

Cylchlythyr

Circular

Higher Education Data Requirements 2010/11

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Principals of directly-funded further education colleges in
Wales
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This circular informs institutions of the higher education (HE) data used to calculate funding allocations; to monitor progress towards the For our Future indicators; to monitor equal opportunities; to monitor Initial Teacher Training (ITT) provision leading to Qualified Teacher Status (QTS); to monitor recruited full-time undergraduate new entrants against maximum student numbers; for publication; and to inform policy.

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Introduction

- 1 This circular informs institutions of the higher education (HE) data used for the following purposes:
 - the calculation of funding allocations;
 - monitoring progress towards the For our Future indicators;
 - monitoring equal opportunities;
 - monitoring Initial Teacher Training (ITT) provision leading to Qualified Teacher Status (QTS);
 - monitoring recruited full-time undergraduate and PGCE new entrants against maximum student numbers;
 - publication; and,
 - informing policy.

Sources of Data

- 2 The Higher Education Funding Council for Wales (HEFCW) uses data from its own surveys, from the Welsh Assembly Government (WAG) Lifelong Learning Wales Record (LLWR) and data collected by the Higher Education Statistics Agency (HESA). Other data relating to HE, such as GO Wales monitoring data, WAG A4B data and WAG Assembly Learning Grant (ALG) data are also used.
- 3 HEFCW collects data from HE institutions (HEIs) and further education institutions (FEIs) in Wales through:
 - the higher education students early statistics (HESES) survey;
 - the end of year monitoring (EYM) of higher education enrolments survey;
 - the research activity survey (RAS); and,
 - the student and staff and the For our Future indicator forecasts requests (for HEIs only).
- 4 The WAG LLWR record provides student and qualifications data for FEIs in Wales.
- 5 HESA collects data from all HEIs in the UK on:
 - student activity;
 - finance;
 - higher education business and community interaction (HEBCI);
 - staff; and,
 - estates.
- 6 Readers of this circular are assumed to be familiar with the HESES and EYM surveys, the RAS and HEBCI surveys (HEIs only), the HESA records (HEIs only), the 2008 Research Assessment Exercise (RAE) (HEIs only) and the LLWR (FEIs only). The latest HESES, EYM, RAS and forecasts requests circulars are available on the HEFCW website (www.hefcw.ac.uk); the latest

HESA data manuals are available on the HESA website (www.hesa.ac.uk); RAE circulars are available on the RAE website (www.rae.ac.uk); and the latest LLWR manuals are available on the WAG website (www.wales.gov.uk). Links to the HEFCW circulars and these websites can also be found in the 'Working with Higher Education Providers', 'Data collection and funding calculations' area of the HEFCW website.

- 7 A new HESA student record was introduced for 2007/08. Therefore, data collected since its introduction have only been available for analysis for a limited period of time. Further analysis of the record may suggest that revisions to the mappings shown in this circular are necessary and these will be notified to institutions.

Ensuring the accuracy of HESA data

- 8 For 2003/04 funding allocations onwards, HESA data used in the allocation of teaching and PGR training funding have been subject to confirmation by HEIs that HEFCW have correctly extracted the data from the HESA records. HEIs have not been able to make amendments to data during the confirmation process if their HESA data are incorrect.
- 9 As HEFCW will not accept amendments to HESA data used for funding, it is important that HEIs are confident that their HESA data are correct before final returns are made to HESA and the data are signed off. HEIs should take note of any discrepancies in their HESA data that have been found in past years, including those flagged up as part of the data quality analysis carried out by HEFCW, or problems that HESA have brought to their attention. In particular, HEIs should ensure that they study in detail the check documentation produced by HESA when they commit their data and make any necessary amendments as a result before signing off the data.
- 10 Exceptionally, if there is an error in an HEI's HESA data, and this error would lead to the HEI being allocated funding greater than that to which it is entitled, the HEI will be expected to notify HEFCW so that the funding can be adjusted accordingly.
- 11 HESA data are also used in the calculation of the indicators contained within the annual *Performance Indicators in Higher Education in the UK* (PIs) publication for HEIs. HESA produce PIs on behalf of all the HE Funding Councils of the UK. In the past, amendments to data have been accepted and used in the calculation of the PIs. However, it is now expected that the data supplied and signed off to HESA are correct, so that data can be used to calculate PIs without further amendment.

Ensuring the accuracy of LLWR data

- 12 For 2007/08 funding allocations onwards, LLWR data used in the allocation of teaching funding have been subject to confirmation by HEIs that HEFCW have correctly extracted the data from the LLWR. HEIs have not been able to make amendments to data during the confirmation process if their LLWR

data are incorrect. Therefore, FEIs should take note of any discrepancies in their LLWR data found during the confirmation process in previous years or problems that HEFCW have brought to their attention, to ensure that data are fit for purpose. See Annex A, paragraph 5, for further detail.

- 13 Exceptionally, if there is an error in an FEI's LLWR data, and this error would lead to the FEI being allocated funding greater than that to which it is entitled, the FEI will be expected to notify HEFCW so that the funding can be adjusted accordingly.
- 14 Further guidance relating to the completion of the HE fields on the LLWR for FEIs has been included in the LLWR manual. FEIs should ensure that they read this guidance prior to submitting HE data to the LLWR.

Data used in Funding Allocations

- 15 The main formula element of the teaching funding allocations is based on data returned on the HESSES survey.
- 16 The widening access, disability and Welsh medium premiums and the per capita allocation are based on retrospective data taken from the HESA student record for HEIs, and, for HE students at FEIs, the LLWR. The exceptions to this are the Welsh medium and disability premiums for FEIs, where the data used are currently collected directly from FEIs.
- 17 Data collected on the EYM survey are used to calculate any adjustment to teaching funding at the end of the academic year.
- 18 More information on data used in teaching funding, including the premium and per capita elements, is set out in Annex A.
- 19 QR funding allocations are based on data returned to the 2008 Research Assessment Exercise (RAE) and on the RAS. More information on data used in research funding is set out in Annex B
- 20 The postgraduate research (PGR) training allocation is based on retrospective data taken from the HESA student record. Further information on the HESA fields used is provided in Annex C.
- 21 The Innovation and Engagement Fund (previously known as the Third Mission Fund) allocation is based on data taken from the HEBCI survey, the HESA student and staff records, GO Wales monitoring data and WAG A4B data. The data used in the calculation of allocations and the method of allocation is changing for 2011/12. Therefore the data described in this circular relate to 2011/12 funding allocations that are yet to be calculated. The data that will be used are described in more detail in Annex D.

Data used to monitor the For our Future indicators

- 22 Data used to monitor progress towards the For our Future indicators are taken from the HESA student and finance records; the published UK HE PIs, the LLWR; and the HEBCI survey. Other sources, such as the National Student Survey (NSS) and the HEFCW institutional risk review process are also used.

The indicators monitored using these data are:

- Widening access;
- Module completion rates;
- Student experience;
- Welsh medium;
- Overseas students;
- Employability;
- Participation;
- Part-time students;
- Knowledge transfer;
- Research Council income;
- Annual income; and,
- Risk status.

- 23 A description of each of these indicators and the data used to monitor them is included in Annex E.

Data used to monitor equal opportunities

- 24 HEFCW currently use HESA data to monitor the ethnicity, disability status, gender and age of students and staff at Welsh HEIs. A summary of the data is published on the HEFCW website under 'About Higher Education in Wales', 'Statistics', 'Equality and Diversity', 'Equality and Diversity Statistics'. Further information on the fields used is in Annex F.

Data used to monitor ITT (QTS) provision

- 25 Each year, information relating to initial teacher training (ITT) leading to qualified teacher status (QTS) is published. This contains tables of data for each individual institution with ITT (QTS) provision, taken from the HESA student record. The fields and criteria used to extract the data presented in these tables are detailed in Annex G.
- 26 Also included in Annex G are details of the fields used to inform analysis of ITT (QTS) provision, undertaken on an annual or ad-hoc basis.

