiative to build collaboration and progression between FE and HE	BYE	AT	Circular published inviting proposals led by Universities for projects that enhance collaboration between HE and FE in innovation and engagement activities	Improve and increase collaboration between higher and further education.
	Continued funding of directly funded further education colleges.	BYE	HF	✓ Achieved. Credit based, per capita and premium funding allocated to directly funded FECs. Agreed by HEFCW Council and announced in circular W17/11HE HEFCW Funding Allocations 2017/18 (June 2017)	To maintain provision which is directly funded by HEFCW.

Objectives	Activities including remit tasks	Date	Lead	Current status	In order to
Fund the provision of services to assist institutions	Develop a funding agreement with Universities Wales to fund specific sector organisations in Wales	BYE	BEO	✓ Achieved. Agreement has been extended to cover 2017/18.	To secure funding for sector bodies in 2017/18 during the transition to new subscription arrangements.
Implement HEFCW actions arising from the Welsh Government's response to the Review of the Higher Education Funding and Student Finance (the Diamond Review)	Work with WG officials to compile and publish on an annual basis the prices of a basket of goods, to be agreed with Government, for each institution.	Q3	CON	✓ Achieved. Circular W17/ provided final guidance.	Monitor potential increases in prices of goods.
	Work with Welsh Government to fully scope and timetable the implications of the Government's response on funding for the Learned Society for Wales.	BYE	AT	Not achieved. Awaiting information about future funding levels following implementation of Diamond recommendations and outcome of Reid Review.	Inform considerations about how the Learned Society for Wales could complement the current provision of services for the purposes of (or in connection with) the provision of education or undertaking of research by institutions with the HE sector.
	Considering the current evidence-base relating to widening access and how it might be strengthened.	Q2	JJ	<p>✓ Achieved. Annual monitoring of fee and access plans' support of equality of opportunity and promotion of HE.</p> <p>Briefing paper submitted to ongoing Reaching Wider review.</p> <p>Monitoring of institutions' strategic equality plans drafted for publication in January 17.</p>	Assist the Welsh Government in its work to evaluate the Diamond reforms.

Objectives	Activities including remit tasks	Date	Lead	Current status	In order to
				Awaiting further guidance from Welsh Government to inform activities in 2018-19.	
	Work with WG to fully scope and timetable the implications of the Government's response to the Diamond recommendations on research and knowledge transfer, taking into account the outcomes of the Welsh Government's review of research and innovation (the Reid Review).	BYE	AT	Not achieved. Awaiting information about future funding levels following implementation of Diamond recommendations and outcome of Reid Review.	Maximise the economic and social benefits that can be derived from universities.
	Work with Welsh Government, as requested, to fully scope and timetable the implications of the Government's response on plans to fully regulate the part-time system by 2020-21.	BYE	CH	Welsh Government have indicated that the part-time system will not be regulated in this timescale.	Increase opportunities for individuals to up-skill and improve their employment prospects.
	Prepare proposals for managing the phasing in of additional payments to reflect the cost of teaching more expensive subjects (full and part-time).	BYE	HF	Not achieved. Work is ongoing to investigate the use of TRAC(T). Further work is expected to take place in 2018 and 2019 for expected implementation for 2019/20 funding.	Support the cost of teaching subjects above the maximum fee level.
Review our funding methods to take account of the Diamond Review	Develop proposals for a review of part-time funding and consultation with sector	BYE	HF/ JJ	✓ Achieved. Funding review undertaken Sector review scheduled for 2018 and 2019 taking account of funding levels available.	Increase opportunities for individuals to up-skill and improve their employment prospects.

Objectives	Activities including remit tasks	Date	Lead	Current status	In order to
Develop arrangements for the assessment of the quality of research in partnership with other funding bodies, to inform future funding.	Publish initial decisions on arrangements for REF2021 and appoint panels.	BYE	AT	✓ Achieved. Initial decisions published in HEFCW W17/25HE (September 2017). Remaining decisions published in REF2017/04 (November 2017.) Roles and recruitment of expert panels published in October 2017. Panel appointments announced in March 2018.	Provide for a robust measure of the quality of research and a basis for the selective allocation of research funding.
	Work with the other UK HE funding bodies and the department for Business, Energy and Industrial Strategy to set up formal liaison bodies in context of establishment of UK Research and Innovation and Research England.	BYE	AT	✓ Achieved. Agreement reached on three related operational/policy based liaison bodies for research and knowledge exchange. Agreed mutual observer status for CEO of HEFCW and Research England.	Ensure that HEFCW is engaged with, and contributes to, UK-level discussions of research policy.
Fund the development and delivery of Degree level Apprenticeships, subject to our remit, and funding, from Welsh Government.	Allocate funding to HEFCW-funded institutions to develop qualifications in priority subject areas and monitor arrangements.	Q3	CON	Confirmation that HEFCW will allocate funding for Degree Apprenticeships received in January 2018. HEFCW to work with key stakeholders to develop funding process in line with framework developments. Frameworks not expected to be in place until Spring 2018. Expressions of interest from institutions have been received.	Enable degree level qualifications to become part of apprenticeships in Wales.

Objectives	Activities including remit tasks	Date	Lead	Current status	In order to
				Awaiting confirmation of when funding will be allocated to HEFCW's budget.	
Monitor the use and impact of our funding.	Monitor and evaluate the delivery of merger, reconfiguration and collaboration and strategic development fund project outcomes.	BYE	EB / AT	Not achieved. Monitoring of all reconfiguration and collaboration and strategic development fund projects completed. Internal evaluation of research collaborations completed and agreement reached with lead institutions on appointment of external project evaluators for research related collaborations. Merger evaluations to be initiated in 2018-19.	Determine the extent to which completed projects have been successful and identify potential lessons to inform future projects.
	Monitor the delivery of plans submitted to the supporting strategic change fund.	Q3	HF	✓ Achieved. Monitoring reports have been submitted by institutions and have been analysed. The outcomes have been reported to Council.	Monitor plans developed to meet the four Welsh Government priorities.
	Participate in Wellcome Trust study to demonstrate the value of QR.	BYE	AT	✓ Achieved. Case studies for Wales provided; awaiting publication by UK partners.	Demonstrate the value of QR.
	Evaluate the Reaching Wider programme.	BYE	JJ	✓ Achieved. Council approved recommendations	Inform future partnership strategies.

