
SUPPLEMENTARY CAPITAL FUNDING ALLOCATION 2003-04 AND CAPITAL FUNDING FOR DISABILITY PROVISION 2004-05 AND 2005-06

26 March 2004

Ref: W04/20HE

To: Heads of higher education institutions in
Wales

Summary: This Circular announces (i) supplementary capital funding allocations for learning and teaching and IT infrastructure for 2003-04 and (ii) an additional programme of capital expenditure for 2004-05 and 2005-06 to help institutions meet the requirements of disability legislation.

Response by: 28 May 2004

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INTRODUCTION

- 1 This Circular announces (i) supplementary capital funding allocations for learning and teaching and IT infrastructure for 2003-04 and (ii) an additional programme of capital expenditure for 2004-05 and 2005-06 to help institutions meet the requirements of disability legislation.

BACKGROUND

- 2 Additional capital funding has become available to the Council from two sources:
 - The Welsh Assembly Government has provided the Council with additional in-year capital funding of £4 million for learning and teaching and IT infrastructure for 2003-04.
 - The Council's confirmed capital funding for 2004-05 is £2.6 million higher than the indicative budget for that year, and indicative figures recently received for 2005-06 show that capital funding for that year is maintained at the confirmed 2004-05 level. Consequently, the capital funding available for 2004-05 and 2005-06 is expected to be £5.2 million higher in total than the £10.1 million anticipated when the Council announced indicative capital funding allocations for learning and teaching and IT infrastructure for those years in June 2003 (Circular W03/39HE refers).

SUPPLEMENTARY CAPITAL FUNDING ALLOCATION FOR 2003-04

Purpose of Funding

- 3 The original capital funding allocations for 2004-05 and 2005-06, and those for the current year, 2003-04, were made available in support of developments and enhancements to the learning and teaching and IT infrastructure which were consistent with wider institutional strategies in these areas. The Council has agreed that the supplementary allocation of £4 million for 2003-04 will be made available on the same basis as the original funding. This approach will enable institutions to build on and expand their existing programmes of expenditure, should they choose to do so.
- 4 As with the original allocations, specific areas of activity which can be supported include the following:
 - Infrastructure to support institutions' disability provision programmes, including expenditure required to comply with statutory requirements
 - Estates work to improve the quality of the learning and teaching environment
 - Further enhancement of management information systems, campus communications networks, wide area networks and managed learning environments
 - Equipment for learning and teaching activities within the institution and/or, in the context of widening access, in outreach centres
 - Provision of additional studios or other enhancements to the sector-wide video services network.

Allocation Method

- 5 In accordance with the Council's usual approach to the distribution of capital funding, the funding has been allocated in proportion to institutions' total formula driven allocations for teaching for 2003/04, subject to the application of a minimum level of award to ensure that all institutions receive meaningful allocations. This has been set at £100k.
- 6 The allocations are shown at **Annex A**.

Release of Allocations

- 7 The allocations will be released before the end of March 2004. The Council will, however, wish to know how institutions propose to use their funding and, to this end, will require a statement of their expenditure intentions. This should be provided by completing the pro forma at **Annex B**. An electronic version of the pro forma can be downloaded from the publications section of the Council's website (<http://www.hefcw.ac.uk>), where it will be available alongside this Circular.
- 8 Whilst it is not intended that the statement of expenditure intentions should be elaborate, it is important that it should be sufficiently specific to provide the Council with a clear indication of institutions' plans. In this context, attention is drawn to the notes of guidance on completion of the pro forma which are provided at **Annex C**, and to the illustrative example of a completed section of the pro forma appended to that Annex.

Monitoring

- 9 The supplementary allocations should be spent in full by July 2005. Institutions will be asked to provide confirmation of expenditure at that point, together with a brief statement of the benefits derived from the funding.
- 10 In the case of any proposals involving new build or substantial refurbishment, an audit certificate will be required on completion of the work.

CAPITAL FUNDING FOR DISABILITY PROVISION 2004-05 AND 2005-06

- 11 The Disability Discrimination Act (DDA) 1995 and its extension, the Special Educational Needs and Disability Act 2001, have placed substantial statutory obligations on institutions of higher education. These include a requirement that institutions should not treat disabled students less favourably, without justification, than students who are not disabled. In consequence institutions will be required, among other things, to ensure that, by September 2005, their buildings are adapted to provide access for disabled students, where it is reasonable to do so.
- 12 The Council has already made funding available from a number of sources to help institutions meet these legislative requirements. In 2001/02, for example, it made £400k available specifically to assist institutions to make buildings and courses accessible for disabled students. It has also encouraged institutions to use funding from their capital allocations to help meet the requirements of the disability legislation. However, studies commissioned independently by most of the institutions in the sector over the last two years have established that very substantial levels of capital investment are still required in order to enable them to comply with the requirements of disability legislation.
- 13 The Council has therefore agreed that the balance of its capital funding for 2004-05 and its indicative capital funding for 2005-06 - £5.2 million in total – should be made available in support of capital developments required in order to enable institutions to

comply with disability legislation. Specifically, the funding should be used for the following purposes:

