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Cylchlythyr

Circular

## Reconfiguration and Collaboration

**Date:** 30 September 2009  
**Reference:** W09/32HE  
**To:** Heads of higher education institutions in Wales  
Principals of directly-funded further education colleges in  
Wales  
**Response by:** No response required  
**Contact:** Name: Ewen Brierley  
Telephone: 029 2068 2291  
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This circular informs institutions of amendments to the application procedures and assessment processes for proposals to the Reconfiguration and Collaboration Fund and Strategic Development Fund, which are to operate from September 2009 until further notice.

This document is available online, in large print, Braille, on CD and on audio CD and cassette. Should you or someone you know require this in an alternative format, please contact us on (029) 2068 2291 or email ewen.brierley@hefcw.ac.uk.

Noddir gan  
Lywodraeth Cynulliad Cymru  
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## Introduction

1. This circular informs institutions of amendments to the application procedures and assessment processes for proposals to the Reconfiguration and Collaboration Fund and Strategic Development Fund, which are to operate from September 2009 until further notice. It also provides notice of HEFCW's criteria for the handling of proposals to these Funds.

## Background

2. The **Reconfiguration and Collaboration Fund (RCF)** was launched in July 2002 as part of HEFCW's response to Reaching Higher, the Assembly Government's ten year strategy for Higher Education published earlier that year. Circular W02/48HE, (20 July 2002), and Circular W03/65HE, (11 November 2003), detailed the aims of the RCF, the processes by which proposals were to be assessed and the arrangements for making applications to the Fund under this first phase.
3. Following a Ministerial statement to the Welsh Assembly Government on 9 June 2004 announcing a next phase of Reaching Higher, a second phase of the RCF was launched in July 2004. Circular W04/48HE (22 July 2004) detailed the arrangements for making applications to the Fund under this second phase.
4. A large number of landscape changing bids received support under the second phase of the RCF and details of these developments are provided at [http://www.hefcw.ac.uk/policy\\_areas/strategic\\_change/reconfig\\_collab.aspx](http://www.hefcw.ac.uk/policy_areas/strategic_change/reconfig_collab.aspx). Given the scale of ongoing commitments and the number of current applications to the Fund, HEFCW Council agreed that a prioritisation of proposals would be required in order to avoid a potential over-commitment of the Fund. This prioritisation also ensures that the greatest possible impact is achieved for HEFCW's investment. The opportunity has also been taken to update the criteria in the light of evolving Assembly Government policy and the [Wales Audit Office review of Collaboration between Higher Education Institutions](#). The processes by which proposals are assessed have been modified accordingly, together with the arrangements for making applications to the Fund.
5. The **Strategic Development Fund (SDF)** was launched in May 2005 in response to a Ministerial expectation that HEFCW should deploy other funding streams, specifically the core grant, to provide further incentives for action within the principles of Reaching Higher. Circular W05/27HE (20 May 2005) detailed the aims of the SDF, the arrangements for inviting applications to the Fund and the processes by which proposals were to be assessed. In general, the SDF is used to support proposals which HEFCW invites the sector to develop, rather than bids submitted directly by institutions through an open submission process.

6. In order to ensure a coordinated approach to considering all strategic funding proposals, the Council has established a new Reconfiguration and Collaboration Committee. This Committee will: advise the Council on guidance for higher education institutions relating to both the RCF and SDF; consider proposals from institutions for RCF and SDF developments and make recommendations to the Council on support from these Funds. The arrangements for operation of the SDF have been refreshed in the light of these revised Committee arrangements and an internal review of the operation of the Fund.
7. In issuing this refreshed guidance, we have taken account of issues raised by the [report of the Wales Audit Office Value for Money Study of Collaboration between Higher Education Institutions](#), published 14 January 2009. We are also conscious of the potential need for further amendment in the near future following the outcomes of the Task and Finish Group on Higher Education in Wales. We will consider what further changes will be necessary as the position clarifies.

#### **Reconfiguration and Collaboration Fund (RCF): purpose**

8. **The RCF aims to support the reshaping of the Welsh HE sector to deliver major performance gains and enhanced competitiveness.** Applications to the RCF will need to clearly reflect this. The RCF may continue to support developments including well-founded mergers; and strategic collaboration in administrative, teaching, research or third mission activities.
9. The RCF may also support cross-border collaborative developments with UK HEIs outside of Wales, and collaboration with other public-sector organisations, where these provide appropriate performance and competitiveness benefits to Welsh HE. However, it should be noted that only those cost elements relating to Welsh HE partners will be eligible for RCF support.

#### **RCF: application process**

10. HEFCW will continue to operate a two stage application process: an initial Expression of Interest to inform discussions with officers from HEFCW's Executive, and then, if appropriate, a fully developed proposal for formal consideration by the Reconfiguration and Collaboration Committee and the Council.
11. Expressions of interest should be made using the proforma at Annex A. Electronic copies of this Expression of Interest proforma are available with this circular under the Circulars section on HEFCW's website, [www.hefcw.ac.uk](http://www.hefcw.ac.uk). An Expression of Interest must demonstrate that the

proposed development will bring about 'landscape change' in Higher Education and is:

- Substantial;
- Structural;
- Sustainable;

and has

- A unified management structure; and
- The capacity to deliver greater benefits than institutions acting alone.