Objectives	Activities including remit tasks	Date	Lead	Current status	In order to
				of RW Review (Jan 18, March 18)	
	Finalise the evaluation of the One Wales Foundation Degree initiative.	Q1	CON	✓ Achieved. Evaluation completed.	Learn lessons from the development of work-based learning provision to meet employer needs.
	Procure an evaluation of the WISERD Education project.	BYE	CON	✓ Achieved. Evaluation completed.	Ensure that public money in this initiative has been invested wisely; also to obtain recommendations to inform any future investment
	Procure an evaluation of the UHOVI programme.	BYE	JJ	Procurement specification drafted in consultation with institution. Monitoring continues via USW merger monitoring. Formal evaluation will be undertaken in 2018-19.	Assess the outcomes and 'value added' of UHOVI Phase 2.
<b>We regulate higher education providers in Wales</b>					
Approve or reject fee and access plans and monitor the outcomes of plans as they relate to equality of opportunity and promotion of higher education.	Analyse and approve, or otherwise, 2018/19 fee and access plans.	Q2	JJ	✓ Achieved. 10 fee and access plans approved.	Ensure that plans are sufficiently ambitious to improve access to higher education in light of the significant public subsidy derived from statutory student support;
	Work with Welsh Government and other bodies to strengthen the 2019/20 fee and access plan process.	BYE	JJ	✓ Achieved. No additional WG guidance on strengthening plans but, following discussions with representative bodies and process reviews, a new section on strengthening plans was included in 2019/20 guidance (para 87)	



Objectives	Activities including remit tasks	Date	Lead	Current status	In order to
	Monitor 2015/16 fee plans to ensure fee income is invested in supporting equality of opportunity and promoting higher education.	BYE	JJ	✓ Achieved. Monitoring reports received and feedback finalised.	HEFCW is assured that fee income is invested in activities supporting equality of opportunity and promoting higher education and that the effectiveness of measures and performance increase over time.
Monitor fee levels of regulated courses.	Monitoring complaints to HEFCW about fee levels at regulated institutions.	BYE	EB	✓ Achieved. Process for monitoring complaints has been established and monitoring is ongoing.	Ensure complaints regarding the charging of excess fees are satisfactorily addressed, including through HEFCW's intervention processes where appropriate.
	Work with the Student Loans Company in relation to tuition fee information.	BYE	HF/ JJ	✓ Achieved. Notification of courses and fee levels for 2018/19 sent to SLC.	Ensure that only students that are undertaking courses provided by or on behalf of a regulated institution can access the right level of student support.
Develop our quality assessment framework in consultation with regulated institutions to ensure that provision where quality is inadequate, or likely to become inadequate, is dealt with	Quality Assessment Committee to hold at least two meetings a year.	BYE	CON	✓ Achieved. three meetings held in the period covered	Effectively manage HEFCW's quality assessment duties.
	Require information relating to the quality of education provided by an institution and on an institution's behalf on application of a fee and access plan.	Q2	CON	✓ Achieved. This also includes scrutiny of partnership arrangements.	Ensure that institutions that benefit from having their full-time undergraduate higher education courses automatically designated for student support provide high quality education.
	Implementation of the pilot phase of the new quality assessment arrangements including piloting institutional assurance review for quality.	BYE	CON	✓ Achieved. Review method has been designed and published; however, the First review will not be carried out until May 2018. Pilot triennial assurance visit completed. The Gateway review process was published in December	Ensure that the arrangements are appropriate to the requirements of the Higher Education (Wales) Act 2015, while aligning with other countries of the UK.

Objectives	Activities including remit tasks	Date	Lead	Current status	In order to
				2017 following consideration by Council. Assurance statements for governing bodies were published in April 2017. Governing bodies have been asked to respond to HEFCW's assurance statements in December 2017 (developmental year) for full evaluation in 2018.	
	HEFCW is represented on the UK Student Information Advisory Group (and relevant sub-groups), UK Standing Committee for Quality, Teaching Excellence Framework (TEF) Project Board.	BYE	CON	✓ Achieved. HEFCW is represented on a number of SIAG sub-groups in order to inform developments related to UG and PG taught student experience (including quality). Officers have been involved in the recruitment process for appointing TEF panel and assessor representatives	Ensure alignment between HEFCW's quality assessment responsibilities and UK developments in quality and ensure that the interests of Wales are taken into account in UK developments.
	Follow up on outcomes of the National Student Survey (NSS) where they are unsatisfactory.	Q3	CON	✓ Achieved. Good progress has been made to address low performance in recent years. Upon publication of the outcomes Officers have written to, and received responses from, institutions where satisfaction in subject areas is below 70% for two	Identify issues which could identify education/ courses which is (likely to become) inadequate

Objectives	Activities including remit tasks	Date	Lead	Current status	In order to
				years (and flag areas below 60%). Issues relating to provision at partner colleges were also highlighted, where this can be identified.	
Monitor the financial sustainability of HE providers, and the organisation and management of their financial affairs, with particular reference to the requirements of our Financial Management Code	Review of HE providers' financial forecasts and supporting commentaries.	BYE	EB	✓ Achieved. Forecasts and supporting commentaries analysed, with analysis informing consideration of institutional risk	Inform the interim IRR on sustainability through review of forecast performance and key indicators.
	Review of HE providers' financial performance for 2016/17, set also against their forecasts for the year for future years.	BYE	EB	✓ Achieved. Findings of review of financial performance reported to Council March 2018.	Inform the full IRR on sustainability through review of past performance and future sustainability, and key indicators.
	Require information relating to financial viability and organisation and management of financial affairs on application of fee and access plans.	Q2	EB	✓ Achieved. Information analysed and further information requested where appropriate in the process of approving fee and access plans.	Ensure that institutions that benefit from having their higher education courses automatically designated for student support are financially viable and well managed.
	Institutional assurance review visits held with a sub-set of providers (on a three year cyclical basis), annual review of assurance returns and annual all-Wales meeting held with universities' internal auditors.	BYE	EB	✓ Achieved. Met with Cardiff Metropolitan University in January 2018.	Provide assurances to the Audit & Risk Assurance Committee, Council and Welsh Government about regulated institutions
	Publish a Financial Management Code.	Q2	EB	✓ Achieved. Financial Management Code published on 16 June 2017.	Provide assurances to the Audit & Risk Assurance Committee, Council and Welsh Government about regulated institutions

