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Making it Work: the HE sector in Wales												
R1: Funding from the Assembly is insufficient to be able to sustain levels of funded activity (e.g. as factors beyond our control bite, such as equal pay, pensions, NI etc.).	M	<ul style="list-style-type: none"> Significant political impact of funding in Wales falling behind that in England and elsewhere in the UK Possible reduction in activity, or inability to maintain adequate volume of activity, which would threaten achievement of <i>Reaching Higher</i> targets. HEIs unable to maintain and/or develop estates, including meeting statutory responsibilities. 	H	M/H	N	<ul style="list-style-type: none"> Dialogue with Assembly about need for funding at a level appropriate to the Assembly's vision, and to the reality of a UK and wider international market for students and staff in higher education. Continue to conduct funding gap analysis on an annual basis. Prepare contribution to Comprehensive Spending Review (CSR) as required by Assembly. 	M/H	N	Move towards more explicit focus on financial sustainability in respect of allocation of funding and strategic dialogue with institutions.	Over next 3 years (by 2011)	Director of Strategic Development	
R2: A lack of impact through failure to achieve major HE Sectoral partnerships and the restricted nature of minor partnerships.	M	Failure to meet key <i>Reaching Higher</i> objective leads to loss of Assembly funding for HE.	M	M/M	N	<ul style="list-style-type: none"> Evaluation and prioritisation of proposals by the Reconfiguration & Collaboration Panel (plus the Research Councils and independent academic referees as appropriate) to ensure the viability and sustainability of partnerships. A requirement for Assembly agreement to the release of funds for partnerships that are either over £200k in value, or are novel and contentious. A requirement for V-C sign-off of initial proposals to ensure institutional buy-in to partnerships at a strategic level. Monitoring of partnerships to ensure successful delivery against targets and outcomes. Dialogue with partners to build on foundations of limited proposals. Maintaining our capacity to extend current invitations and encourage new ones. 	M/M	N	<p>Establishment of ranking process to prioritise bids, thereby ensuring that funding is allocated to the most substantial and viable projects.</p> <p>Dialogue with WAG about pressures on <i>RH</i> budget. Consider 'refreshing' R&C policy in light of these pressures.</p>	Ranking included in R&C reports to Council from October 2006.	Director of Strategic Development	

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R3 Too many institutions in a marginal or unsatisfactory financial position	M	<ul style="list-style-type: none"> Potential closure of institutions Weak basis for any major reconfiguration/merger proposals 	H	M/H	N	<ul style="list-style-type: none"> Argue case for increased levels of funding for the sector Intervene at an early stage when institutions are getting into difficulty Require institutions to address sustainability in their strategic plans 	<ul style="list-style-type: none"> Introduction of SIS and top up fees reduces likelihood Require recovery plans and monitor implementation 	L/H	N	At this point in time, can envisage no further action that would strengthen existing mitigating controls or contingency plans.	-	Head of Finance
R4 Lack of flexibility in profile of above-baseline funding [new]	L	Ability to take forward key priorities within <i>Reaching Higher</i> severely hampered	H	L/H	N	Dialogue with Assembly over <i>Reaching Higher</i> profile, and on their expectations of HEFCW in taking forward reconfiguration and collaboration Phase II	-	L/H	N	At this point in time, can envisage no further action that would strengthen existing mitigating controls or contingency plans.	-	Director of Strategic Development
R5 Sector unable to meet requirements of equalities legislation [new]	M	<ul style="list-style-type: none"> Litigation could lead to issue of reputation for institution and sector Institutions seen as unsatisfactory places of employment HEFCW required to be more interventionist 	M	M/M	N	<ul style="list-style-type: none"> Work with ECU to enhance sector performance Employment of disability and diversity coordinator Employ consultants to analyse sector policies Work with HEIs to promote good employment practices Institutional visits to discuss equality practices 		M/M	N	At this point in time, can envisage no further action that would strengthen existing mitigating controls or contingency plans.	-	Head of Learning & Teaching
Reaching Wider												
R6 Reaching Wider' aspects of <i>Reaching Higher</i> are not successful (in particular, failure to meet the RH target on recruitment from Communities First areas to UK HEIs and FEIs)	M	Sector will be seen to fail to widen access to higher education with consequent impact on external perceptions and funding.	M	M/M	N	<ul style="list-style-type: none"> Establishment of "Reaching Wider" partnerships; Funding of widening access strategies; Widening access premia Funding steers to protect HE/FE provision Work to take forward Assembly's response to further develop Widening Access/ Reaching Higher in light of evaluation 	-	M/M	N	At this point in time, can envisage no further action that would strengthen existing mitigating controls or contingency plans.	-	Head of Learning & Teaching