12. Each Expression of Interest proforma should be accompanied by covering letter(s) (electronic or hard-copy), signed by the heads of all the institutions (or other public sector bodies) party to the proposed collaboration as evidence of their commitment to engage with the process.
13. Discussions between HEFCW officers and senior officers of the institutions concerned will identify and seek to resolve any immediate issues raised by the initial Expression of Interest, and then, if appropriate, the submission of a Full Proposal will be invited.
14. In order to ensure that all new Full Proposals contain the information necessary to enable their prioritisation, bids should be developed using the proforma at Annex B. Electronic copies of this Full Proposal proforma are available with this circular under the Circulars section on HEFCW's website, [www.hefcw.ac.uk](http://www.hefcw.ac.uk). Only when documentation is complete and robust, will it be referred to the Council's Reconfiguration and Collaboration Committee for consideration.
15. In order to allow the prioritisation of Full Proposals, it is the intention that these will be considered by the Reconfiguration and Collaboration Committee on a twice-yearly basis. The closing dates for receipt of Full Proposals for consideration by the Committee will be **30 April** and **31 October**. Due to the requirement for HEFCW Officers to analyse proposals, seek external advice and prepare documentation prior to each Committee meeting, Full Proposals submitted after these dates will be held until the subsequent meeting.
16. Early discussions with officers are invited, at any time, to ensure bids are fully developed before they are submitted and that the Council's requirements (e.g. equality and diversity) are covered.

#### **RCF: assessment process**

17. Full Proposals will be considered by the Council's Reconfiguration and Collaboration Committee, which will make recommendations to the full Council. The Committee's constitution, membership and terms of reference are provided at Annex C. Where appropriate, the Committee may seek advice from third parties, such as the Welsh Assembly Government, Research Councils and independent academic referees.

18. The Committee will assess each proposal to ensure that it addresses the following criteria. The proposal:
  - a. Provides a clear strategic vision of what is to be delivered, together with justification that this vision and the proposed means of achieving it are appropriate;
  - b. Provides clarity over how the proposal would deliver key elements of relevant Welsh Assembly Government priorities, as expressed in *Transforming Education and Training Provision in Wales* ([http://new.wales.gov.uk/topics/educationandskills/policy\\_strategy\\_and\\_planning/skillsthatforwales/?lang=en](http://new.wales.gov.uk/topics/educationandskills/policy_strategy_and_planning/skillsthatforwales/?lang=en)), *Reaching Higher, One Wales*, the *Science Strategy* and other such policy statements;
  - c. Demonstrates profound and enduring landscape change in the Welsh HE sector, and potentially other substantial wider benefits, that would warrant support from the RCF (e.g. impact on the wider Transformation agenda for education and training in Wales);
  - d. Shows how the partner institutions will play into the proposed development to deliver greater benefits than the institutions acting alone;
  - e. Provides realistic financial plans that show the sustainability of the development beyond the period of any HEFCW funding;
  - f. Demonstrates support from other relevant funding bodies in the case of proposals involving cross-border or cross-sectoral collaboration;
  - g. Shows appropriate management that will ensure both successful delivery and the cohesiveness of the development on an ongoing basis;
  - h. Provides a suitable implementation plan with information on the timescale for delivery, targets and deliverables;
  - i. Shows an appreciation of the risks and how they are to be managed; and
  - j. Demonstrates that the impact on equality and diversity has been appropriately assessed.
  
19. In addition to the above criteria, further examples are provided below of features of a proposal that would either reinforce or undermine a case for support:

Reinforcing	Undermining
<ul style="list-style-type: none"> <li>• Clear sense that proposal is a strategic priority for all partners, with real institutional buy-in</li> <li>• Sense that activities of partner institutions are to be permanently integrated/reconfigured under a unified management structure</li> <li>• Clear sense that the proposal would deliver significant added value</li> <li>• Strong emphasis on strategic outcomes of the proposal (e.g. wider benefits for Wales)</li> <li>• Strong/clear leadership with a capacity to allocate resources differentially between partners, according to overall strategic need</li> <li>• Plausible argument over potential sustainability post-funding (e.g. income streams and/or willingness to support any new posts)</li> <li>• Clear self-reflective analysis of strengths/weaknesses of partners, and where strengthening is needed</li> <li>• Clear sense of who the major competitor/comparator organisations are, and why this proposal will enable parity with them.</li> </ul>	<ul style="list-style-type: none"> <li>• A bid for funding with no real sense of strategic priority to all partner institutions</li> <li>• Appearance of a loose network (e.g. research network) with limited integration/reconfiguration of partner institutions' activities</li> <li>• No real sense that proposal will deliver greater benefits than partners operating individually, as a limited partnership or as a loose network</li> <li>• Emphasis on proposal inputs (e.g. more staff) with no real sense of strategic outcomes</li> <li>• No real sense of firm leadership</li> <li>• Limited evidence to support sustainability post-funding (e.g. income projections and support for, or underwriting of, new posts)</li> <li>• Even division of any new staff posts across partners with no clear assessment of where most needed</li> <li>• No clear sense of who the major competitor/comparator organisations are, and why this proposal will enable parity with them.</li> </ul>

20. It should be noted that the RCF will not normally provide support for Masters or PhD studentships.

21. The Committee will prioritise suitable proposals for support on the basis of: the degree of contribution to HEFCW and Welsh Assembly Government strategic priorities and the urgency of timescale for implementation. The scoring method used to ensure consistency in the Committee's recommendations is available at [www.hefcw.ac.uk](http://www.hefcw.ac.uk).
22. HEFCW will need to apply to the Welsh Assembly Government for the release of funding if the cost of the proposal is over £200,000, has a substantial capital element, or if the proposal is considered novel or contentious. In this context, HEFCW must be in a position to demonstrate a case to the Welsh Assembly Government that is sound in relation to the objectives of the action proposed, specifies measurable strategic outcomes linked to those objectives, and gives details of arrangements for monitoring and evaluating the work, both on an ongoing basis and on completion. While HEFCW will work with institutions to ensure it is in such a position, much of the onus in this respect will inevitably and properly lie with the bidding institution(s).