Objectives	Activities including remit tasks	Date	Lead	Current status	In order to
Intervene where appropriate in line with our statutory duties for regulation	Keep statement of intervention under review.	BYE	EB	✓ Achieved. Statement considered as and when issues arise. Formal intervention powers not exercised.	Ensure that HEFCW's intervention procedures take account of any lessons learned from the discharge of HEFCW's regulatory functions.
	Annually report to Welsh Government on our regulatory duties.	BYE	EB	✓ Achieved. In August 2017 HEFCW wrote to the Cabinet Secretary, in line with Welsh Government guidance, to confirm the reporting period for regulatory duties. HEFCW's first report will be in March 2019.	Ensure that the discharge of HEFCW's regulatory functions is subject to an appropriate level of external scrutiny and that Welsh Ministers are informed of any significant matters of concern or instances where HEFCW has been required to exercise its intervention functions.
Publicise information about our regulatory role to interested parties	Update the website as appropriate.	BYE	CH	✓ Achieved. Website is updated on an ongoing basis. Last changes in January 2018.	Ensure that interested parties can access information readily and are appropriately informed.
	Meet with interested new providers	BYE	CH	✓ Achieved. Ongoing discussions with a number of Colleges in Wales about the regulatory system. HEFCW represented at HE in FE Network November 2017.	
	Attend governor events and deliver presentations about our regulatory role where appropriate.	BYE	EB	✓ Achieved. Attended governor event in April 2017 on regulatory matters. Regularly governing body clerks group.	

Objectives	Activities including remit tasks	Date	Lead	Current status	In order to
Regulate HE providers in proportion to risk in line with our statutory duties.	Assess institutional risks via the Institutional Risk Review (IRR) process.	BYE	EB	✓ Achieved. Reports provided to Audit and Risk Assurance Committee in June 2017 and December 2017 following main and interim IRRs respectively. Next main IRR in April-May 2018.	Provide assurance to the Audit and Risk Assurance Committee about regulated and funded institutions
Work in partnership with other regulators to minimise burden and duplication.	Meet with other regulators such as the Office of the Independent Adjudicator, Estyn, Office For Fair Access, the Higher Education Funding Council for England and the Charity Commission.	BYE	EB/ CON/ JJ	✓ We have met regularly with HEFCE and OFFA /Office for Students is established. We have aimed to align our quality assurance processes with those in England. We responded to the OfS consultation (Dec 17). We met with the Office of the Independent Adjudicator in July 2017. We meet regularly with Estyn, including a Chief Inspector/Chief Executive, meeting in January 2018.	To inform our practice, share and benefit from expertise and ensure burden and duplication is minimised.
	Develop and monitor memoranda of understanding with other regulators.	BYE	EB/ CON/ JJ	✓ Achieved. We have an MoU in place with Estyn. We are awaiting feedback on an MoU with the QAA (who are the Designated Quality Body in England).	

Objectives	Activities including remit tasks	Date	Lead	Current status	In order to
Meet our responsibilities as the monitoring authority for relevant higher education bodies' implementation of the statutory Prevent duty	Monitor higher education providers' compliance with the Prevent duty, including HEFCW's complaints procedure.	BYE	AT/EB	✓ Achieved. Complaints procedures circular, which includes Prevent, published October 2017.	Fulfil our duties as monitoring authority for the Prevent duty for relevant higher education providers in Wales.
	Report to the Home Secretary on higher education providers' compliance with the Prevent duty.	BYE	AT	✓ Achieved. Report to Home Office on sector compliance against HEFCW Monitoring Framework submitted March 2018.	
Meet our responsibilities for initial teacher training	Set overall intake target allocations for recruitment to initial teacher training in Wales.	Q3	CON	✓ Achieved. Targets published in December 2017.	Meet WG requirements for numbers of new teachers recruited
	Work closely with Welsh Government and the Education Workforce Council as initial teacher education reforms are taken forward.	BYE	CON	✓ Achieved. Regular meetings have been held and the transition is going smoothly.	Ensure effective transition of ITT accreditation to the Education Workforce Council
Build the student voice explicitly into regulatory processes and requirements	Develop a fee and access plan guidance document for students.	Q3	JJ	✓ Achieved. <a href="#">Guidance</a> published.	Enable the student voice to be heard effectively
	Deliver presentations on regulatory processes at student events.	BYE	JJ/CON	✓ Achieved. JJ presented at the Wise Wales Partnership conference in May 2017.	
Deal with complaints made to HEFCW against	Publish a revised complaints procedure.	Q3	EB / CON	✓ Achieved. Procedure was published, following consultation, on 5 October.	Provide clarity over the types of complaints against institutions that may be dealt with

<b>Objectives</b>	<b>Activities including remit tasks</b>	<b>Date</b>	<b>Lead</b>	<b>Current status</b>	<b>In order to</b>
higher education providers in Wales in accordance with our procedures	Develop a website application for the submission of complaints.	Q3	EB / CON	✓ Achieved. Ongoing discussions internally about how this could operate, with development initiated early 2018. Complaints process operating via email at present with signposting on HEFCW website.	by HEFCW, and the processes via which HEFCW will handle relevant complaints
Report to Welsh Ministers on our statutory responsibilities	Submit annual report to Welsh Government on the assessment, monitoring and enforcement of fee and access plans	Q3	JJ	✓ Report approved by Council (March 2018).	Assure Welsh Government that HEFCW has discharged its statutory responsibilities appropriately and that fee income has been invested in activities supporting equality of opportunity and promoting higher education.
<b>We influence higher education with evidence based advice and strong partnership working</b>					
Work with all stakeholders, providing advice and guidance to maximise delivery of Welsh Government policy priorities including for widening access, the student experience, skills and employability	Strategic engagement with Universities Wales, Colleges Wales and the National Training Federation for Wales.	BYE	DMB	✓ Achieved. Meetings have been convened between chairs and chief executives of HEFCW, NTfW, Colegau Cymru and Unis Wales. In addition, closer working relationships have been established at an operational level in respect of the apprenticeship developments and similar policy work.	Develop closer relationships with key stakeholders looking forward to the new tertiary commission.