Data used to monitor recruitment against the maximum student number

- 27 From 2011/12, HEFCW will be monitoring the number of completed HEFCW fundable full-time undergraduate and PGCE new entrants against a published maximum student number, using HESA data. The fields and criteria that will be used to extract the data are described in more detail in Annex H.

Data used for publication

- 28 HEFCW publish statistical reports on an ad hoc basis. Details of the data used in any statistical reports will be included with the report.
- 29 HE participation rates for Wales are published annually. The latest figures published are for 2006/07. Data used in calculating the participation rates are described within the circular.
- 30 A summary of data used for funding purposes is published each year on the HEFCW website. In addition, the *Funding Enrolments* publication summarises data collected on the EYM survey. More detail is given in Annex F.
- 31 All of these publications can be accessed from the 'About Higher Education in Wales', 'Statistics' area of the HEFCW website.

Other uses of data

- 32 Any of the data described may be used to inform policy. In particular, data on students taught in whole or part through the medium of Welsh and staff who teach or who are able to teach through the medium of Welsh will be used to inform policy on Welsh medium provision; and data relating to students at directly funded FEIs or franchised to FEIs from HEIs will be used to inform policy on HE in FEIs.
- 33 The data described are also used by WAG in their analysis of the higher education sector, including analysis published in their statistical bulletins and data presented on the StatsWales website. In addition, though data about FE level students are out of the scope of this circular, it should be noted that numbers of students on Welsh for Adults courses are used by WAG in their analysis and for publication.
- 34 EYM and HESA data have been used in the analysis carried out to compare levels of funding in HEIs in Wales and other UK countries, for 2003/04 to 2007/08. It is likely that this exercise will continue to be carried out in future. Data returned on the HESA student record relating to fundability status and FTE of students are used, as is the detailed breakdown of income returned on the HESA finance statistics record. Therefore, in order to accurately reflect the levels of funding received by Welsh HEIs, especially on a per FTE basis, HEIs should ensure that these data are accurately recorded on the HESA records. Further information is given in Annex I.

- 35 Data relating to forecast student and staff numbers and forecasts of For our Future indicators at HEIs are collected through the forecasts requests circulars. These data are used for HEFCW's internal monitoring and planning processes and are not published or used in funding calculations.
- 36 It should be noted that although this circular details HESA/LLWR fields used by HEFCW, any of the fields that institutions return on the HESA records, for HEIs, or the LLWR, for FEIs, may be used in future for funding, for monitoring purposes, to inform policy or for publication. Therefore, it is important that all HESA/LLWR fields are completed fully and accurately to show a fair picture of the provision and activity at the institution.

Comparison of data sources for HEIs

- 37 Annex K of the HESES and EYM circulars for 2009/10 and 2010/11 show the criteria and HESA fields used to compare HESA student data and data returned on the HESES and EYM surveys. These annexes are updated as changes to the HESA records take place.

Audit

- 38 All data used for funding and to monitor recruitment against the maximum student number will continue to be subject to audit.

Contents

- 39 The contents of the annexes are as follows:

| | |
|----------|---|
| Annex A: | Data used in teaching funding allocations |
| Annex B: | Data used in research funding allocations |
| Annex C: | Data used in the PGR training funding allocation |
| Annex D: | Data used in Innovation and Engagement funding allocations |
| Annex E: | Data used for monitoring the For our Future targets |
| Annex F: | Data used for publication |
| Annex G: | Data used for analysis of ITT (QTS) provision |
| Annex H: | Data used to monitor recruitment against the maximum student number |
| Annex I: | Data used in funding comparisons |

Further Information

- 40 Further information, including any updates to the information contained within this circular, can be found in the 'Working with Higher Education Providers', 'Data collection and funding calculations' area of the HEFCW website. Any queries regarding this circular should be directed to Hannah Falvey (e-mail hestats@hefcw.ac.uk, telephone 029 2068 2240).

Data used in teaching funding allocations

- 1 The descriptions below refer to HESA and LLWR data that relate to the 2009/10 academic year that will be used in 2011/12 funding calculations.
- 2 For 2011/12 teaching funding allocations, data will be taken from the HESSES 2010/11 survey, the 2009/10 HESA student record or LLWR, and, for the Welsh medium premium, where allocations are based on the previous two years' data, additionally the 2008/09 HESA student record. Using HESA and LLWR data enables premium and per capita allocations to be calculated with the minimum need to collect additional data from institutions. WAG data relating to students entitled to an Assembly Learning Grant (ALG) will also be used in calculating the widening access premium.
- 3 For FEIs only, data not available from the LLWR about modules taught through the medium of Welsh, or about students in receipt of Disabled Students' Allowance (DSA), will be collected directly from FEIs. If, in future, additional or improved information is collected by WAG on the LLWR which enable data relating to DSA or Welsh medium provision to be extracted and used in funding allocations, FEIs will be notified of the change and the extraction criteria to be used.
- 4 Institutions will have the opportunity to check the HESA/LLWR data to be used in the allocations to ensure that HEFCW has correctly extracted the data. However, institutions will **not** be given the opportunity to change their data if they wish to do so because the data were incorrectly reported. The only exception to this is if data were incorrectly reported to HESA or WAG, and the use of these data results in a funding allocation which is greater than that to which the institution is entitled. If this is the case, institutions will be expected to inform HEFCW and the funding allocation will be adjusted accordingly.
- 5 HESA data are finalised and signed off before HEFCW receive the data, therefore HEIs should ensure that these data are correct during the submission process to HESA. 2009/10 academic year LLWR data used in funding will be that taken from the December 2010 (period 5) monthly extract supplied by WAG. HEFCW will provide FEIs with a summary of their 2009/10 academic year data in November 2010 (period 4), prior to the December freeze. It is expected that FEIs will use this opportunity to review their data, to ensure that data used for funding are correct.
- 6 If two years' data are used in the calculation of allocations, any changes made by institutions to the first year's data in the previous year's funding round will automatically be included in the calculation, however, no further changes to the data due to incorrect reporting by the institution will be allowed.
- 7 Particular care should be taken in completing the HESA and LLWR fields detailed below which are used in calculating funding allocations. However,

institutions should ensure that **all** fields of the HESA student and module records or the LLWR are completed accurately and that the over-use of null or default values is avoided.

Formula element of teaching funding

Main formula element

- 8 The main formula element of teaching funding for academic subject categories (ASCs) 2 to 10 and 11b, postgraduate and part-time provision in ASC 1 and part-time provision in ASC 11a (other than in the OU) is calculated using completed credit values associated with home and EC students eligible for HEFCW funding, returned on the HESES survey, and funded credit values allocated to the institution. For the calculation of 2011/12 funding, this will be HESES data and funded credit values for 2010/11.
- 9 The calculation of funded credits for full-time undergraduate provision in ASC 1 and full-time provision in ASC 11a (part-time provision in the OU) is based on a quota controlled number of places and progression rates calculated from data returned on the HESES survey. Funded credits for ASC 11b ringfenced provision are calculated by converting ASC 11a provision released as part of ITT reconfiguration. In addition, funding for performance element provision at University of Glamorgan is calculated outside the teaching model.
- 10 After the recurrent grant announcement is made in spring each year, an individualised Excel workbook is sent to each institution showing how the funded credits for the main formula element of teaching funding were calculated in the teaching model. An example of the workbook and details of each of the steps taken in the model are available on the HEFCW website.

Premium and per capita funding

- 11 Data used to calculate premium and per capita funding are extracted from the HESA student record and the LLWR, and for FEIs, for the disability and Welsh medium premiums, data collected directly from FEIs. In addition, WAG ALG data are used in the calculation of the widening access premium.
- 12 If a student is following more than one course and has two or more records fitting the criteria to be included in the calculation of the per capita or a premium allocation, the student is counted only once. On the HESA student record and the LLWR, this means that only one instance of each student is kept, all other instances for the student are excluded. This exclusion is carried out after applying all other criteria to the data, by keeping only one instance per student identifier INSTANCE.HUSID on the HESA student record, or the first occurrence only of LEARN_ID (LP02/LA02) on the LLWR. For the widening access premium, if a student has more than one instance with different postcodes in the entry profile, and the postcodes are in different areas, the instance with a postcode in a Community First area will be used in the calculation of any postcode related aspects of the premium. For the disability

premium, if there are multiple instances with not all being in receipt of DSA, the instance in receipt of DSA is used.