- Building adaptations and other estates work required in order to provide adequate access or facilities for students with disabilities
 - The purchase of special equipment, including IT equipment, required to make courses accessible to disabled students.
- 14 Whilst not in any way intended as a definitive list, examples of eligible areas of expenditure under the first of these two headings would include: installation of ramps and lifts; widening doorways; and smaller scale developments such as provision of hearing loops, signage for the visually impaired and flashing fire alarms.
- 15 Modifications to halls of residence to improve access/facilities for disabled students are eligible for support from this funding. The funding may not, however, be used for further audits or surveys of requirements.

Allocation of Funding

- 16 As with the supplementary capital funding allocation for learning and teaching and IT infrastructure, the funding has been allocated in proportion to institutions' total formula funding for teaching for 2003/04, subject to the application of a minimum level of award to ensure that all institutions receive a meaningful level of funding. In this case, the minimum award has been set at £150k over two years.
- 17 The allocations are shown at **Annex D**. Those for 2004-05 are confirmed, but those for 2005-06 are indicative only at this stage and will be subject to confirmation through the Council's settlement for that year.

Claiming Allocations

- 18 The release of institutions' allocations will be subject to the submission of acceptable expenditure plans. These should be provided by completing the pro forma shown at **Annex E**. An electronic version of this pro forma can be downloaded from the publications section of the Council's website (<http://www.hefcw.ac.uk>) where it will be available alongside this Circular.
- 19 As with the supplementary capital funding allocation for learning and teaching and IT infrastructure, the expenditure plans should be sufficiently specific to provide the Council with a clear understanding of institutions' intentions. For example, in the case of estates work, the plans should identify the building(s) concerned and specify the nature of the work to be undertaken. It will **not be sufficient** to state that the funding will be used for estates work identified in the institution's Disability Provision Development Plan without providing further details.
- 20 In the case of plans involving estates work, the Council will wish to know:
- the extent to which the proposed expenditure will reduce institutions' estimates of the total estates investment required to comply with DDA legislation.
 - the basis on which institutions have prioritised the work selected for inclusion in their expenditure programme. In this context, attention is drawn to the following guidance documents: *Disability Discrimination Act 1995 – Preparing an Action an Implementation Plan* commissioned by ELWa from Capita Property

Consultancy, published in February 2003, and available through the following weblink http://www.elwa.org.uk/doc_bin/property/dda%20action%20plan%20completed%20version.pdf; and the *DDA Prioritisation Strategy*, published by the Association of University Directors of Estates (AUDE)

- 21 Institutions are reminded that they should seek to maximise value for money by appropriate scheduling of estates work. For example, there may be opportunities to make savings by grouping small items of related work, or by combining DDA work with planned programmes of maintenance or refurbishment.
- 22 In the case of equipment requirements, attention is drawn to the Disability Rights Commission's recently launched research report *Taking Away the Strain: Auxiliary Aids and Services for Disabled Students in Post-16 Education in Wales*. As recommended in that report, the Council is currently considering how the co-ordination of provision for disabled students in Wales might be improved. In the meantime, in preparing their expenditure plans, institutions are encouraged to consider whether there are opportunities for shared inter-institutional use of some items of equipment.

Terms of Payment

- 23 Subject to receipt of acceptable plans, the allocations for 2004-05 will be paid in two equal tranches, in July 2004 and September 2004; those for 2005-06 will be paid in April 2005 and September 2005, subject to confirmation of levels of funding.

Monitoring

- 24 Expenditure of the 2004-05 allocation should be completed by 1 July 2005, and expenditure of the 2005-06 allocation by 1 July 2006. Institutions will be asked at those points to provide confirmation that the funding has been spent in accordance with the agreed plans.

RESPONSES AND FURTHER INFORMATION

- 25 Plans for the use of both the supplementary capital funding allocations for learning and teaching and IT infrastructure and the capital funding for disability provision should be submitted to the Council by **Friday, 28 May 2004**, using the pro formas provided. The completed pro formas should be addressed to Emma Morris, Strategic Projects Manager, Higher Education Funding Council for Wales, Linden Court, The Orchards, Ilex Close, Llanishen, Cardiff CF14 5DZ.
- 26 Any queries arising from this Circular should also be directed to Emma Morris (029 2068 2292; emma.morris@hefcw.ac.uk).