Objectives	Activities including remit tasks	Date	Lead	Current status	In order to
and research, innovation and engagement, and provision through the medium of Welsh	Provide guidance to the Reaching Wider Partnerships including increasing university-school engagement.	BYE	JJ	✓ Achieved. RW 2017/18 funding letters encourage university-schools engagement, including closer working with Schools' Consortia. CEO wrote to Schools Consortia encouraging closer working with RW (Nov 17).	Ensure that the HEFCW RW Programme contributes to Welsh Government widening access priorities
	Manage the full range of activities associated with the universities' implementation of the European Social Fund (ESF) funded GO Wales: Achieve through Work Experience (AtWE) Programme.	BYE	EM	✓ Achieved. HEFCW managed the programme, with 9 HEIs as delivery partners. In the period April 2017 – March 2018 382 students have been accepted onto the programme.	Improve the employability of certain categories of young students most at risk of being 'not in employment, education or training' (NEET) when they leave higher education.
	Work with other funders through the UK Student Information Advisory Group (SIAG) on the review of public information, including the review of the NSS.	BYE	CON	✓ HEFCW attended meetings of SIAG. HEFCW is also represented on SIAG sub-groups on UK performance indicators; NSS; and postgraduate survey development.	Ensure that the NSS and the public information agenda at UK level continue to meet the needs of Wales.
	Work with Welsh Government on developing more higher level apprenticeships and introducing degree apprenticeships in Wales.	BYE	CON	✓ Achieved. Worked with Welsh Government officials from the Apprenticeship Unit to inform Welsh Government policy.	Provide new opportunities for individuals in Wales and deliver skills that are in demand from employers.



Objectives	Activities including remit tasks	Date	Lead	Current status	In order to
	Liaise with the NHS Workforce, Education and Development Services.	BYE	CON	✓ Achieved. Meetings held May and December 2017. HEFCW has obtained observer role for WEDS on UKHEAC.	Strengthen effective working relationships regarding health provision, including the transition to Health Education Wales.
	HEFCW to sit on the Credit and Qualifications Framework for Wales (CQFW) steering group as a partner.	BYE	CON	✓ Achieved. Meetings held annually in May. HEFCW is a key partner in the CQFW, embeds the principles of credit in policy developments as appropriate, and is a member of the CQFW Advisory Group	Ensure that providers remain engaged with the CQFW, to enhance the opportunities for flexibility.
	Work with the Coleg Cymraeg Cenedlaethol including regular liaison meetings.	BYE	CON	✓ Achieved. Regular liaison meetings were held with CCC officers. HEFCW officers also regularly attend Board meetings of the CCC.	Increase the numbers of students in Wales studying through the medium of Welsh.
	Review HEFCW's Enhanced Learning Through Technology strategy.	BYE	CON	✓ Achieved. Review has been commissioned from Jisc, and has reported.	Ensure that enhancing learning and teaching through technology is considered a normal part of mainstream provision, processes and practices.
	Maintain engagement with Welsh Government Department for Economy, Science and Transport in relation to the Innovation Council for Wales and the operation of SMART Expertise programme.	BYE	AT	✓ Achieved. Provision of stakeholder input to SMART Expertise proposals; member of assessment panel.	Provide assurance of institutional commitment to knowledge transfer and commercialisation activity in the absence of HEFCW Innovation and Engagement Funds.

Objectives	Activities including remit tasks	Date	Lead	Current status	In order to
	Allocation of funding to Welsh Crucible.	Q3	AT	✓ Achieved. Annual report received and payment released.	Enhance the skills and careers of researchers in Wales.
	Fulfil our obligations as a signatory to the Concordat for Research Integrity by requiring confirmation of compliance within Annual Assurance Statements	BYE	AT	✓ Achieved. No issues raised in AAS submissions.	Ensure universities in Wales are operating in accordance with the highest standards of research integrity.
	Fulfil our obligations as a signatory to the Concordat for the Career Development of Researchers including the allocation of funding to Vitae in partnership with UK funders.	BYE	AT	✓ Achieved. Ongoing. HEFCW remains a signatory to the Concordat. Six HEIs hold the HE Excellence in Research Award. Review of Concordat underway by RCUK. HEFCW contributed to a joint response from the four HE funding bodies.	Enhance the skills and careers of researchers in Wales.
	Apply to RCUK to become a signatory to the Concordat on Open Research Data.	Q3	AT	✓ Achieved. HEFCW is now a signatory to the Concordat on Open Research Data	Ensure universities in Wales are operating in accordance with best practice in this area.
	Support and steer the Growing Value Wales programme run by National Centre for Universities and Business (NCUB)	Q3	AT	✓ Achieved. Publication of two NCUB Growing Value Wales reports to align with Reid Review.	Be advised on how partnerships between universities and business in Wales can be enhanced.
	Fulfil our obligations as a signatory to the Concordat for Engaging the Public with Research, including funding the National Coordinating Centre for Public Engagement in partnership with UK funders.	Q2	AT	✓ Achieved. Level of NCCPE funding for 2018-19 agreed by UK partners.	Enhance public engagement with research activity in Wales.

Objectives	Activities including remit tasks	Date	Lead	Current status	In order to
	HEFCW is represented on regional skills partnerships sub-groups.	BYE	CON	✓ Achieved. HEFCW was represented at the RLSP Employability Group in July.	Support the higher level skills needs across the regions of Wales.
	HEFCW represented on Welsh European Funding Office ESIF Programme Monitoring Committee	BYE	DMB	✓ Achieved. HEFCW continues to be represented at these meetings.	Maximise the sector's EU and international influence and grant capture through partnership with key organisations and structures in Wales, the UK, and Global Wales partner countries.
	HEFCW is governance member of Welsh Higher Education Brussels Board.	BYE	AT	✓ Achieved. HEFCW continues to be represented at these meetings. WHEB Strategic Plan 2018-21 approved by RIEC and by UnisWales Committee.	
	HEFCW is represented on sector's Welsh Higher Education European Liaison Officers' group.	BYE	AT	✓ Achieved. HEFCW continues to be represented at these meetings	
	HEFCW is represented on UUKi's International Strategic Advisory Board.	BYE	AT	✓ Achieved. HEFCW continues to be represented at these meetings	
	HEFCW is represented on Global Wales steering group	BYE	AT	✓ Achieved. HEFCW continues to be represented at these meetings	
	HEFCW is represented on Wales Erasmus Advisory Group	BYE	AT	✓ Achieved. HEFCW continues to be represented at these meetings	
Promote the benefits of higher education to economy and	Showcase institutions' commitment and direct contribution to civic, community	BYE	AT / ER / JJ	✓ Achieved. Date set (13 June 2018) for event showcasing HEPs and community engagement,	