- 13 If a student is taking a course which contains years of study which do not follow the standard academic year of 1 August to 31 July, then the student will be counted once in each year of study only, and not in each academic year in which they are active. This will be done by excluding the student from the data extract for the final academic year in which they are active. For example, if a student is following a full-time three year degree course which starts in January 2009 and finishes in December 2011, the student will be active in four academic years, but will only be counted three times for the purposes of inclusion in the calculation of the premium and per capita funding allocations. They will be counted in the first three academic years in which they are active and excluded in the final academic year in which they are active.
- 14 In excluding those on a non-standard academic year in their final year of study, the date the student left is compared to their date of commencement. If they leave within the anniversary of date of commencement plus two weeks then they are excluded in that academic year, unless the two week period is identifiable as a separate year of study.
- 15 In each of the per capita and premium funding allocations, subject to the criteria for being counted in paragraphs 12 and 13, students must be:
 - home and EC fundable;
 - not incoming exchange; and,
 - active within the reporting period.
- 16 Additional criteria apply for each of the funding allocations and these are detailed below.
- 17 The extraction of data from the HESA and LLWR records is carried out using a SAS program. Algorithms for 2011/12 based on the SAS program for each of the funding allocations will be available on the HEFCW website under 'Working with Higher Education Providers', 'Data Collection and Funding Allocations, 'Funding Calculations' in January 2011.
- 18 The criteria show the name of the relevant HESA field in the form of ENTITY.FIELDNAME.

Per capita funding

- 19 In addition to the criteria described in paragraph 15, students eligible to be included in the calculation of per capita funding are those who are:
 - undergraduate or postgraduate taught
 - studying for at least 10 credit values

20 For HEIs, the following criteria applied to the HESA student record are used to extract the data:

| | |
|--|--|
| Home and EC HEFCW fundable | INSTANCE.FUNDCODE = 1 |
| At least 10 credit values | MODULE.CRDTPTS ≥ 10 (summed over all modules the student is taking) |
| Not incoming exchange | INSTANCE.EXCHANGE ≠ 2, 4, 8, 9, A |
| Active 1/8/09 to 31/7/10 and not in the final academic year of a non-standard academic year course | INSTANCE.TYPEYR = 1 and INSTANCE.COMDATE ≤ 31/07/10 and INSTANCE.ENDDATE ≥ 01/08/09 or blank OR INSTANCE.TYPEYR = 2 and INSTANCE.ENDDATE ≤ 31/07/10 and INSTANCE.ENDDATE ≠ blank and INSTANCE.ENDDATE > anniversary of INSTANCE.COMDATE in 2009/10 + 14 days OR INSTANCE.TYPEYR = 2 and INSTANCE.ENDDATE ≤ 31/07/10 and INSTANCE.ENDDATE ≠ blank and INSTANCE.ENDDATE ≤ anniversary of INSTANCE.COMDATE in 2009/10 + 14 days and INSTANCE.UNITLGTH = 3 and INSTANCE.SPLENGTH = 01, 02 or INSTANCE.UNITLGTH = 4 and INSTANCE.SPLENGTH = 01-14 or INSTANCE.UNITLGTH = 5 and INSTANCE.SPLENGTH = 01-42 OR INSTANCE.TYPEYR = 2 and INSTANCE.COMDATE ≤ 31/07/10 and INSTANCE.ENDDATE = blank |
| Active mode of study | INSTANCE.MODE = 01, 02, 23, 24, 25, 31, 52, 53 |
| Undergraduate or postgraduate taught | COURSE.COURSEAIM = all C, E, H, I, J, M codes, excluding C99, H99, I99, J99, M99 |

21 For FEIs, the following coding applied to the LLWR is used to extract the data:

| | |
|--|---|
| Home and EC HEFCW fundable Learning Activity | MAIN_STR (LA11) = 2 |
| HE level Learning Programme | TYPE_LPG (LP17) = 51, 52, 53, 54, 55, 56, 57, 58, 59 |
| Learning Activity Active 1/8/09 to 31/7/10 | STARTDTE (LA09) ≤ 31/07/2010 and TERMDATE (LA30) ≥ 01/08/2009 or = blank |

LP = Learning Programme dataset, LA = Learning Activity dataset, number indicates the number of the field on the record

Widening access premium

22 In addition to the criteria described in paragraph 15, students eligible to be included in the calculation of the widening access premium are those who are:

- Undergraduate and
- studying for at least 10 credit values

23 For HEIs, the following criteria applied to the HESA student record are used to extract the data:

| | |
|--|--|
| Home and EC HEFCW fundable | INSTANCE.FUNDCODE = 1 |
| At least 10 credit values | MODULE.CRDTPTS ≥ 10 (summed over all modules the student is taking) |
| Not incoming exchange | INSTANCE.EXCHANGE ≠ 2, 4, 8, 9, A |
| Active 1/8/09 to 31/7/10 and not in the final academic year of a non-standard academic year course | INSTANCE.TYPEYR = 1 and INSTANCE.COMDATE ≤ 31/07/10 and INSTANCE.ENDDATE ≥ 01/08/09 or blank OR INSTANCE.TYPEYR = 2 and INSTANCE.ENDDATE ≤ 31/07/10 and INSTANCE.ENDDATE ≠ blank and INSTANCE.ENDDATE > anniversary of INSTANCE.COMDATE in 2009/10 + 14 days OR INSTANCE.TYPEYR = 2 and INSTANCE.ENDDATE ≤ 31/07/10 and INSTANCE.ENDDATE ≠ blank and INSTANCE.ENDDATE ≤ anniversary of INSTANCE.COMDATE in 2009/10 + 14 days and INSTANCE.UNITLGTH = 3 and INSTANCE.SPLENGTH = 01, 02 or INSTANCE.UNITLGTH = 4 and INSTANCE.SPLENGTH = 01-14 or INSTANCE.UNITLGTH = 5 and INSTANCE.SPLENGTH = 01-42 OR INSTANCE.TYPEYR = 2 and INSTANCE.COMDATE ≤ 31/07/10 and INSTANCE.ENDDATE = blank |
| Active mode of study | INSTANCE.MODE = 01, 02, 23, 24, 25, 31, 52, 53 |
| Undergraduate | COURSE.COURSEAIM = all C, H, I, J codes, M22 |

24 For FEIs, the following coding applied to the LLWR is used to extract the data:

| | |
|--|---|
| Home and EC HEFCW fundable Learning Activity | MAIN_STR (LA11) = 2 |
| HE level Learning Programme | TYPE_LPG (LP17) = 51, 52, 53, 55, 56, 57, 58, 59 |
| Learning Activity Active 1/8/09 to 31/7/10 | STARTDTE (LA09) ≤ 31/07/2010 and TERMDATE (LA30) ≥ 01/08/2009 or = blank |

LP = Learning Programme dataset, LA = Learning Activity dataset, number indicates the number of the field on the record

25 A retention element is included in the premium which requires students to be categorised by year of course and length of course, and for those on one year courses, whether they were retained or not. The following coding is used to categorise students in HEIs.