### **Strategic Development Fund (SDF): purpose**

23. **The purpose of the SDF is to drive strategic change by supporting collaborative initiatives, and initiatives within individual institutions, that will significantly address the *Reaching Higher* agenda and other relevant Welsh Assembly Government priorities**, but at a level lower than, or of a character different from, that which would be appropriate for the RCF. Illustrative examples (by no means exhaustive) of potential uses of the fund include:
  - Development of management capability shared between institutions (e.g. to address procurement, HR and sustainability issues);
  - Collaboration in teaching and learning including pedagogical innovation (e.g. technology enhanced learning);
  - Subject rationalisation;
  - Development of Third Mission activity between institutions and with external partners;
  - Pump priming development of research infrastructure between institutions; and
  - Contributing to funding proposals involving other parties such as Assembly partners, the Research Councils and major charities, or other UK-wide agendas – particularly where a small investment by HEFCW could help secure a much larger investment from other, especially UK-wide, sources.

### **SDF: application process**

24. Reflecting the intention that SDF will be a fund for strategic developments, proposals will be invited by HEFCW in the light of issues emerging from dialogue with heads of institution and other partners in Wales or the wider

UK. The SDF will also be used to support strategic developments agreed by the Council (e.g. Matched Funding Scheme for Voluntary Giving), which may not always be subject to the proposal process outlined below.

25. The fund will not be available to support initiatives which could reasonably be wholly supported by the Research Councils or other funding bodies, including HEFCW core funding; neither will it normally be available to support studentships. There is limited funding available and the Committee will take care to assess value for money to enable a strategic approach to funding.
26. The submission of proposals will be a two-stage process: an initial expression of interest and then normally, if appropriate, a more developed proposal or additional information for formal consideration by the Reconfiguration and Collaboration Committee. The initial expressions of interest will be made on standard proforma which will be issued when proposals are invited by HEFCW.

#### **SDF: assessment process**

27. Full Proposals will be considered by the Council's Reconfiguration and Collaboration Committee, which will make recommendations to the full Council. The Committee's constitution, membership and terms of reference are provided at Annex C. Where appropriate, the Committee may seek advice from third parties, such as the Welsh Assembly Government, Research Councils and independent academic referees.
28. The Committee will assess each proposal to ensure that it demonstrates:
  - a. How it will address key elements in *Reaching Higher*;
  - b. How it relates to institutional Strategic Plans;
  - c. What the benefits will be for each participating institution and for Wales;
  - d. How the activity will be sustained beyond the funding period;
  - e. That it will lead to significant and sustainable change in processes or activities within, or between, institutions;
  - f. Evidence of demand - how the activity will meet a clearly expressed existing need;
  - g. Feasibility – how the work will be achieved within the proposed timescale, given the skill sets and experience available to the proposers;
  - h. That the same activity is not being concurrently funded from another source – this does not prohibit a proposal having contributions from two or more sources, if they are clearly funding different aspects of the activity which can be separately accounted for;
  - i. What contributions the proposers or other partners will themselves make; and
  - j. That the impact on equality and diversity has been appropriately assessed.

29. We would not normally expect any one institution to be the lead partner on more than two proposals in any year. However, there will be no restriction on the number of proposals that an institution can be involved in as a partner. Dialogue between HEFCW and institutions will normally be initiated through the office of the Vice-Chancellor or Principal.

### **Submission of proposals to the RCF and SDF**

30. Expressions of Interest and Full Proposals should be submitted to HEFCW for the attention of Dr Ewen Brierley ([ewen.brierley@hefcw.ac.uk](mailto:ewen.brierley@hefcw.ac.uk)).
31. The closing dates for receipt of Full Proposals for consideration by the Committee will be 30 April and 31 October. There will be no closing dates for the receipt of Expressions of Interest. Early discussions with HEFCW officers are invited, at any time, to discuss the potential timescales for development and submission of proposals.

### **Handling of proposals to the RCF and SDF**

32. HEFCW Officers will provide comment on drafts of Expressions of Interest or Full Proposals on request. Whilst Officers will endeavour to provide comment within a suitable timescale, due consideration should be given by proposers to the closing dates for submission when seeking feedback on drafts of Full Proposals.
33. HEFCW will adhere to the following standards when handling proposals formally submitted to the RCF and SDF:
- Officers will acknowledge receipt of Expressions of Interest and Full Proposals within fifteen working days. This acknowledgement will indicate the timescale for a formal response.
  - Officers will inform proposers if the timescale for consideration subsequently alters.
  - The Reconfiguration and Collaboration Committee will consider all suitable RCF Full Proposals objectively using the assessment criteria and prioritisation method when making recommendations to the Council on support.
  - Officers will inform proposers of the Council's decision on support within ten working days of the decision being made.
  - Where a proposal has not been supported and/or not to the level sought, proposers will be provided with feedback on the reasons for the decision.
34. For RCF proposals supported by the Council, HEFCW Officers will actively work with proposers to develop the submission to the Welsh Assembly Government to request the release of funding (where required). Officers will endeavour to ensure that the submission is made at the earliest

reasonable opportunity. Officers will notify proposers at the earliest opportunity of the likely timescale for the Welsh Assembly Government decision on the release of funds.