Objectives	Activities including remit tasks	Date	Lead	Current status	In order to
society and the competitiveness of the Welsh HE system, including the value of Welsh HE providers to their local communities and economy	and cultural engagement via a publication.			including launch of new publication. 2019/20 fee and access plans reference civic engagement.	
Collect and analyse data, and synthesise evidence to provide an authoritative voice on higher education	Request submission of revised Strategic Planning and Engagement Documents.	BYE	EB	✓ Achieved. Revised Strategic Planning and Engagement Documents received. Process is being reviewed.	Contribute to HEFCW's understanding of higher education providers and provision in Wales
	Review Strategic Planning and Engagement Documents and initiate engagement with institutions to address queries where appropriate	BYE	EB	✓ Achieved. Strategic Planning and Engagement Documents reviewed and engagement initiated in April 2017. Updated documents to be reviewed by April 2018.	
	Drawing on HESA data, prepare comprehensive set of research performance measures for 2015/16 and present to the RIE Committee.	Q3	AT	✓ Achieved. Presented to RIEC (October 2017)	Build understanding of the contribution of HE providers in Wales to research activity across the UK.
	Drawing on annual HEBCI report, prepare analysis of innovation and engagement performance for 2015/16 and present to the RIE Committee.	Q3	AT	✓ Achieved. Presented to RIEC (October 2017)	Build understanding of the contribution of HE providers in Wales to knowledge exchange activity across the UK.

Objectives	Activities including remit tasks	Date	Lead	Current status	In order to
	Engage with the HESA Data Futures programme.	BYE	HF	✓ Achieved. Funding is being provided for the programme. The Statistics and Funding Team and other HEFCW staff are engaged in data collection development. HEFCW are represented on the Data Futures Advisory Panel and the Data Futures Programme Board.	Ensure high quality, timely data are available about Welsh higher education providers in future.
	Input into the HESA Graduate Outcomes steering group	BYE	CON/ HF	✓ Achieved. HEFCW has been represented at meetings.	Ensure the requirements of the HESA Graduate Outcomes survey fit the needs of Wales.
Develop measures by which to monitor the performance and delivery of higher education providers including publication where appropriate	Develop a set of measures to monitor the performance of higher education providers.	Q3	CH	The consultation on National measures was published as W17/37HE in December 2017 and reported to Council in March 2018.	Assess the performance of HE providers on a pan-Wales basis including in key Welsh Government priority areas.
	Monitor performance of higher education providers against the measures.	BYE	CH	Ongoing monitoring of providers including using Corporate Strategy targets in 2017/18.	
Monitor and advise on the implications for Wales of higher education developments in other UK administrations	Liaise with Office for Students (OfS), UK Research and Innovation (UKRI) and other relevant organisations.	BYE	CON/ AT	✓ Achieved. Policy / operational structures agreed with UKRI and four UK HE funding bodies for research/knowledge exchange. Research England CEO to present to RIEC in May 2018.	Ensure interests of Wales are appropriately addressed

Objectives	Activities including remit tasks	Date	Lead	Current status	In order to
				Meetings with OfS officers have been established	
Monitor and advise on the implications of leaving the European Union on HE institutions	Contribute to the Welsh Government's higher education Brexit group.	BYE	DMB	✓ Achieved. HEFCW continues to attend, and contribute to, these meetings.	Inform consideration of actions to be taken in light of Brexit.
As the primary source of independent HE expertise in Wales, use evidence to advise, inform and challenge providers, external stakeholders, including at UK level, and, where appropriate, the Welsh Government	Contribute to the review of government-funded research and innovation in Wales (Reid review) by providing written and oral evidence and funding data.	Q2	AT	✓ Achieved via submission of written evidence; attendance at review panels; presentation to RIEC.	Ensure that investment made into higher education research delivers the maximum benefit to the people and the economy of Wales.
	Contribute to the Welsh Government's review of Disabled Support Allowance.	BYE	JJ	✓ Achieved. HEFCW contributed to Welsh Government review led by external consultants.	Provide information about UK and Welsh policy contexts as they impact on Welsh higher education.
Promote and catalyse collaboration and the sharing of good practice between providers and with other stakeholders to best meet the needs of Wales	Meet regularly with Welsh Government officials, regional skills partnerships staff, employer representatives and higher education representatives from regional skills partnerships.	BYE	CON	✓ Achieved. Officers have met with Welsh Government skills leads to discuss policy direction and role of HE.	Support higher education providers to play a key role in meeting the higher level skills needs of the regional skills partnerships
	Publish review of strategic equality plans.	BYE	JJ	✓ Achieved. Review outcomes discussed with EHRC and sector.	Improve effective practice.
	Work closely with Welsh Government officials and regional	BYE	CON	✓ Achieved. HEFCW completed work on Degree	Boost the numbers of learners studying at level 4 and 5 areas across Wales.

Objectives	Activities including remit tasks	Date	Lead	Current status	In order to
	skills partnerships to guide closer working between HE providers in Wales.			Apprenticeships which would include exploring how to boost the numbers of learners on apprenticeships at levels 4 and 5. Discussions with Welsh Government skills leads about the role of HE in the regional skills partnerships.	
Work with HE providers to secure delivery in line with statutory responsibilities	Support the Equality Challenge Unit (ECU).	BYE	JJ	✓ Achieved. ECU supported to July 2017	Support higher education to advance equality of opportunity for staff, students and applicants, including going beyond statutory duties
	Share best practice in equality and diversity from across higher education in Wales.	BYE	JJ	✓ Achieved. HEFCW contribution to ECU and ECU Welsh Liaison Group, participation in HEFCE/LF/UUK review (March 2018) Changing the culture: one year on – An assessment of strategies to tackle sexual misconduct, hate crime and harassment affecting university students (March 18)	
	HEFCW is represented on the panel of the green gown awards and sustainable laboratories.	BYE	EB	✓ Achieved. HEFCW representation retained until December 2017 including attending Green Gown awards in November 2017.	Raise the profile and encourage Welsh Unis to apply.
	Work with Association of University Directors of Estates to implement its green scorecard.	BYE	EB	✓ Achieved. HEFCW has had ongoing discussions with AUDE regarding the	Encourage publication of environmental performance