Determine year of course:

| | |
|----------------------|--|
| First year | INSTANCE.COMDATE ≥ 01/08/09 and INSTANCE.COMDATE ≤ 31/07/10 |
| Second year or above | Otherwise |

Determine length of course:

| | |
|-------------------|--|
| One year | INSTANCE.UNITLGTH = 1 and 52*INSTANCE.SPLENGTH ≤ 52 OR INSTANCE.UNITLGTH = 2 and integer(INSTANCE.SPLENGTH /12)*52 +remainder(INSTANCE.SPLENGTH,12)*4 ≤ 52 OR INSTANCE.UNITLGTH = 3 and INSTANCE.SPLENGTH ≤ 52 OR INSTANCE.UNITLGTH = 4 and integer(INSTANCE.SPLENGTH /5) ≤ 52 OR INSTANCE.UNITLGTH = 5 OR INSTANCE.COMDATE ≥ 01/08/09 and INSTANCE.COMDATE ≤ 31/07/10 and INSTANCE.SPLENGTH = blank or INSTANCE.UNITLGTH = 9 and INSTANCE.ENDDATE ≥ 01/08/09 and INSTANCE.ENDDATE ≤ 31/07/10 and INSTANCE.ENDDATE ≠ blank |
| Two or more years | INSTANCE.UNITLGTH = 1 and 52*INSTANCE.SPLENGTH > 52 OR INSTANCE.UNITLGTH = 2 and integer(INSTANCE.SPLENGTH/12)*52 +remainder(INSTANCE.SPLENGTH,12)*4 > 52 OR INSTANCE.UNITLGTH = 3 and INSTANCE.SPLENGTH > 52 OR INSTANCE.UNITLGTH = 4 and integer(INSTANCE.SPLENGTH /5) > 52 OR |

| | |
|---------|--|
| | INSTANCE.COMDATE ≥ 01/08/09 and INSTANCE.COMDATE ≤ 31/07/10 and INSTANCE.SPLENGTH = blank or INSTANCE.UNITLGTH = 9 and INSTANCE.ENDDATE = blank and INSTANCE.TYPEYR = 1 |
| Unknown | INSTANCE.SPLENGTH = blank or INSTANCE.UNITLGTH = 9 (and not already categorised) |

Determine retention status:

| | |
|----------------|--------------------------|
| Retained | INSTANCE.FUNDCOMP = 1,4 |
| Not retained | INSTANCE.FUNDCOMP = 2 |
| Status unknown | INSTANCE.FUNDCOMP = 3, 9 |

- 26 Students are then categorised into the following four categories for funding, plus an unknown category.
- First year on one year course - retained
 - First year on one year course - not retained
 - First year of two years or more course
 - Second or further year of two years or more course
- 27 Those students in the unknown category are either first years on a one year course who have unknown retention status or are first years on an unknown length course with unknown retention status. Estimation has to be used to categorise these two types of students.
- 28 For the first type of unknowns, for those already categorised as first year students on a one year course with a known retention status, the proportion in each of the two retention categories is calculated, by mode of study (full-time/part-time) and INSTANCE.TYPEYR. These proportions are then applied to first years on a one year course with unknown retention status. If there are no data in a particular mode and INSTANCE.TYPEYR combination, then the proportions by mode only are calculated and applied.
- 29 A similar method is used for the second type of unknowns. For those already categorised as first year students (either on a one year course and retained, on a one year course and not retained or on a two years or more course), the proportion in each of the three categories is calculated, by mode of study (full-time/part-time) and INSTANCE.TYPEYR. These proportions are then applied to first years on an unknown length course with unknown retention status. If there are no data in a particular mode and INSTANCE.TYPEYR combination, then the proportions by mode only are calculated and applied.
- 30 In calculating proportions, data for instances not included in the population, but which finished in 2009/10 after a one year non-standard academic year course starting in 2008/09 are included. These are only included in order to estimate the retention status of first years on one year courses.

31 For FEIs, the following coding is used to categorise students:

| | |
|--|--|
| First year of one year course - retained | Earliest STARTDTE (LA09) ≥ 01/08/09 and TERMD_LP (LP55) ≥ 01/08/09 and TERMD_LP (LP55) ≤ 31/07/10 and all values of COMPSTAT (LA31) ≠ 3 |
| First year of one year course - not retained | Earliest STARTDTE (LA09) ≥ 01/08/09 and TERMD_LP (LP55) ≥ 01/08/09 and TERMD_LP (LP55) ≤ 31/07/10 and all values of COMPSTAT (LA31) = 3 |
| First year of two years or more course | Earliest STARTDTE (LA09) ≥ 01/08/09 and TERMD_LP (LP55) ≥ 31/07/10 or = blank |
| Second or further year of two years or more course | Earliest STARTDTE (LA09) < 01/08/09 |

32 For both HEIs and FEIs, eligible students are further categorised in order to calculate two elements of the widening access premium. The first element is based on students domiciled in Community First areas and the second element is based on students from low participation areas. Each element is calculated separately and students can be included in the calculation of more than one element. The third element of the premium uses aggregate data provided by WAG about the number of students eligible for a full Assembly Learning Grant at each HEI and FEI.

33 For the Community First element, eligible students are categorised, using the home postcode of the student (HESA record field ENTRYPROFILE.POSTCODE for HEIs and LLWR Learning Programme postcode field POST_SLP (LP09) for FEIs), into those that come from Community First areas that correspond to the 100 most deprived electoral divisions according to the Welsh index of multiple deprivation 2000, the pockets of deprivation, imaginative proposals and new areas as identified by the Welsh Assembly Government, and those that are from other areas. Those in the Community First areas are included in the calculation of the Community First element of the widening access premium.

34 For the low participation element, eligible students are categorised as either young full-time students domiciled in areas of low participation in HE as defined in the updated Participation of Local Areas mapping (POLAR2), or mature full-time and all part-time students domiciled in areas where there is a low proportion of working age adults with HE level qualifications as defined in the 2001 Census. The home postcode of the student (HESA record field ENTRYPROFILE.POSTCODE for HEIs and LLWR Learning Programme postcode field POST_SLP (LP09) for FEIs) is used to determine whether the student is domiciled in an area of low participation.

35 For HEIs the following code is also applied:

| | |
|----------------------------|---|
| Young full-time | (INSTANCE.COMDATE-STUDENT.BIRTHDTE) / 365.25 < 21 AND INSTANCE.MODE = 01, 52, 53 or INSTANCE.MODE = 02 and WEEKS ≥ 24 or INSTANCE.MODE = 23, 24 or INSTANCE.MODE = 25 and WEEKS ≥ 24 |
| Mature full-time | (INSTANCE.COMDATE-STUDENT.BIRTHDTE) / 365.25 ≥ 21 AND INSTANCE.MODE = 01, 52, 53 or INSTANCE.MODE = 02 and WEEKS ≥ 24 or INSTANCE.MODE = 23, 24 or INSTANCE.MODE = 25 and WEEKS ≥ 24 |
| Part-time | INSTANCE.MODE = 31 or INSTANCE.MODE = 02, 25 and WEEKS < 24 |
| Where WEEKS is calculated: | If INSTANCE.UNITLGTH = 1 then WEEKS = 52*INSTANCE.SPLENGTH If INSTANCE.UNITLGTH = 2 then WEEKS = integer(INSTANCE.SPLENGTH /12)*52 + remainder(INSTANCE.SPLENGTH,12)*4 If INSTANCE.UNITLGTH = 3 then WEEKS = INSTANCE.SPLENGTH If INSTANCE.UNITLGTH = 4 then WEEKS = integer(INSTANCE.SPLENGTH /5) If INSTANCE.UNITLGTH = 5 then WEEKS =1 if INSTANCE.SPLENGTH is blank or INSTANCE.UNITLGTH = 9 then WEEKS = 1040 |

36 For FEIs the following code is also applied:

| | |
|------------------|--|
| Young full-time | (Student's earliest STARTDTE (LA09) - DATEBRTH (LN15)) / 365.25 < 21 AND MODE_ATT (LP07) = 07, 08 |
| Mature full-time | (Student's earliest STARTDTE (LA09) - DATEBRTH (LN15)) / 365.25 ≥ 21 AND MODE_ATT (LP07) = 07, 08 |
| Part-time | MODE_ATT (LP07) = 09 |

37 Lists of postcodes in Community First areas and low participation areas are available on the 'Working with Higher Education Providers', 'Data Collection and Funding Allocations' area of the HEFCW website. More information about

POLAR2 can be found on the HEFCW website at www.hefcw.ac.uk/widen/polar/polar2.

- 38 Additionally, the number of Communities First students as a percentage of Welsh domiciled students is calculated in order to categorise institutions into two bands based on their proportion in Community First areas. Welsh domiciled students are those whose home postcode (HESA record field ENTRYPROFILE.POSTCODE for HEIs and LLWR Learning Programme postcode field POST_SLP (LP09) for FEIs) is in Wales.