35. To assist institutions in the development of viable proposals, the outcome of all RCF applications formally considered will be published on the HEFCW website, with reasons for acceptance or rejection. Detailed feedback will be provided to the partner institutions.

### **Involving our stakeholders**

36. HEFCW is committed to making equality a core issue in developing and implementing our policies and services, and evaluating and refining those approaches to advance the equality agenda. HEFCW has a legal responsibility to assess the impact of our policies in regards to the six equality strands (age, disability, gender, race, religion/belief and sexual orientation) and to set out how we will monitor or address any possible negative impact. An equality impact assessment (EIA) should improve HEFCW's work by making sure we do not discriminate in our services, functions, policies and employment and ensuring, where possible, we do all we can to promote equality and good relations between different groups. It also helps us when drafting policies to carefully consider the likely impact of our work and take action to improve it and ensure that, as far as possible, we eliminate any negative consequences.
37. If you would like to contribute to HEFCW's EIA processes or become more actively involved in the development of any HEFCW policy, please contact us at [equality@hefcw.ac.uk](mailto:equality@hefcw.ac.uk) to be added to our stakeholder database. Any information is stored safely and confidentially and will not be shared with institutions or third parties. The outcomes of our impact assessments, including the assessment of this policy, are available from our website at [www.hefcw.ac.uk](http://www.hefcw.ac.uk).

### **Further information**

38. For further information, contact Ewen Brierley (tel 029 2068 2291; email [ewen.brierley@hefcw.ac.uk](mailto:ewen.brierley@hefcw.ac.uk)) or Celia Hunt (tel 029 2068 2224; email [celia.hunt@hefcw.ac.uk](mailto:celia.hunt@hefcw.ac.uk)).
39. If you need to submit documentation in an alternative format, please contact us on one of the above numbers.

## Reconfiguration and Collaboration Fund: Expression of Interest

This document is available online, in large print and electronically on CD.  
Should you or someone you know require this in an alternative format, please  
contact us on (029) 2068 2291 or email [ewen.brierley@hefcw.ac.uk](mailto:ewen.brierley@hefcw.ac.uk).

### Lead Institution:

### Partner Institution/s (or other public-sector partner/s):

### Administrative Contact:

Name
Tel No
E-mail

### Title of proposal:

**Indicative level of funding and period of funding** (eg £0.5 million for each of  
three years)

### Objective of the proposal (what it is intended to achieve)

### Rationale for the proposal (why it is being suggested)

**Brief description of the activity proposed** (how it is proposed to achieve the objective and how it will be sustained beyond the funding period)

**Funding** (a short narrative breakdown of indicative funding by element over the period of funding. Separately, the amount of institutional contribution proposed)

**Management Arrangements** (a brief description of the arrangements for managing the proposal while it is in progress)

**Risk and Impact Assessments** (a brief assessment of the key risks and a brief description of the arrangements for equality impact assessment)

Completed forms should be returned to: Dr Ewen Brierley, Senior Strategic Development Manager, Higher Education Funding Council for Wales, Linden Court, Ilex Close, Llanishen, Cardiff, CF14 5DZ ([ewen.brierley@hefcw.ac.uk](mailto:ewen.brierley@hefcw.ac.uk)).

## **Reconfiguration and Collaboration Fund: Full Proposal and Business Plan**

This document is available online, in large print and electronically on CD.  
Should you or someone you know require this in an alternative format, please  
contact us on (029) 2068 2291 or email [ewen.brierley@hefcw.ac.uk](mailto:ewen.brierley@hefcw.ac.uk).

### **Lead Institution:**

Please designate a single institution as the administrative lead.

### **Partner Institution(s) (or other public-sector partner/s):**

Please also provide confirmation of support from Vice-Chancellors/Principals of  
partner institutions (letters of support may be attached as annexes to the  
proposal).