Objectives	Activities including remit tasks	Date	Lead	Current status	In order to
				implementation of the Green Scorecard until December 2017.	
	Analysis of estates in relation to peer groups.	BYE	EB	✓ Achieved. Report provided to Audit and Risk Assurance Committee in June 2017. New data released in March 2018	Identify areas which require improvement and encourage dissemination of good practice.
	HEFCW to work with the sector and HEPCW on annual procurement efficiencies reporting and the sector's PFHC progress	BYE	EB	✓ Achieved. Correspondence was sent to the sector during November 2017, with annual information submitted to HEFCW February 2018.	Demonstrate via annual reporting the value for money achieved/ effective use of public funds to HEFCW, WG and other key stakeholders.
	HEFCW to work with institutions on its procurement activities with an emphasis on efficiency, social responsibility and impact, and greater student/graduate/employer opportunities.	BYE	EB	✓ Achieved. Correspondence was sent to the sector during November 2017, with annual information submitted to HEFCW February 2018.	Demonstrate to HEFCW and Welsh Government that higher education providers are meeting or working towards Welsh Government Procurement Code of Practice and Procurement policy.
<b>We work in partnership with students</b>					
Work with NUS Wales, the sector	Work with NUS Wales via regular liaison and catch up meetings.	BYE	CON	✓ Achieved.	Ensure that HEFCW is appropriately informed regarding matters affecting the



Objectives	Activities including remit tasks	Date	Lead	Current status	In order to
and other stakeholders to drive the agenda of students as partners	HEFCW Chief Executive to meet with NUS Wales President and Director annually.	BYE	DMB	✓ Achieved. HEFCW Chief Executive met with new NUS Wales President in June.	student body, and can develop policy steers as appropriate.
	Continue to support WISE Wales through membership of the steering group.	BYE	CON	✓ Achieved. Officers have attend steering group meetings. Council agreed to extend funding for three years from 2017/18, subject to matched funding from the sector.	Encourage providers to focus on partnership with students in order that the student voice enhances higher education.
Encourage providers to respond to the diversity of the student experience	All regulated institutions are required to develop a student charter.	BYE	CON	✓ Achieved. Fee and Access Plan guidance currently being amended. Guidance currently requires that applicants confirm that a student charter is in place. HEFCW published its updated student charter guidance in July 2017.	Set out the mutual expectations of students and institutions
Embed the student voice in our sector guidance and policies	Student representative has observer status on Council.	BYE	DH	✓ Achieved. On their election, NUS Wales Presidents are invited to attend Council meetings with observer status.	Ensure that the student voice informs HEFCW's work
	Student representatives are members of HEFCW's quality assessment committee and student opportunity and achievement committee.	BYE	CON	✓ Achieved. New appointments made since the change of officers at NUSW. A new part-time representative for the student opportunity and	Ensure that the student voice informs HEFCW's work

Objectives	Activities including remit tasks	Date	Lead	Current status	In order to
				achievement committee has been confirmed.	
Encourage the publishing of reliable and timely information about higher education	Work with institutions to ensure they are aware of their responsibilities under the Competition and Markets Authority and cost of study guidance.	BYE	CON	✓ Achieved. Institutions were reminded of their responsibilities under CMA guidance through the publication of the 'basket of goods' guidance in December 2017.	Ensure that students are provided with information at the times they need it
Monitor and manage unintended impacts of the changes to the fees and funding regime on student finances	Compile and consult on information about the prices of a 'basket of goods' for each institution and monitor separately part-time and postgraduate fee levels in those institutions.	BYE	CON/ HF	✓ Achieved. Consultation completed. Outcomes and final guidance were published in December 2017 following the Council meeting.	Ascertain and manage any potential adverse financial impacts on students.
Operate a proportionate and robust regulatory system that minimises risk to students and institutions	Triennial quality assurance visits involve discussions with student representatives.	BYE	CON	✓ Achieved. Pilot triennial assurance visit completed, together with first actual visit. Officers contacted NUSW prior to triennial visits in order to pick up any issues requiring discussion.	Engage effectively with institutions to assure their quality and effective academic governance, including through taking account of the student voice
	Council visits to meet governing bodies of regulated institutions include Student Governors.	BYE	DH	✓ Achieved, and on-going. The Council visits each university in Wales on a three-yearly cycle, and student governors are amongst those invited to attend. From 2018 the Council added other regulated HE providers to its	

Objectives	Activities including remit tasks	Date	Lead	Current status	In order to
				programme of visits (currently this comprises two FE colleges).	
<b>We operate effectively as an organisation</b>					
Work with Welsh Government, HE providers and other partners to take forward the implementation of the Welsh Government's response to the Independent Review of the Regulation and Oversight of Post-Compulsory Education and Training in Wales (the Hazelkorn Review)	Respond formally to WG consultation on a reformed post-compulsory education and training system.	Q3	DMB	✓ Achieved. HEFCW submitted a formal response to the White Paper.	Inform the development of the new tertiary commission.
	Contribute to preparation of a post-compulsory education strategy in conjunction with HE, FE and WBL sectors.	BYE	DMB	HEFCW held constructive discussions with relevant stakeholders but has not been remitted by WG to lead this process and there has been no development of a strategy by WG to which to contribute.	Support the development of a strategic framework to inform institutional strategies and actions.
	Publish the draft HE strategy submitted to Welsh Government.	Q3	CH	✓ Achieved. Draft HE strategy, and accompanying letter from the Cabinet Secretary for Education, has been published on the website.	Inform the development of a post-compulsory education strategy
	Engage with colleagues in WG better to understand current approaches for funding and engagement with FE and WBL providers and to share experience.	Q3	BEO	✓ Achieved. We met with WG colleagues in June 2017 to learn about their funding methods and have been involved as observers in the institutional risk meetings for FE.	Raise awareness of various funding mechanisms operating in HE/FE and WBL.