**SUPPLEMENTARY CAPITAL FUNDING FOR LEARNING AND TEACHING
AND IT INFRASTRUCTURE
2003-04**

INSTITUTION	2003/04 TEACHING FUNDING £	SUPPLEMENTARY CAPITAL FUNDING ALLOCATION £
University of Glamorgan	37,048,175	624,408
University of Wales, Aberystwyth	21,544,289	363,106
University of Wales, Bangor	20,195,887	340,381
Cardiff University	44,028,251	742,050
University of Wales, Lampeter	4,148,892	100,000
University of Wales Swansea	23,365,483	393,801
University of Wales College of Medicine	11,274,199	190,015
University of Wales Institute, Cardiff	21,565,579	363,465
University of Wales College, Newport	16,109,775	271,513
North East Wales Institute	12,907,627	217,545
Swansea Institute of Higher Education	11,493,794	193,716
Trinity College, Carmarthen	4,991,050	100,000
Royal Welsh College of Music and Drama	4,763,041	100,000
TOTAL	233,436,042	4,000,000

HIGHER EDUCATION FUNDING COUNCIL FOR WALES

SUPPLEMENTARY CAPITAL FUNDING FOR LEARNING AND TEACHING
AND IT INFRASTRUCTURE
2003-04

EXPENDITURE PLANS

INSTITUTION:	
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ALLOCATION	£
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CONTACT FOR ANY QUERIES	
Name:	
Position:	
Email Address:	
Phone Number:	

SUPPLEMENTARY CAPITAL FUNDING FOR LEARNING AND TEACHING AND IT INFRASTRUCTURE 2003-04

PROPOSED DEVELOPMENT <i>Please name relevant institutional strategy; describe proposed development; and state anticipated benefits.</i>	EQUIPMENT TO BE PURCHASED/ ESTATES WORK TO BE UNDERTAKEN <i>(Please provide itemised list)</i>	EXPENDITURE BREAKDOWN <p align="right">£</p>
<i>Sub-Total</i>		
<i>Sub-Total</i>		

Continue on separate sheets as required

PROPOSED DEVELOPMENT <i>Please name relevant institutional strategy; describe proposed development; and state anticipated benefits.</i>	EQUIPMENT TO BE PURCHASED/ ESTATES WORK TO BE UNDERTAKEN <i>(Please provide itemised list)</i>	EXPENDITURE BREAKDOWN £
<i>Sub-Total</i>		
<i>Sub-Total</i>		
TOTAL		

**SUPPLEMENTARY CAPITAL FUNDING FOR LEARNING AND TEACHING
AND IT INFRASTRUCTURE 2003-04
NOTES OF GUIDANCE ON COMPLETION OF EXPENDITURE PLANS**

- 1 The following guidance is intended to help institutions ensure that the information submitted is sufficient for the Council's purposes and so minimise the need for requests for supplementary information or clarification.

Column 1: Description of Proposed Development

- 2 In this column, you are asked:
- to name the institutional strategy/strategies which relate to the proposed development. (Relevant strategies include the teaching and learning strategy, the widening access strategy, the estates strategy, and disability provision plans.)
 - to describe, in general terms, how the funding will be used. **Please ensure that this description is sufficiently full to provide the Council with a clear understanding of the nature of the proposed development.**
 - to indicate the anticipated benefits of the proposed expenditure.
- 3 Where the proposed expenditure builds on earlier developments supported from HEFCW's capital funding, it would be helpful if this could be indicated.

Column 2: Equipment to be Purchased/Work to be Undertaken

- 4 Please itemise the equipment to be purchased and/or the estates or other work to be undertaken. It is important that the information provided should:
- be sufficiently **specific** and detailed to provide the Council with a clear understanding of how the funding will be used.
 - be **quantified**. For example, if it is intended to purchase additional PCs, the anticipated number of PCs should be stated; similarly, if it is intended to upgrade audio visual facilities in teaching rooms, the anticipated number of rooms to be upgraded should be specified.
- 5 In the case of any proposals involving new build or substantial refurbishment, please state the floor area involved (in square metres – m²)

Column 3: Expenditure Breakdown

- 6 **Column 3 should show the proposed expenditure on each proposed development. Additionally, in the case of developments for which more than one element of expenditure is listed in column 2, corresponding breakdowns of expenditure should be provided in column 3.**
- 7 In the case of any proposals involving new build or very substantial refurbishment work, the Council may subsequently request additional financial information (e.g. option appraisals).