### **Administrative Contact:**

Name

Tel No

E-mail

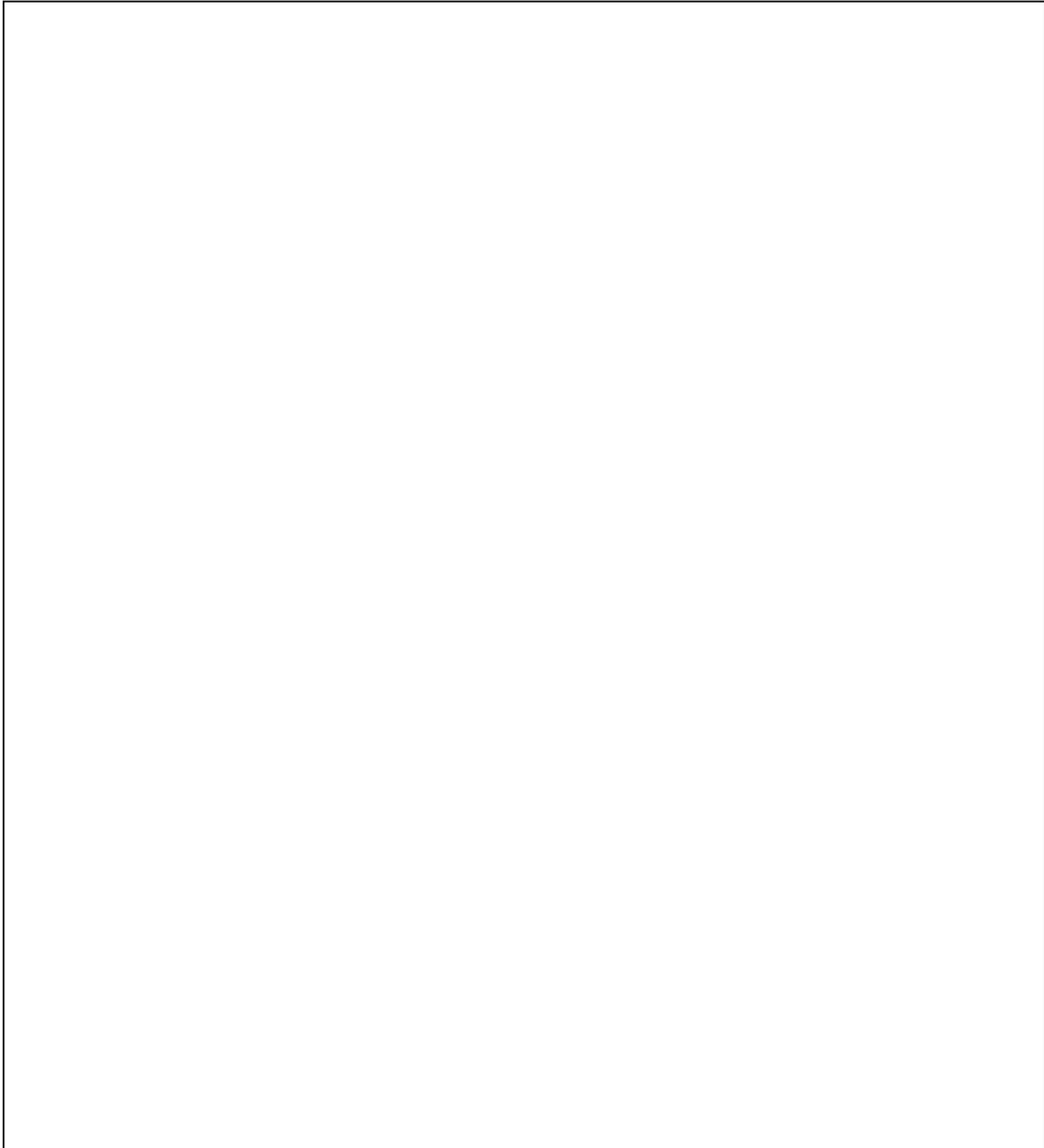
### **Title of Proposal:**

## **1. Executive Summary**

Please provide a brief summary of the proposal

## 2. Background

Please provide information on the issues and opportunities that have led to the development of this proposal, including reference to any relevant existing collaboration. ***For merger proposals*** - this should focus on the reasons for the merger being proposed and how the proposed merger would address these issues.

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### 3. Strategic Vision

a) *Aims and objectives*. Please outline the aims and objectives of the proposed development, including:

- The relationship to the institutions' missions, strategic plans and overall Reconfiguration and Collaboration plans.

*This should address assessment criterion a.*

b) *Impact*. Please provide a statement of the likely impact of the proposed development including:

- The degree of 'landscape change' in the Welsh Higher Education sector;
- An explanation of how the proposal fits with, and impacts on, HEFCW and Welsh Assembly Government priorities for Higher Education and other policy areas e.g. Reaching Higher, One Wales, Science Policy etc;
- The particular benefits and outputs, both financial and non-financial; and
- The likely impact, both regionally and nationally in Wales.

*This should address assessment criteria b. and c.*

c) *Appraisal of options*. Please explain how the proposed development was identified as the most appropriate means of addressing the issues identified in Section 2 including:

- Details of the other options considered and an explanation of why these were discounted.
- The case for the preferred option. The status-quo should be used as the base case for considering the various options. Where available, supporting information should be attached as an annex to the proposal.
- ***For merger proposals*** - the appraisal of options should also compare the proposed merger option against: achieving better use from existing facilities and capabilities of institutions; collaboration with other institutions and merger with (an) other institution(s), where feasible. A financial analysis should be included for the most feasible options, together with an assessment of the key risks associated with each option and a sensitivity analysis.