Disability premium

- 39 In addition to the criteria described in paragraph 15, students eligible to be included in the calculation of the disability premium are those who are:
- in receipt of DSA
 - studying at any level of study
 - studying for at least 10 credit values for HEIs (8.3% FTE for PGR students).
- 40 For HEIs, the following coding applied to the HESA student and module records is used to extract the data:

| | |
|--|---|
| Home and EC HEFCW fundable | INSTANCE.FUNDCODE = 1 |
| At least 10 credit values (or 8.3% FTE for PGR students) | MODULE.CRDTPTS ≥ 10 (summed over all modules the student is taking) (INSTANCE.STULOAD ≥ 8.3) |
| Not incoming exchange | INSTANCE.EXCHANGE ≠ 2, 4, 8, 9, A |
| Active 1/8/09 to 31/7/10 and not in the final academic year of a non-standard academic year course | INSTANCE.TYPEYR = 1 and INSTANCE.COMDATE ≤ 31/07/10 and INSTANCE.ENDDATE ≥ 01/08/09 or blank OR INSTANCE.TYPEYR = 2 and INSTANCE.ENDDATE ≤ 31/07/10 and INSTANCE.ENDDATE ≠ blank and INSTANCE.ENDDATE > anniversary of INSTANCE.COMDATE in 2009/10 + 14 days OR INSTANCE.TYPEYR = 2 and INSTANCE.ENDDATE ≤ 31/07/10 and INSTANCE.ENDDATE ≠ blank and INSTANCE.ENDDATE ≤ anniversary of INSTANCE.COMDATE in 2009/10 + 14 days and INSTANCE.UNITLGTH = 3 and INSTANCE.SPLENGTH = 01, 02 or INSTANCE.UNITLGTH = 4 and INSTANCE.SPLENGTH = 01-14 |

| | |
|-------------------------------|---|
| | or INSTANCE.UNITLGTH = 5 and INSTANCE.SPLENGTH = 01-42 OR INSTANCE.TYPEYR = 2 and INSTANCE.COMDATE ≤ 31/07/10 and INSTANCE.ENDDATE = blank |
| Active mode of study | INSTANCE.MODE = 01, 02, 23, 24, 25, 31, 52, 53 |
| In receipt of DSA | INSTANCE.DISALL = 4 |
| Undergraduate or postgraduate | COURSE.COURSEAIM = all C, D, E, H, I, J, L, M codes, excluding C99, H99, I99, J99, L99, M99 |

- 41 For FEIs, data relating to students in receipt of DSA are not currently available from the LLWR, therefore, data are collected directly from FEIs to use in calculating the premium.

Welsh Medium Premium

- 42 The Welsh medium premium is calculated using the number of credits taught through the medium of Welsh. Modules studied by students fitting the inclusion criteria, where at least 2 credits of the module are studied through the medium of Welsh are included, averaged over two years. Welsh language or literature modules are **not** eligible for premium funding, unless the student is taking the module as part of an ITT course leading to QTS.
- 43 In addition to the criteria described in paragraph 15, students eligible to be included in the calculation of the Welsh medium premium are those who are:
- undergraduate or postgraduate taught
- 44 For HEIs, the following coding applied to the HESA student and module records is used to extract the data:

| | |
|--|---|
| Home and EC HEFCW fundable | INSTANCE.FUNDCODE = 1 |
| Not incoming exchange | INSTANCE.EXCHANGE ≠ 2, 4, 8, 9, A |
| Active 1/8/09 to 31/7/10 and not in the final academic year of a non-standard academic year course | INSTANCE.TYPEYR = 1 and INSTANCE.COMDATE ≤ 31/07/10 and INSTANCE.ENDDATE ≥ 01/08/09 or blank OR INSTANCE.TYPEYR = 2 and INSTANCE.ENDDATE ≤ 31/07/10 and INSTANCE.ENDDATE ≠ blank and INSTANCE.ENDDATE > anniversary of INSTANCE.COMDATE in 2009/10 + 14 days OR INSTANCE.TYPEYR = 2 and |

| | |
|---|--|
| | <p>INSTANCE.ENDDATE ≤ 31/07/10 and INSTANCE.ENDDATE ≠ blank and INSTANCE.ENDDATE ≤ anniversary of INSTANCE.COMDATE in 2009/10 + 14 days and INSTANCE.UNITLGTH = 3 and INSTANCE.SPLENGTH = 01, 02 or INSTANCE.UNITLGTH = 4 and INSTANCE.SPLENGTH = 01-14 or INSTANCE.UNITLGTH = 5 and INSTANCE.SPLENGTH = 01-42 OR INSTANCE.TYPEYR = 2 and INSTANCE.COMDATE ≤ 31/07/10 and INSTANCE.ENDDATE = blank</p> |
| Active mode of study | INSTANCE.MODE = 01, 02, 23, 24, 25, 31, 52, 53 |
| Undergraduate or postgraduate taught | COURSE.COURSEAIM = all C, E, H, I, J, M codes, excluding C99, H99, I99, J99, M99 |
| At least 2 credits of module are Welsh medium | MODULE.MODLANG = 1 and MODULE.LANGPCNT x MODULE.CRDTPTS ≥ 2 |
| Not Welsh language or literature, unless on an ITT (QTS) course | MODULESUBJECT.MODSBJ ≠ Q560, Q561 or MODULESUBJECT.MODSBJ = Q560, Q561 and COURSE.TTCID = 1 |
| Module started in the 2009/10 academic year | STUDENTONMODULE.MODSTAT = 2, 3 |

- 45 After eligible data have been extracted, they may be subject to further manual exclusions if the modules are considered to be Welsh language or literature but have not been coded as such. However, institutions will have the opportunity to see the exclusions during the confirmation process.
- 46 For FEIs, data relating to modules taught through the medium of Welsh are not currently available from the LLWR, therefore, data are collected directly from FEIs to use in calculating the premium.

Data used in research funding allocations

- 1 Only HEIs are eligible for research funding.

QR funding

- 2 QR funding for 2011/12 will be calculated using data returned on the 2010/11 RAS and to the 2008 RAE. The 2010/11 RAS was published in November 2010. Definitions used in the collection of data for the 2008 RAE can be found in circular RAE 03/2005, available from the RAE website, www.rae.ac.uk/pubs. The methodology presented here is what was used for the calculation of 2010/11 funding, however, the review of funding currently taking place includes a review of the methodology to calculate QR funding and therefore the methodology for 2011/12 funding may be different.
- 3 HEIs with units of assessment (UoAs) with a classified quality profile are eligible for QR funding. UoAs which reach the threshold of 3 classified FTE Category A staff were included in the calculation of allocations for 2010/11. QR funding for 2010/11 was allocated by UoA and calculated in three parts. The first part was allocated as research volume multiplied by a unit of funding. The units of funding were weighted for subject cost and quality profile.
- 4 Research volume was calculated using a major volume measure of FTE of Category A research active academic staff, weighted at 1, taken from the RAE 2008 and minor volume measures of FTE research fellows, FTE research assistants, FTE research students and external charity income converted to FTE. For 2010/11 funding, the minor volume measures were taken from the 2008 RAE and the 2009/10 RAS, averaged over two years and weighted; research fellows and research assistants at 0.1, research students at 0.15 and charity income, converted to FTE by dividing by £25,000, at 0.25.
- 5 The second part of QR funding was a fixed amount of funding allocated pro rata to external charity income, which was taken from the 2009/10 RAS and the 2008 RAE and averaged over two years. UoAs reaching the Category A staff FTE threshold were included in the allocation.
- 6 The third part was a rewarding excellence element which was allocated pro rata to subject weighted volume in the 4* quality classification.
- 7 Further details of the funding method for 2010/11 can be found on the About Higher Education in Wales', 'Funding Higher Education in Wales' area of the website.