Objectives	Activities including remit tasks	Date	Lead	Current status	In order to
	Engage with colleagues in WG and Estyn to explore potential future arrangements for quality assessment.	BYE	CH	✓ Achieved. Officers have mapped out HEFCW's responsibilities for apprenticeships and discussed this with WG officials and with Estyn and QAA separately in January 2018. HEFCW has been represented on the Welsh Government's PCET quality strand including at a workshop on 14 December 2017.	Achieve joined up approaches to quality assurance and reduce burden on providers.
	Engage constructively with the WG project for the implementation of the Hazelkorn recommendations within the limitations established by our designation as an 'external supplier'.	BYE	DMB	✓ Achieved. HEFCW submitted a formal response to the White Paper, has been represented on the stakeholder forum and is contributing, subject to limits determined by WG, to one of the WG workstreams. We stand ready to extend our constructive engagement with these developments as permitted by WG.	Inform the development of the new tertiary commission.
Develop an annual operating plan for Welsh Government approval based on our corporate strategy and	Develop a new Corporate Strategy for approval by the Cabinet Secretary	Q2	CH	✓ Achieved. Corporate Strategy approved by Council and submitted to the Cabinet Secretary for Education on 31 July 2017. Approved by Cabinet	Provide strategic direction for HEFCW.

Objectives	Activities including remit tasks	Date	Lead	Current status	In order to
informed by our annual remit letter				Secretary 12 December 2017 and published.	
	Develop an Operational Plan for approval by the Cabinet Secretary	Q2	CH	✓ Achieved. Operational Plan approved by Council and submitted to the Cabinet Secretary for Education on 31 July 2017. Approved by Cabinet Secretary 12 December 2017 and published.	Provide a comprehensive account of the activity HEFCW will undertake in 2017-18.
	Monitor performance against the operational plan.	BYE	CH	✓ Achieved. Monitoring has included updates to November and January Council, and a final report to May Council.	Provide Council and Welsh Government with assurance that HEFCW delivers against activities.
Work proactively in partnership with key stakeholders, including the Welsh Government	Close officer dialogue with relevant Welsh Government officials during 2017-18.	BYE	DMB	✓ Achieved. Positive engagement with WG colleagues has been had.	Ensure that HEFCW policies are appropriately developed.
	WG officials have observer status on Council and committees.	BYE	DH	✓ Achieved, and on-going. At least one WG official attends each Council meeting.	
	Consult on policy development with relevant stakeholders including events where appropriate.	BYE	All	✓ Achieved. HEFCW has formally consulted on its Corporate Strategy, proposals for a gateway review for quality, collection of data for the basket of goods, PGT interim support	

Objectives	Activities including remit tasks	Date	Lead	Current status	In order to
				arrangements, procedures for handling complaints, use of Transnational Education Guidance, revised guidance for student charters, the second research excellence framework. There has also been informal consultation on a number of policies.	
	Include stakeholders on policy committees.	BYE	DH	✓ Achieved. The Council's committees include in their memberships, as relevant to their respective remits, independent members appointed through open advertisement and individuals nominated by various stakeholder groups.	
Keep under review our processes in order to minimise burden and maximise effectiveness	Review the Strategic Planning and Engagement Document process.	BYE	EB	Ongoing with a view to aligning with HEFCW's other institutional processes.	Monitor institutions' strategic plans and performance.
Continue to be an employer of choice	Undertake a staff survey.	BYE	NW	✓ Achieved. Survey held in March 2018	Obtain feedback from staff on HEFCW as an organisation in order to consider how to develop and improve the way we operate.
Implement our Strategic Equality Plan and ensure that equality is	Deliver our Strategic Equality Plan objectives, publish our annual equality report and	BYE	JJ	✓ Achieved. Revised SEP and annual equality report published (March 18)	Deliver and go beyond our statutory duties.

Objectives	Activities including remit tasks	Date	Lead	Current status	In order to
embedded in all our processes	implement our new equality delivery plan.				
Implement our Welsh language standards, working closely with the Office of the Welsh Language Commissioner	Respond to the consultation on the draft Compliance Notice on the new Welsh Language Standards and amend our current practices as necessary in order to ensure compliance with the legislation.	BYE	BEO	✓ Achieved We submitted our response to the consultation on the draft Compliance Notice in August and we received our finalised Compliance Notice in September. The Welsh Language implementation plan was discussed by Council in March 2018 and approved with practices amended as necessary to ensure compliance by April 2018.	
Implement our Well-being objectives	Deliver our Well-being objectives.	BYE	EB/JJ	✓ Achieved for 2018-19.	Contribute to the well-being of future generations in Wales.
	Review our Well-being objectives.	BYE	EB/JJ	✓ Achieved. Well-being objectives reviewed (Feb 18) and revised.	
Be financially responsible and sustainable	Update our Environmental Management system.	BYE	EB	✓ Achieved Recommendations approved by Management Team.	Minimise carbon emissions and waste.
	Maintain accreditation of the ISO 27001:2013 Information Security Management standard.	BYE	AH	✓ Achieved. External auditor carried out assessment in November – no areas of concern identified. Accreditation maintained.	Provide assurances to Council, Welsh Government, partners and stakeholders of the appropriateness of our information security controls.



Objectives	Activities including remit tasks	Date	Lead	Current status	In order to
	Align our policies with the new General Data Protection Regulations.	BYE	AH	✓ Achieved. Progress on target for compliance.	Provide assurances to Council, Welsh Government, partners and stakeholders of the appropriateness of our data protection controls and comply with legislation.
	Retender for HEFCW's business continuity system.	BYE	AH	✓ Achieved. BC system retendered	Ensure that HEFCW is getting value for money.
	Retender for HEFCW's off-site record storage system.	BYE	AH	✓ Achieved – renewed current contract	
	Upgrade HEFCW's finance system.	BYE	AH	✓ Achieved. Further work to roll out to users progressing.	Operate HEFCW's finances effectively.
	Pursue annual procurement efficiencies/value for money reporting	BYE	EB	✓ Achieved. Discussed by ARAC at its March meeting.	Demonstrate the value for money achieved and effective use of public funds from HEFCW procurement activity.
	Introduce a system that allows Council and Committee Members to access papers electronically.	BYE	AH	Demo reviewed, trial system to be set up. Completion expected by Q2 2018/19.	Encourage efficient ways of working.
Continue to improve as an organisation.	Working with other regulators such as OFFA to identify best practice.	BYE	JJ	✓ Achieved for 2018-19. Officers met OFFA representatives in Dec 17.	To inform our practice, share and benefit from good practice.
	Working with other Welsh Government sponsored bodies to share ideas, knowledge and best practice in areas of Finance, ICT and HR.	BYE	NW	✓ Achieved. Collaboration throughout the year with other public bodies through groups covering corporate services, finance, HR and IT.	Collaborate with other WGSBs and similar Welsh public bodies on an ongoing basis in order to work as efficiently as possible and to improve our means of operating as an organisation.
	Implement our current IT&S strategy.	BYE	AH	✓ Achieved. Due to report to Management Team in May 2018	Enable HEFCW to deliver against its corporate strategy and operational plan.