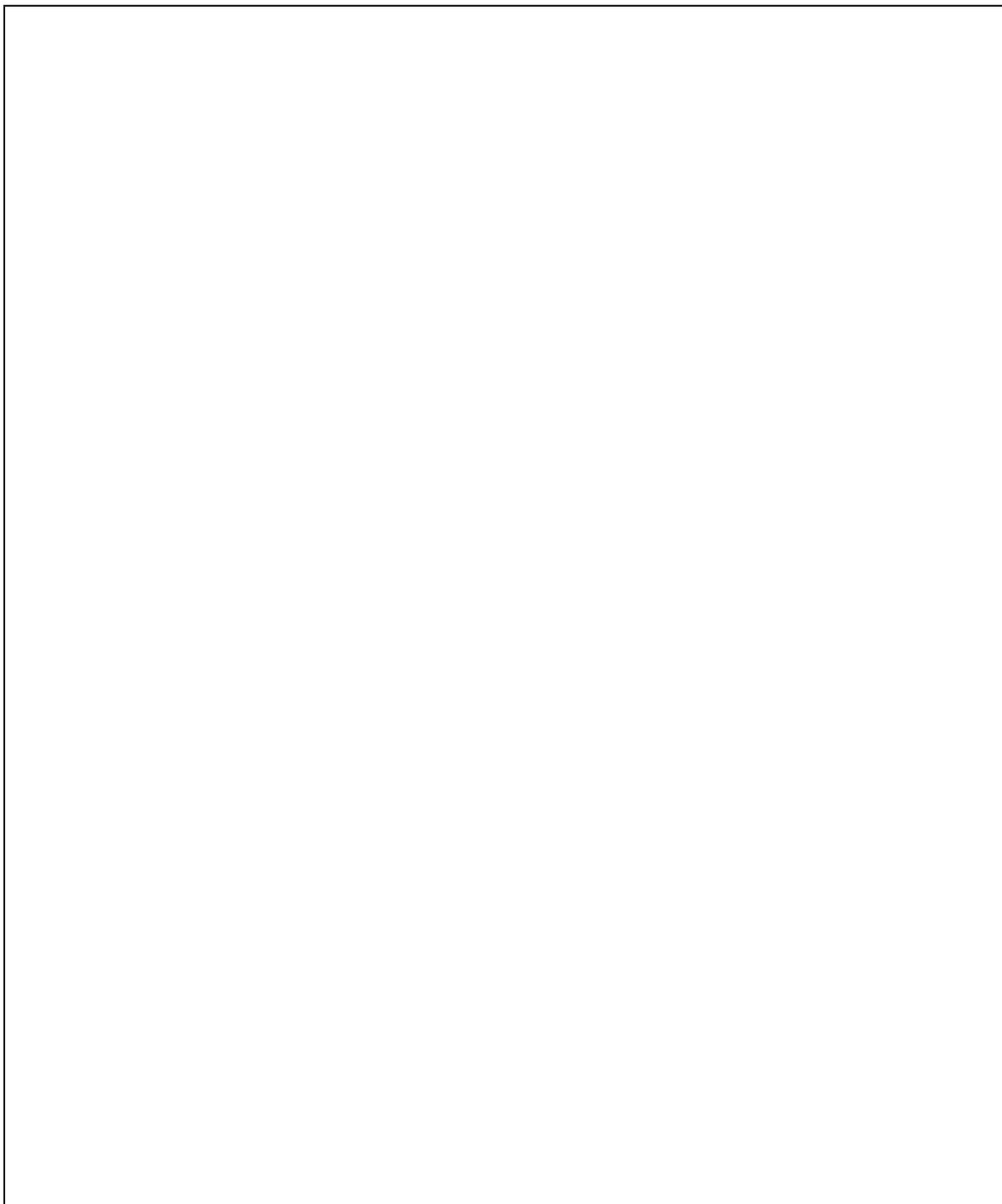
*This should contribute to addressing assessment criterion d.*



#### **4. The Proposal**

Please outline the proposed development including key outputs and outcomes (continue on additional sheets as necessary).

*This should contribute to addressing assessment criterion d.*

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## 5. Implications

a) Please provide a summary of the implications of the proposed development for:

- Estates and other physical infrastructure, including additional capital requirements; disposal of buildings etc;
- Staff numbers, by category; and
- Student numbers, e.g. in relation to uncertainty affecting recruitment.

b) Please provide a summary of your assessment of the impact on stakeholders, including on equality and diversity:

- Students;
- Staff; and
- Other stakeholders, e.g. NHS, Research Councils

*This should address assessment criterion j.*

## 6. Financial Information

***All relevant financial information in sections a), b) and c) below should also be reflected in the accompanying spreadsheet, with costs and income projected over a ten year period from the start of the project to illustrate financial sustainability.***

*This should contribute to addressing assessment criteria e. and f.*

### a) Costs

Please provide a summary of the costs associated with the proposed development.