Data used in the PGR training funding allocation

- 1 Only HEIs are eligible for PGR training funding. Data used in the calculation of PGR training funding are taken from the HESA student record. The description below refers to HESA student record data collected in 2009/10 that will be used in 2011/12 funding calculations. The criteria for eligibility for PGR funding is dependent on the methodology for QR funding, therefore, if the QR funding methodology for 2011/12 changes, there will be a knock-on effect for PGR funding.
- 2 Students eligible to be included in the calculation of PGR funding are those in 2008 RAE UoAs that will be included in the QR funding model for 2011/12. For 2010/11 funding, this was those UoAs that had at least 3 classified FTE Category A staff.
- 3 The students must be:
 - home and EC fundable
 - studying for PGR qualifications
 - not incoming exchange
 - active within the reporting period and
 - on the first three years full-time or full-time equivalent of the postgraduate research programme of study (note however that MPhil students are only fundable for the first two years full-time or full-time equivalent study).
- 4 If a student is following more than one course and has two or more records fitting the criteria to be included in the calculation of the PGR allocations, the student is counted only once. On the HESA student record, this means that only one instance of each student is kept, all other instances for the student are excluded. This exclusion is carried out after applying all other criteria to the data. If there are multiple occurrences with different course aims, the occurrence with the highest level of course aim is kept.
- 5 If a student is taking a course which contains years of study which do not follow the standard academic year of 1 August to 31 July, then the student will be counted once in each year of study, and not in each academic year in which they are active. For example, if a student is following a full-time three year PhD course which starts in January 2009 and finishes in December 2011, the student will be active in four academic years, but will only be counted three times for the purposes of inclusion in the calculation of the PGR funding allocations. They will be counted in the first three academic years in which they are active and excluded in the final academic year in which they are active.
- 6 In excluding those on a non-standard academic year in their final year of study, the date the student left is compared to their date of commencement. If they leave within the anniversary of date of commencement plus two weeks then

they are excluded in that academic year, unless the two week period is identifiable as a separate year of study.

7 The following coding is applied to the HESA student record to extract the data.

| | |
|--|--|
| Home and EC HEFCW fundable | INSTANCE.FUNDCODE = 1 |
| Not incoming exchange | INSTANCE.EXCHANGE ≠ 2, 4, 8, 9, A |
| Active 1/8/09 to 31/7/10 and not in the final academic year of a non-standard academic year course | INSTANCE.TYPEYR = 1 and INSTANCE.COMDATE ≤ 31/07/10 and INSTANCE.ENDDATE ≥ 01/08/09 or blank OR INSTANCE.TYPEYR = 2 and INSTANCE.ENDDATE ≤ 31/07/10 and INSTANCE.ENDDATE ≠ blank and INSTANCE.ENDDATE > anniversary of INSTANCE.COMDATE in 2009/10 + 14 days OR INSTANCE.TYPEYR = 2 and INSTANCE.ENDDATE ≤ 31/07/10 and INSTANCE.ENDDATE ≠ blank and INSTANCE.ENDDATE ≤ anniversary of INSTANCE.COMDATE in 2009/10 + 14 days and INSTANCE.UNITLGTH = 3 and INSTANCE.SPLENGTH = 01, 02 or INSTANCE.UNITLGTH = 4 and INSTANCE.SPLENGTH = 01-14 or INSTANCE.UNITLGTH = 5 and INSTANCE.SPLENGTH = 01-42 OR INSTANCE.TYPEYR = 2 and INSTANCE.COMDATE ≤ 31/07/10 and INSTANCE.ENDDATE = blank |
| Active mode of study | INSTANCE.MODE = 01, 02, 31 and INSTANCE.STULOAD ≠ 0 |
| Postgraduate research | COURSE.COURSEAIM = all D codes, all L codes, excluding L99 |
| First 3 years if full-time, first 6 years if part-time (2 years full-time, 4 years part-time if MPhil) | INSTANCE.YEARSTU = 1, 2, 3, (full-time) INSTANCE.YEARSTU = 1, 2, 3, 4, 5, 6 (part-time) (MPhil taken to be where COURSE.COURSEAIM = L codes) |

8 The students are further categorised into UoAs using RAE.UOA2008. Where a student is split across two or more UoAs, the student is counted in each UoA at the proportion returned in RAE.UOAPCNT. The UoA is then used to categorise students into subject groups which attract different levels of funding, based on Academic Subject Category (ASC). The table below shows the mapping.

| Subject group | ASCs | UoAs |
|---------------|-----------------|--|
| 1 | 1b, 1d | 1 to 10 |
| 2 | 1a, 1c, 3, 4, 6 | 13 to 29, 32 (split), 44, 46 (split) |
| 3 | All other ASCs | 11, 12, 30, 31, 32 (split), 33 to 43, 45, 46 (split), 47 to 67 |

- 9 UoAs 32 and 46 are split between subject groups 2 and 3. This is done using the JACS code of the course aim, returned in COURSE.SBJCA. The JACS codes of the courses the students in UoAs 32 and 46 are taking are mapped to ASCs using the mapping in Annex D of HESES and then categorised into subject group 2 or 3. Students on courses with JACS codes mapped to ASCs 1b or 1d are included in subject group 2.

Data used in Innovation and Engagement funding allocations

- 1 Only HEIs are eligible for Innovation and Engagement funding. Data used in the calculation of Innovation and Engagement funding are taken from the HEBCI survey, the HESA staff and student records and other sources. The funding methodology for 2011/12 differs to that for 2010/11. The descriptions below refer to the data that will be used in the calculation of allocations for 2011/12.
- 2 The following items of data will be taken from the 2009/10 HEBCI survey returns:

| Measure used | Description of item | Table reference and item number |
|--|--|--|
| Contract research income | Total value of contracts | Table 1, item 2h |
| Income from intellectual property rights | Total revenues (including sale of shares in spin-offs) | Table 4, item 3f |
| Income for regeneration | Total income for regeneration | Table 3, item 1g |
| Income from collaborative research activity | Total income from collaborative research activity | Table 1, item 1e |
| Number of graduate start-ups | Total number of active firms | Table 4, item biv |
| Number of licences | Total number of non-software plus software licences | Table 4, items 2aiv and 2biv |
| Number of active spinouts (excluding graduate start-ups) | Total number of active firms including spinouts with some HEI ownership, formal spinouts not HEI owned and staff start-ups (excludes graduate start-ups) | Table 4, items bi, bii and biii |
| Number of contracts - consultancy | Total number of consultancy contracts | Table 2, item 1g |
| Number of facilities and equipment related services | Total number of facilities and equipment related services | Table 2, item 2g |
| Courses for business and the community | Total learner days of CPD/CE courses delivered | Table 2, item 3f |
| Academic staff time expended on public engagement activity | Total academic staff time in days for free and chargeable events | Table 5, item 2e |

- 3 Staff FTE will be included in the calculation of the allocation. The data used will be extracted from the 2009/10 HESA staff record using the following criteria:

| | |
|---|---|
| A member of staff on the person table has an active contract at some point during the academic year on the contract table | CONFTE (C09) > 0 and STARTCON (C22) ≤ 31/07/10 or STARTCON (C22) = 99991231 and ENDCON (C23) ≥ 01/08/09 or ENDCON (C23) = 99991231 |
| The amount of contract FTE that is managerial, academic, professional, technical or administrative is counted | CONFTE (C09) x CCPROP1 (C26) (where ACT1 (C24) = 1, 2A, 2B, 3A, 3B, 3C, 4A) plus CONFTE (C09) x CCPROP2 (C29) (where ACT2 (C27) = 1, 2A, 2B, 3A, 3B, 3C, 4A) plus CONFTE (C09) x CCPROP3 (C32) (where ACT3 (C30) = 1, 2A, 2B, 3A, 3B, 3C, 4A) |