Examples of Good Practice

- 8 A sample section of a completed pro forma is attached as an illustrative example of good practice in order to demonstrate the level of information which is required.

SUPPLEMENTARY CAPITAL FUNDING FOR LEARNING AND TEACHING AND IT INFRASTRUCTURE 2003-04
ILLUSTRATIVE EXAMPLE OF COMPLETED SECTION OF PRO FORMA

<p align="center">PROPOSED DEVELOPMENT</p> <p><i>Please name relevant institutional strategy; describe proposed development; and state anticipated benefits.</i></p>	<p align="center">EQUIPMENT TO BE PURCHASED/ ESTATES WORK TO BE UNDERTAKEN</p> <p><i>(Please provide itemised list)</i></p>	<p align="center">EXPENDITURE BREAKDOWN</p> <p align="right">£</p>
<p>Refurbishment of Undergraduate Pharmacy Laboratory</p> <p>This proposal is consistent with the institution's estates strategy which includes an ongoing programme of refurbishment of major teaching laboratories.</p> <p>It is planned to upgrade the undergraduate Pharmacy laboratory in the Smith building. This laboratory was last upgraded in 1988, since which time the role of the pharmacist and the skills needed in professional practice have changed. This refurbishment will double the size of the facility by incorporating two adjacent rooms and redesigning the available space to accommodate counselling room facilities, a dispensary and an IT supported medicines management suite, thereby addressing the requirements of teaching professional aspects of pharmacy.</p> <p>The area of the main laboratory which is to be refurbished is 80.5 m². The areas of the two smaller areas which are to be incorporated are 19 m² and 21.3 m².</p> <p>The refurbishment of the laboratory will bring facilities up to appropriate modern standards, and also to the level identified by the relevant professional body as being necessary for continued accreditation.</p>	<p>Estates work to incorporate two rooms at either end of the laboratory into the new laboratory suite</p> <p>Flat-screen computers mounted within lab-benches X 48</p> <p>Mobile peninsular benches (with shelving) to accommodate 48 students</p> <p>Glass fronted, lockable wall cupboards for medicine storage</p> <p>Video camera for patient counselling recording</p> <p>Computer projection equipment, screen, blinds, secondary glazing, stand alone air conditioning units (x3)</p>	<p>£X k</p> <p>£X k</p> <p>£X k</p> <p>£X k</p> <p>£X k</p> <p>£X k</p>
	<p><i>Sub-Total</i></p>	<p>£X k</p>

Continue on separate sheets as required

PROPOSED DEVELOPMENT <i>Please name relevant institutional strategy; describe proposed development; and state anticipated benefits.</i>	EQUIPMENT TO BE PURCHASED/ ESTATES WORK TO BE UNDERTAKEN <i>(Please provide itemised list)</i>	EXPENDITURE BREAKDOWN £
<p>Upgrade of Audiovisual and IT facilities in lecture theatres</p> <p>The proposed development is in line with the institution's learning, teaching and assessment strategy, which aims to provide a high quality, well-managed learning environment, and with the estates strategy, which includes plans to upgrade audio visual facilities in all lecture theatres and large teaching rooms over the next three years.</p> <p>The institution has already undertaken substantial upgrading of the audio-visual infrastructure in its large lecture theatres, supported in part from previous HEFCW capital funding allocations. It is proposed to use funding from the present allocation to extend this programme to medium-size lecture theatres in the Faculties of Science, Arts and Humanities and Social Sciences.</p> <p>Facilities will be upgraded on the basis of a standard institution-wide specification for audiovisual and IT equipment which has been approved by the Estates Committee for all lecture theatres and large teaching rooms. Between 8 and 10 rooms will be upgraded with the present funding.</p> <p>Standardisation of equipment will give academic staff greater ability to deliver lectures in any lecture theatre with minimal disruption, thereby increasing the flexibility of the University's teaching space. It will also enhance the quality of students' learning experience.</p>	<p>The following standardised equipment will be installed in at least 8 lecture theatres:</p> <p>Overhead video projector</p> <p>Integral PC projector</p> <p>Networked PC with DVD player</p> <p>NIXAM stereo sound output</p> <p>Interactive whiteboard</p> <p>Induction loop for hearing impaired students</p>	<p>£X k</p> <p>£X k</p> <p>£X k</p> <p>£X k</p> <p>£X k</p> <p>£X k</p>
	<i>Sub-Total</i>	£X k