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Deal for Students												
R7 Failure to meet <i>Reaching Higher</i> targets for Welsh medium provision.	H	Sector seen as failing to contribute to Assembly's laith Pawb agenda and continuing risk of external complaints about sector performance.	M	H/M	N	<ul style="list-style-type: none"> Welsh medium development and premium funding Working with the sector to support the new strategic framework including the Welsh Medium Teaching Development Centre Incorporation of WM target into Reaching Wider and Widening Access strategies. 	-	M/M	N	<i>At this point in time, can envisage no further action that would strengthen existing mitigating controls or contingency plans.</i>	-	Head of Learning & Teaching
Research Excellence												
R8 Sector fails to meet <i>Reaching Higher</i> targets of increasing proportion of Research Council income to 4.5% by 2010/11, and research income from other external sources by 60% by 2007/08, and by 100% by 2010/11.	H	Loss of potential additional research income, with an adverse effect on the research base in Wales in terms of: a) the level of activity which the sector is able to undertake; b) the negative impact on the sector's reputation and standing (e.g. staff recruitment difficulties); and c) loss of international competitiveness. Adverse effect on sector's standing with Assembly.	M	H/M	N	<ul style="list-style-type: none"> Close monitoring of progress via regular data returns and forecasts from HEIs (RH targets template) Establishment of sector-wide seminars on securing research council funding Exploration of possible increases in research funding. Provision of support for research based collaboration and reconfiguration. More strategic use of RH Fund via targeted funding for RAE support. Review of research policy Chief Executive on First Minister's Senior Science Advisory Group. 	-	M/M	N	<i>At this point in time, can envisage no further action that would strengthen existing mitigating controls or contingency plans.</i>	-	Director of Strategic Development
Benefiting Economy and Society												
Initial Teacher Training												
R9 Unable to reach agreement on reconfiguration of ITT sector.	H	<ul style="list-style-type: none"> Destabilisation of ITT provision. Sector unable to deliver newly qualified teachers of the highest quality. Reputational damage to Council. 	M	H/M	N	<ul style="list-style-type: none"> Dialogue with the sector and HEW to encourage appropriate ITT reconfiguration plans. Dialogue with Assembly about consequences of delays in decision on ITT reconfiguration. Encourage developments in non-ITT provision as part of reconfiguration plans and 	Maintain status quo	M/M	N	On-going discussions with Assembly and sector.	-	Head of Learning & Teaching

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R13 DCELLS reorganisation takes time to embed. [new]	H	Liaison and effective working with relevant DCELLS colleagues impeded, with consequential failure by HEFCW to address one or more key Assembly priorities.	M	H/M	N	Close officer dialogue with relevant new colleagues; individual induction support as appropriate.	Escalate any clear concerns at officer level	M/M	N	Invite Council to make representations.	July 2008	Chief Executive (in close consultation w/ Chair)
R14: Significant loss of skills/ experience due to loss of member(s) of staff. [new]	M	Significant reduction in performance/ morale across HEFCW for extended period of time.	H	M/H	N	Policies and Procedures which control Loss of Staff/ Cover: <ul style="list-style-type: none"> • Within teams - desk instructions, shared knowledge, cover, admin pairing arrangement • Management Board discussion of how to cover newly vacated posts • Temporary agency staff contract • Recruitment and selection policy • PSMW • Secondment policy • WAG appointments process (CEO) Policies and Procedures which aid retention and control absence: <ul style="list-style-type: none"> • Work Life Balance Policies • Occupation Health contract • Employee Assistance Programme • HEFCW Values Policies and Procedures which control Employee Relations: <ul style="list-style-type: none"> • Partnership agreement 	Implement appropriate policies and procedures noted in controls column, quickly and efficiently dependant on cause of loss. Structured handover of work prior to staff leaving. Statutory requirement for notice to be given for any industrial action taken by PCS members.	M/M	N	Proposal: to review period of notice for senior grades.	August 2008	Head of HR and Organisational Development