C = contract table, number indicates the number of the field on the record

- 4 Two categories of student enrolments will be included in the calculation of funding allocations: ERASMUS outgoing exchange enrolments; and enrolments on industrial placements, taken from the HESA student record. They will be identified as follows:

| | |
|--|--|
| Not incoming exchange | INSTANCE.EXCHANGE ≠ 2, 4, 8, 9, A |
| Active 1/8/09 to 31/7/10 and not in the final academic year of a non-standard academic year course | INSTANCE.TYPEYR = 1 and INSTANCE.COMDATE ≤ 31/07/10 and INSTANCE.ENDDATE ≥ 01/08/09 or blank OR INSTANCE.TYPEYR = 2 and INSTANCE.ENDDATE ≤ 31/07/10 and INSTANCE.ENDDATE ≠ blank and INSTANCE.ENDDATE > anniversary of INSTANCE.COMDATE in 2009/10 + 14 days OR INSTANCE.TYPEYR = 2 and INSTANCE.ENDDATE ≤ 31/07/10 and INSTANCE.ENDDATE ≠ blank and INSTANCE.ENDDATE ≤ anniversary of INSTANCE.COMDATE in 2009/10 + 14 days and INSTANCE.UNITLGTH = 3 and INSTANCE.SPLENGTH = 01, 02 or INSTANCE.UNITLGTH = 4 and INSTANCE.SPLENGTH = 01-14 or INSTANCE.UNITLGTH = 5 and INSTANCE.SPLENGTH = 01-42 OR |

| | |
|--|---|
| | INSTANCE.TYPEYR = 2 and INSTANCE.COMDATE ≤ 31/07/10 and INSTANCE.ENDDATE = blank |
| Active mode of study | INSTANCE.MODE = 01, 02, 23, 24, 25, 31, 52, 53 |
| Undergraduate or postgraduate | COURSE.COURSEAIM = all C, D, E, H, I, J, L, M codes, excluding C99, H99, I99, J99, L99, M99 |
| Outgoing ERASMUS enrolments counted where: | INSTANCE.SPECFEE = 3 |
| Industrial placement enrolments counted where: | INSTANCE.MODE = 23, 24 and INSTANCE.LOCSDY = D, E and INSTANCE.SPECFEE = 1 |

Data used to monitor the For our Future indicators

- 1 The For our Future action plan contains a set of sector indicators devised to measure progress towards the aims of HEFCW's corporate strategy. There are 12 indicators which fit into the five strategic and two enabling themes identified in HEFCW's For our Future action plan. The indicators are designed to monitor progress of specific purposes outlined under these themes. Each indicator has a target and the aim is to monitor progress of these indicators against targets. Progress is measured using data returned on the HESA student, destination of leavers and finance statistics records, the HE business and community interaction survey, the LLWR, the Quality Assurance Agency Institutional Review outcomes, the National Student Survey (NSS), UK Census data, data relating to Welsh domiciled HE students at GB FECs, HEFCW participation rates analysis and the HEFCW institutional risk review process. The twelve indicators cover the following areas:
 - Students from Communities First areas;
 - Module completion rates;
 - Student's overall satisfaction with the quality of their course;
 - Students studying through the medium of Welsh;
 - Overseas students;
 - Leavers employed or studying six months after leaving;
 - Participation rates;
 - Part-time students;
 - Spin-out companies, active and surviving at least three years;
 - Income from Research Councils;
 - Annual income of HEIs; and
 - Risk status of HEIs.

The HESA and LLWR data used in monitoring these targets and the criteria used to extract the data are detailed below.

- 2 The following coding is applied to the HESA student record to extract the data for Welsh HEIs (UK HEIs for the Overseas students target) for the following measures: Community First, Module completion rates, Welsh medium, Overseas students and Part-time students.

| | |
|---|--|
| Not incoming visiting or exchange | INSTANCE.EXCHANGE ≠ 2, 4, 8, 9, A |
| Not dormant, on sabbatical or writing up | INSTANCE.MODE ≠ 43, 44, 51, 63, 64 |
| Studying at HE level | COURSE.COURSEAIM = all C, D, E, H, I, J, L, M codes |
| Active 1/8/09 to 31/7/10 and not in the final academic year of a non-standard academic year course | INSTANCE.ENDDATE ≥ 01/08/09 or blank and INSTANCE.COMDATE ≤ 31/07/10 AND INSTANCE.ENDDATE = blank and INSTANCE.TYPEYR = blank, 1(+ 3, 4 for UK HEIs) OR INSTANCE.ENDDATE = blank and INSTANCE.TYPEYR = 2 and INSTANCE.NOTACT = blank OR INSTANCE.ENDDATE > anniversary of INSTANCE.COMDATE in 2009/10 + 14 days OR INSTANCE.ENDDATE ≤ anniversary of INSTANCE.COMDATE in 2009/10 + 14 days and (INSTANCE.UNITLGTH = 3 and INSTANCE.SPLENGTH = 01, 02) or (INSTANCE.UNITLGTH = 4 and INSTANCE.SPLENGTH = 01-14) or (INSTANCE.UNITLGTH = 5 and INSTANCE.SPLENGTH = 01-42) |
| Not Teacher Development Agency (TDA) Student Associate Scheme or Subject Knowledge Enhancement (UK HEIs only) | Course.TTCID ≠ E, F |
| Not students primarily studying abroad | Instance.LOCSY ≠ S |

Community First

- 3 The Community First target is defined as follows:

A 10% rise in the proportion of all Welsh domiciled students studying higher education courses at HEIs and FEIs in Wales who are domiciled in the Welsh Communities First areas from 15.6% in 2008/09 to 17.2% in 2012/13.

The Welsh Community First areas correspond to the 100 most deprived electoral divisions according to the Welsh Index of Multiple Deprivation 2000,

plus pockets of deprivation, imaginative proposals and new areas identified by WAG.

- 4 If a student is following more than one course and has two records fitting the criteria to be included in the monitoring of the target, the student is counted only once. On the HESA student record, this means that only one instance of each student is kept, all other instances for the student are excluded. This exclusion is carried out after applying all other criteria to the data, by keeping the first occurrence only of each student identifier INSTANCE.HUSID on the HESA student record, or the first occurrence only of student identifier LEARN_ID (LP02/LA02) on the LLWR, with any full-time occurrence being kept in preference to a part-time occurrence.
- 5 In addition to the coding presented in paragraph 2, the following coding is applied to the HESA student record to extract the data for Welsh domiciles:

| | |
|-----------------|--|
| Welsh domiciled | ENTRYPROFILE.POSTCODE is a valid postcode mappable to a ward in Wales or if the postcode is missing, studying at a Welsh institution |
|-----------------|--|

- 6 The following coding is applied to the LLWR to extract the data for Welsh FEIs:

| | |
|--|---|
| HE level Learning Programme | LAIM_REF (LA06) begins with L and LEV_LEAR (LA22) = 04, 05, 06, 07, 08 or National NVQ level on the qualification aims database = 4, 5, H |
| Learning Activity Active 1/8/09 to 31/7/10 | STARTDTE (LA09) ≤ 31/07/2010 and TERMDATE (LA30) ≥ 01/08/2009 or = 31/12/9999 |
| Undergraduate | LAIM_REF (LA06) begins with L and LEV_LEAR (LA22) = 04, 05, 06 or LAIM_REF (LA06) does not begin with L and qualification aim on the qualification aims database is an undergraduate HE qualification |
| Welsh domiciled | POST_SLP (LP09) is a valid postcode mappable to a ward in Wales |

LP = Learning Programme dataset, LA = Learning Activity dataset, number indicates the number of the field on the record

- 7 Of the students extracted using these criteria, those counted as being in Community First areas are then identified using the ENTRYPROFILE.POSTCODE field on the HESA student record and the POST_SLP (LP09) field on the LLWR.

Module Completion Rates

- 8 The module completion rates target is defined as follows:

The module completion rate for undergraduate enrolments in Welsh higher education institutions to increase by 2.7% from 87.6% in 2008/09 to 90% in 2012/13.

- 9 A 2.7% increase in the module completion rate for undergraduate enrolments in Welsh higher education institutions from 87.6% in 2008/09 to 90% in 2012/13.

- 10 If a student is recorded as taking the same module more than once, then the module is counted only once, with a module completion kept in preference to a module that is not completed.

- 11 The following coding is applied to the HESA record to extract the data for Welsh HEIs:

| | |
|--|--|
| Undergraduate | COURSE.COURSEAIM = all C, H, I, J codes, M22 |
| Module continuing from previous reporting year or contained within reporting year (i.e. expected to have an outcome) | STUDENTONMODULE.MODSTAT = 1, 2 |
| Module taken on a for credit basis and has an outcome | STUDENTONMODULE .MODOUT ≠ 5, 6 |

- 12 Completed modules are identified using:

| | |
|------------------|--------------------------------|
| Module completed | STUDENTONMODULE .MODOUT = 1, 2 |
|------------------|--------------------------------|

Student's overall satisfaction with the quality of their course

- 13 The student satisfaction target is defined as follows:

The three year rolling average score for Wales in the National Student Survey 'overall satisfaction' question will be equal to, or greater than, the comparative score for the UK.