b) Income and/or cost savings

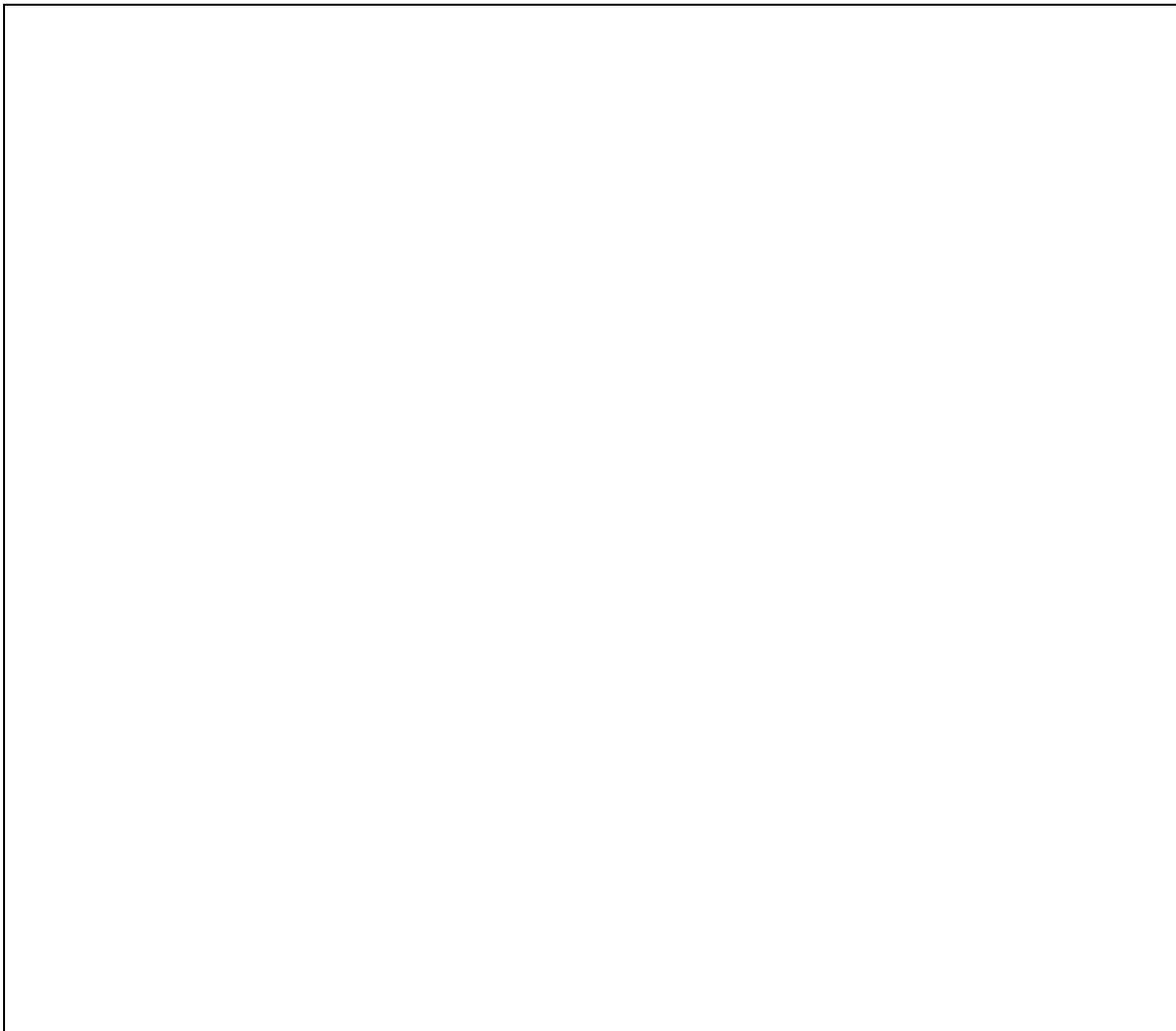
Please provide an assessment of the predicted financial benefits directly attributable to the proposed development:

- Incremental income *e.g.* increases in research grant funding, with an explanation of income sources; and
- Cost savings (*e.g.* from the integration of functions) arising in the short, medium and long term and the proposed re-deployment of these savings (*e.g.* to invest in facilities or to repay HEFCW for cash-flow assistance).

c) Financial Support

Please provide a statement of the financial support for the proposed development, including:

- A statement of financial contributions by source: HEFCW, institutional contributions, loans, private investment, other public investment (e.g. government departments, SRIF, Research Councils etc) and appropriate UK funding bodies for cross-border collaborations;
- The particular aspects of the proposed development to be covered by the finance from the various sources (N.B. HEFCW will only support Welsh HE partner elements);
- Any restrictive conditions attached to financial support; and
- The form of any institutional contributions: as cash (e.g. a contribution to any new staff appointments, capital works etc) and/or the use of existing resources (e.g. use of existing staff, equipment, buildings etc).



d) Payment Profile

Please provide a proposed profile of payments in respect of the requested HEFCW funding. This should fit with the breakdown of funding by financial year in the appended spreadsheet.

- Payments may be made on a monthly, quarterly or other basis.
- The profile must reflect the expenditure on the project as payments may not be made in advance of need.

Financial Year (April- March)	2009-10	2010-11	2011-12	2012-13	2013-14	2014-15	2015-16
	£	£	£	£	£	£	£
April							
May							
June							
July							
August							
September							
October							
November							
December							
January							
February							
March							

e) Due Diligence (***Please Complete for Merger Proposals***)

Please provide a summary of legal and financial due diligence findings (N.B. The submission of full due diligence documentation may be requested by HEFCW officers). Supporting information may be attached as an Annex.

*This should contribute to addressing assessment criterion i.*

## 7. Sustainability

Sustainability is a key criterion for support from the Reconfiguration and Collaboration Fund. Please provide a statement explaining how the proposed development is to be sustained beyond the period of HEFCW funding. This should include:

- Information to explain how the development is to be sustained financially. This should be supported by the ten-year financial projections in the spreadsheet accompanying the proposal.
- An explanation of how the management structure and/or collaborative processes will ensure the integrated nature of the development will be sustained.
- Any other factors that will ensure the development will remain integrated.

*This should contribute to addressing assessment criteria e. and g.*

## 8. Risk Assessment

Please outline the **financial and non-financial** risks associated with the implementation of the proposed development including:

- Explanation of the degree of risk; and
- How the risks are to be managed/mitigated.
- Where available, supporting information should be included as annexes to the proposal. For example, for research related proposals, information on the track record of partner institutions (e.g. summary cvs of key academics) may be supplied to illustrate a low risk associated with the achievement of research income targets.