Continue on separate sheets as required

PROPOSED DEVELOPMENT <i>Please name relevant institutional strategy; describe proposed development; and state anticipated benefits.</i>	EQUIPMENT TO BE PURCHASED/ ESTATES WORK TO BE UNDERTAKEN <i>(Please provide itemised list)</i>	EXPENDITURE BREAKDOWN £
<p>IT Laboratory Upgrades</p> <p>The institution has approximately 400 workstations in six open access IT laboratories across the campus which are heavily used by students across all subject areas. The institution needs constantly to upgrade and replace these workstations as they come to the end of their working life. This is essential in order to ensure that equipment is in good working order in the face of intensive usage, and is capable of running current software which requires high specifications. Students are very IT aware, and the quality and availability of software and equipment in IT laboratories is apparent and can influence their decision on where to study.</p> <p>It is proposed to use funding from the current allocation to purchase approximately 100 PCs, printers and associated software to install in two of the IT laboratories – those in the Faculties of Engineering and Social Sciences. These will replace machines purchased five years ago which are coming to the end of their lifespan.</p> <p>This is consistent with the institution's ICT strategy, which includes the objective of replacing PCs on a five year rolling cycle.</p> <p>The benefits of this investment are that it will:</p> <ul style="list-style-type: none"> • enhance students' learning experience through the availability of high quality PCs capable of running the latest applications • maintain the institution's commitment to match the UK norm for PC:student ratio • help maintain the institution's competitiveness in student recruitment. 	<p>100 PCs, to be located in IT laboratories in the Faculties of Engineering and Social Sciences</p> <p>20 printers</p> <p>Associated software</p>	<p>£X k</p> <p>£X k</p> <p>£X k</p>
	<i>Sub-Total</i>	

ANNEX D

CAPITAL FUNDING FOR DISABILITY PROVISION 2004-05 AND 2005-06

INSTITUTION	2003/04 TEACHING FUNDING £	ALLOCATION 2004-05 £	INDICATIVE ALLOCATION 2005-06 £	TOTAL £
University of Glamorgan	37,048,175	400,803	400,802	801,605
University of Wales, Aberystwyth	21,544,289	233,075	233,075	466,150
University of Wales, Bangor	20,195,887	218,487	218,488	436,975
Cardiff University	44,028,251	476,316	476,316	952,632
University of Wales, Lampeter	4,148,892	75,000	75,000	150,000
University of Wales Swansea	23,365,483	252,778	252,777	505,555
University of Wales College of Medicine	11,274,199	121,969	121,969	243,938
University of Wales Institute, Cardiff	21,565,579	233,305	233,306	466,611
University of Wales College, Newport	16,109,775	174,283	174,282	348,565
North East Wales Institute	12,907,627	139,640	139,640	279,280
Swansea Institute of Higher Education	11,493,794	124,344	124,345	248,689
Trinity College, Carmarthen	4,991,050	75,000	75,000	150,000
Royal Welsh College of Music and Drama	4,763,041	75,000	75,000	150,000
TOTAL	233,436,042	2,600,000	2,600,000	5,200,000

HIGHER EDUCATION FUNDING COUNCIL FOR WALES

CAPITAL FUNDING FOR DISABILITY PROVISION
2004-05 AND 2005-06

EXPENDITURE PLANS

INSTITUTION:	
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ALLOCATION	£
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CONTACT FOR ANY QUERIES	
Name:	
Position:	
Email Address:	
Phone Number:	

CAPITAL FUNDING FOR DISABILITY PROVISION 2004-05 AND 2005-06

PROPOSED DEVELOPMENT <i>Please describe the proposed development.</i>	ESTATES WORK TO BE UNDERTAKEN/ EQUIPMENT TO BE PURCHASED <i>(Please provide itemised breakdown)</i>	EXPENDITURE BREAKDOWN		
		2004-05	2005-06	TOTAL
<i>Sub-Total</i>				
<i>Sub-Total</i>				

Continue on separate sheets as required

Capital Funding for Disability Provision – Expenditure Plans (ctd)

PROPOSED DEVELOPMENT <i>Please describe the proposed development.</i>	ITEMISED BREAKDOWN OF ESTATES WORK TO BE UNDERTAKEN/ EQUIPMENT TO BE PURCHASED <i>(Please provide itemised breakdown)</i>	EXPENDITURE BREAKDOWN		
		2004-05	2005-06	TOTAL
<i>Sub-Total</i>				
<i>Sub-Total</i>				
TOTAL				

Capital Funding for Disability Provision – Expenditure Plans (ctd)

Please indicate below the extent to which proposed expenditure on estates work will reduce your estimate of the total level of investment required to comply with DDA legislation.

Please indicate below the basis on which estates work contained in the proposed expenditure programme has been prioritised for inclusion.