Objectives	Activities including remit tasks	Date	Lead	Current status	In order to
	Develop a new IT&S strategy.	BYE	AH	✓ Achieved. Due for approval by Management Team in June 2018	
	Take forward our health and safety action plan.	BYE	AH	✓ Achieved. Reported to Management Team in January 2018	Ensure a safe and healthy working environment is maintained.

Key to HEFCW staff		
Alyson Thomas (AT) Head of Research, Innovation and Engagement	Alison Haggett (AH) Head of Information Services and Facilities	Bethan Owen (BEO) Director of Institutional Engagement
Celia Hunt (CH) Director of Strategic Development	Cliona O'Neill (CON) Head of Student Experience	Dale Hall (DH) Council Secretary
David Blaney (DMB) Chief Executive	Emma Mock (EM) Senior GO Wales Project Manager	Ewen Brierley (EB) Head of Sustainability and Assurance
Hannah Falvey (HF) Head of Statistics	Jane Johns (JJ) Head of Widening Access and Inclusion	Nick Williams (NW) Head of Corporate Services

## Overall Funding Allocations 2017/18

## Annex A

	FY 2016-17 £	AY 2016/17 £	FY 2017-18 £	AY 2017/18 £	FY 2018-19 £
<b>Grant In Aid (GIA) FY allocation</b> <sup>1</sup>	355,318,000		104,056,000		115,000,000
<b>Less - Fee grant transfer</b>	-257,800,000				
Budget Adjustments <sup>2</sup>	24,178,335		-3,665,000		
<b>Less - Depreciation</b>	-82,000		-90,000		-90,000
<b>Less - Running Costs</b>	-3,296,540		-3,407,432		-3,640,507
Contribution from prior year reserves	805,540				
	<b>119,123,335</b>		<b>96,893,568</b>		<b>111,269,493</b>
50.7% of 2017-18				49,135,407	
45% of 2018-19				<u>50,071,272</u>	
		<b>124,785,836</b>		<b>99,206,679</b>	
Cash Balance brought forward from previous year		<b>3,851,573</b>		<b>1,050,966</b>	
<b>Available Resource for Allocation</b>		<b>128,637,409</b>		<b>100,257,645</b>	
<b>Research</b>					
Quality Research (QR)		71,077,344		71,077,344	
Postgraduate Research (PGR)		5,170,336		5,170,336	
Sêr Cymru		2,961,253		4,317,696	
		<b>79,208,933</b>		<b>80,565,376</b>	
<b>Part-time Undergraduate (PT UG) Funding</b>					
<i>PT UG Teaching</i>		21,487,583		20,244,374	
<i>Per capita</i>		116,120		107,080	
<i>Welsh Medium premium</i>		130,562		204,432	
<i>Access and Retention premium</i>		5,311,812		5,233,186	
<i>Disability premium</i>		195,900		156,900	
<b>Total</b>		<b>27,241,977</b>		<b>25,945,972</b>	
<b>OU Mitigation funding</b>		<b>1,655,490</b>		<b>1,655,490</b>	
<b>PT adjustment for under recruitment in 14/15 and 15/16</b>		<b>-2,620,062</b>		<b>-857,956</b>	
<b>Part-time Fee Waiver</b>		<b>30,000</b>		<b>150,000</b>	
<b>Postgraduate Taught (PGT) Funding</b>					
<i>Per capita PT</i>		40,025		38,830	
<i>Per capita FT</i>		17,200		17,525	
<i>Disability premium PGR</i>		27,000		30,000	
<b>Total</b>		<b>84,225</b>		<b>86,355</b>	
<b>Full-time Undergraduate (FT UG) and Postgraduate Certificate of Education (PGCE) funding</b>					
<i>Per capita</i>		327,815		334,850	
<i>Expensive subjects premium</i>		14,754,735		14,637,880	
<b>Total</b>		<b>15,082,550</b>		<b>14,972,730</b>	
<b>Strategy and Initiative Allocations</b>					
including:					
Coleg Cymraeg Cenedlaethol (CCC)		5,435,549		0	
Supplementary funding to support Expensive Subjects Premium (ESP) performance arts training		1,100,000		0	
Reaching Wider		1,731,920		1,864,089	
GO Wales		420,000		900,000	
Strategic Development Fund		21,349,649		906,000	
Learning and Teaching Fund		627,014		780,879	
Widening Access Fund		128,501		0	
Other Strategy and Initiatives		607,853		838,043	
<b>Total</b>		<b>31,400,486</b>		<b>5,289,011</b>	
<b>Sector Agency Contribution</b>					
Jisc		2,001,470		2,001,470	
L&T Fund Sector Agency Contribution -					
- NSS		155,000		155,000	
- Wise Wales		20,000		20,000	
Equality Challenge Unit		61,987		61,987	
International Initiatives		80,364		80,364	
Leadership Foundation		40,000		40,000	
National Coordinating Centre for Public Engagement (NCCPE)		6,201		5,893	
RCUK Vitae		1,235		2,437	
The Conversation		30,000		15,000	
National Council for Universities and Business (NCUB)		30,000		30,000	
HEI contribution to sector agency costs		-2,423,413		-2,412,151	
<b>Total</b>		<b>2,844</b>		<b>0</b>	
<b>Adjustment as a result of changes to HEFCW budget</b>		<b>-24,500,000</b>		<b>-28,500,000</b>	
<b>Total Allocations</b>		<b>127,586,443</b>		<b>99,306,978</b>	
<b>Balance</b>		<b>1,050,966</b>		<b>950,667</b>	

## NOTES

1 - GIA details taken from remit letters (all non-GIA items, including CCC Scholarships are now in separate non-GIA budget)

2 - Budget Adjustments are: 2016-17, £20m Strategic change fund and £4.178m in additional resources in revised remit letter; in 2017-18, £3.665m SLC contribution expectation