*This should address assessment criterion i.*

RISK (INCLUDING DEGREE)	HOW RISK IS TO BE MANAGED

## 9. Implementation Plan

***The Implementation Plan should describe how the reconfiguration will be managed as a project between the partners, and should include a Management Plan, a Timetable for the development and statements of targets and deliverables.***

### a) Management Plan

Please provide a statement of the arrangements to be put in place to ensure effective management, including:

- Details of the unified management structure that is to be established (a diagram of the structure may be included or attached as an annex to the proposal), including any plans for a transitional phase;
- Details of formal project management processes;
- Arrangements for resolution of disputes;
- Arrangements for ongoing consultation with stakeholders, where appropriate;
- Details for any dedicated staff resource should also be included; and
- ***For merger proposals*** - evidence of the commitment of the governing bodies of the institutions to merger, including a formal statement of agreement that the governing bodies accept the proposed governance arrangements and responsibilities of the new institution.

*This should contribute to addressing assessment criterion g.*

b) Timetable

Please provide an outline of how the proposed development is to be implemented including key stages and dates, indicating the degree of urgency attached to the proposed timescale.

*This should contribute to addressing assessment criterion h.*

A large empty rectangular box with a thin black border, intended for the user to provide a timetable outline as requested in the text above.

c) Strategic Outcomes

Please provide details of strategic outcomes for the proposed development. These will enable an evaluation of whether the overall objectives of the development have been achieved at a suitable point following completion of the HEFCW funding period. The strategic outcomes should be accompanied by clear SMART measures.

Examples are provided below:

1. To be recognized internationally as an interdisciplinary research institute promoting excellence in research, and contributing to the future direction of the field of ...

*Measured by:*

- Incremental research income of £x million by ...
- An improved research publication record with an increase in the level of research relevant publications from the current x to y per year by...

2. Improved cost effectiveness...

*Measured by:*

- Annual procurement cost savings of £x per year by...
- A reduction in management and overhead costs of y% by...

3. A single world class institution ...

*Measured by:*

- A single institutional structure...
- Harmonisation of academic framework by ...
- Implementation of planned facilities improvements by...

*This should contribute to addressing assessment criterion h.*






## 10. Confirmation of Institutional Involvement and Strategic Prioritisation of Proposal

Vice-Chancellors/Principals of all partner institutions, and Chief Executives (or equivalent) for other public-sector bodies, are requested to provide their signature below as confirmation of support and to prioritise this proposal against those other bids in which their institution is involved.

Partner Institution/Organisation				
Signature of Vice-Chancellor/Principal, or Chief Executive (or equivalent) for other public-sector bodies	..... Date:	..... Date:	..... Date:	..... Date:
Prioritisation of R&C bids for each institution				
1 <sup>st</sup>				
2 <sup>nd</sup>				
3 <sup>rd</sup>				
4 <sup>th</sup>				
5 <sup>th</sup>				

Please continue on an additional sheet where necessary.

**Completed forms should be returned to: Dr Ewen Brierley, Senior Strategic Development Manager, Higher Education Funding Council for Wales, Linden Court, Ilex Close, Llanishen, Cardiff, CF14 5DZ ([ewen.brierley@hefcw.ac.uk](mailto:ewen.brierley@hefcw.ac.uk)).**

## Reconfiguration and Collaboration Committee Remit

### 1. Constitution

A Committee of the Council to be known as Reconfiguration and Collaboration Committee (the Committee) established with the following Terms of reference and standing orders by a resolution of the Council dated the 12 day of December 2008, amended 30 January 2009.

### 2. Terms of Reference

The Committee shall:

- a) advise the Council on guidance for higher education institutions wishing to pursue, or pursuing, strategic development projects; reconfiguration, including merger; and collaboration, keeping the guidance under review and advising the Council on its development as appropriate.
- b) consider institutions' proposals for strategic development projects and reconfiguration and collaboration, and advise the Council accordingly.
- c) assess applications to the Reconfiguration and Collaboration Fund or Strategic Development Fund for funding to support strategic developments and reconfiguration and collaboration and make recommendations to the Council, having regard, where appropriate, to advice from the Council's Audit and Risk Committee.
- d) consider any matters referred to the Committee by the Council

### 3. Standing Orders

- 3.1 The standard HEFCW Committee Standing Orders shall apply.

#### 3.2 Membership and Attendance

- 3.2.1 The Committee shall comprise up to six members, including three members from within the membership of the Council, one of whom will chair the Committee; up to two members will be co-opted non-Council members and the Chief Executive (ex-officio). The current membership of the Reconfiguration and Collaboration Committee is:

*Council:* Dame Alexandra Burslem (Chair)  
Sir Brian Smith  
Professor Garel Rhys CBE

Professor Philip Gummatt (HEFCW Chief Executive)

*Co-opted:* Professor Ian Halliday CBE FInstP FRSE, Chief Executive of the Scottish Universities Physics Alliance (SUPA), President of the European Science Foundation and former Chief Executive of the Particle Physics and Astronomy Research Council (PPARC).

- 3.2.2 The quorum for Committee meetings is three members, including the Chair or his/her nominee.
- 3.2.3 The Director of Strategic Development, Director of Finance and Corporate Services and Head of the Strategy Learning and Funding Team shall normally attend the meetings of the Committee.
- 3.2.4 The Senior Strategic Development Manager shall service the Committee.

### **3.3 Authority**

- 3.3.1 In general, the Committee is an advisory body with no executive powers. However, the Chair jointly with the Chair of the Council or his nominated deputy has delegated authority to approve support for proposals to the Strategic Development Fund, where urgent decisions are required.

May 2009