This target is measured using data taken from the NSS.

Students studying through the medium of Welsh

- 14 The Welsh medium target is defined as follows:

The number of Welsh domiciled students in Welsh HEIs and FEIs undertaking some element of their HE course through the medium of Welsh will rise from 4,677 in 2008/09 to 5,600 in 2012/13.

- 15 If a student is following more than one course and has two records fitting the criteria to be included in the monitoring of the target, the student is counted only once. On the HESA student record, this means that only one instance of each student is kept, all other instances for the student are excluded. This exclusion is carried out after applying all other criteria to the data, by keeping the first occurrence of each student identifier INSTANCE.HUSID on the HESA student record, with an occurrence with some Welsh medium provision being kept in preference to an occurrence with no Welsh medium provision.
- 16 The following coding is applied to the HESA student record to extract the data for Welsh HEIs:

| | |
|--|---|
| Exclude modules taken in a previous academic year for which only the outcome is included | STUDENTONMODULE.MODSTAT \neq 4 |
| Welsh domiciled | ENTRYPROFILE.POSTCODE is a valid postcode mappable to a ward in Wales or if postcode missing, studying at a Welsh institution |

- 17 Of the students extracted using these criteria, those taking some element through the medium of Welsh are identified using:

| | |
|-------------------------------|--|
| Taking a module through Welsh | MODULE.MODLANG = 1 or MODULE.LANGPCNT > 0 |
|-------------------------------|--|

- 18 For FEIs in Wales, data collected to inform the calculation of the Welsh medium premium are used in this target, as equivalent information to that available on the HESA record is not currently available on the LLWR.

Overseas Students

- 19 The overseas target is defined as follows:

The percentage growth in the number of overseas students attending HE courses in Welsh HEIs to be equal to or greater than the comparable figure for UK HEIs, excluding London and the South East of England.

20 If a student is following more than one course and has two records fitting the criteria to be included in the monitoring of the target, the student is counted only once. On the HESA student record, this means that only one instance of each student is kept, all other instances for the student are excluded. This exclusion is carried out after applying all other criteria to the data, by keeping the first occurrence only of each student identifier INSTANCE.HUSID on the HESA student record, choosing any occurrence with an overseas domicile over an occurrence coded with a non-overseas or unknown domicile.

21 The following criteria are applied to the HESA student record to extract the data for UK HEIs:

| | |
|--|--|
| Exclude London and the South East of England | Lookup tables derive county and region using ONS data based on the postcodes of institutional headquarters |
|--|--|

22 Of the students extracted using these criteria, those from overseas are identified using:

| | |
|----------|---|
| Overseas | ENTRYPROFILE.DOMICILE = a non-EU code (non-EU codes are all codes apart from: UK; other EU codes; and not known where INSTANCE.FEEELIG ≠ 2) |
|----------|---|

23 For the purposes of this target, incoming exchange students are included, and the Channel Islands and the Isle of Man are considered to be part of the UK.

24 To measure whether the target has been met, the percentage change in the number of overseas students since the previous year for institutions in Wales is compared with the same figure for the whole of the UK, excluding institutions in London and the South East of England.

Leavers employed or studying six months after leaving

25 The employment target is defined as:

The proportion of leavers obtaining first degrees from full-time courses at Welsh HEIs who were employed, studying or both six months after leaving will be equal to, or greater than, the UK proportion by 2012/13.

26 The target is monitored using the PI in Table E1 of the HE PIs (published on the HESA website www.hesa.ac.uk) derived from data collected on the HESA Destination of Leavers from Higher Education (DLHE) survey. The base population is the set of all home-domiciled respondents to the survey who are classed as working and/or studying or as unemployed and seeking work. The reference dates for the DLHE survey are, for example, for a leaver in 2009/10: 19 April 2010 (if the leaver obtained the qualification between 1 August 2009 and 31 December 2009) and 10 January 2011 (if the leaver obtained the qualification between 1 January 2010 and 31 July 2010).

Participation Rates

- 27 The participation rate target is defined as:

The absolute participation rate within Welsh higher education providers of students from the five Universities of the Heads of the Valleys Institute (UHOVI) unitary authorities will rise by 8% to the current national average by 2012/13 (from 2.5% to 2.7%).

- 28 If a student is following more than one course and has two records fitting the criteria to be included in the monitoring of the target, the student is counted only once. On the HESA student record, this means that only one instance of each student is kept, all other instances for the student are excluded. This exclusion is carried out after applying all other criteria to the data, by keeping the first occurrence of each student identifier INSTANCE.HUSID on the HESA student record. The population is based on 2001 Census data adjusted to locate students at their home postcode with growth factors derived from mid-year estimates of the population applied. This participation rate is calculated using data which includes Welsh domiciled HE students at Welsh HEIs and FEIs, and therefore excludes students from these unitary authorities who are studying at non-Welsh UK HEIs.
- 29 The methodology used in the calculation of participation rates can be found on the HEFCW website, under 'About HE in Wales', 'Statistics', 'Participation Rates', in 'Participation rates for Welsh students in HE within the UK during 2006/07'.

Part-time Students

- 30 The part-time student target is defined as:

The total number of part-time students studying higher education courses in HEIs and FEIs in Wales will rise from 54,714 in 2008/09 to 59,000 in 2012/13

- 31 If a student is following more than one course and has two records fitting the criteria to be included in the monitoring of the target, the student is counted only once. On the HESA student record, this means that only one instance of each student is kept, all other instances for the student are excluded. This exclusion is carried out after applying all other criteria to the data, by keeping the first occurrence of each student identifier INSTANCE.HUSID on the HESA student record.

- 32 The following coding is applied to the HESA student record to extract the data for Welsh HEIs:

| | |
|--------------------------|--|
| The student is part-time | <p>INSTANCE.MODE = 31 OR INSTANCE.MODE = 02, 25 AND INSTANCE.UNITLGTH = 1 and 52* INSTANCE.SPLENGTH < 24 or INSTANCE.UNITLGTH = 2 and (integer(INSTANCE.SPLENGTH/12)*52 + remainder(INSTANCE.SPLENGTH,12)*4) < 24 or INSTANCE .UNITLGTH = 3 and INSTANCE .SPLENGTH < 24 or INSTANCE.UNITLGTH = 4 and integer(INSTANCE.SPLENGTH / 5) < 24 or INSTANCE.UNITLGTH = 5</p> |
|--------------------------|--|

- 33 The following coding is applied to the LLWR to extract the data for Welsh FEIs:

| | |
|---|--|
| HE level Learning Programme | LAIM_REF (LA06) begins with L and LEV_LEAR (LA22) = 04, 05, 06, 07, 08 or National NVQ level on the qualification aims database = 4, 5, H |
| Learning Activity Active 1/8/09 to 31/7/10 | STARTDTE (LA09) ≤ 31/07/2010 and TERMDATE (LA30) ≥ 01/08/2009 or = 31/12/9999 |
| Part-time | MODE_ATT (LP07) = 09 |

Spin-out companies, active and surviving at least three years

- 34 The spin-out target is defined as:

The number of spin-out companies still active produced from HEIs in Wales which have survived at least three years will increase by 10% from 252 in 2008/09 to 277 in 2012/13.

- 35 Data are taken from part B item 4b of the HEBCI survey. Included are the number of spin-outs with some HEI ownership, the number of spin-outs which are not HEI owned, staff start-ups and graduate start-ups.

Income from Research Councils

- 36 The Income from Research Councils target is defined as:

The annual percentage growth in income from Research Councils, from its 2008/09 base of 4.8% of the UK total, will be equal to, or greater than, the

comparable figure for UK higher education institutions (excluding the 'golden triangle' of Oxford, Cambridge and London).

The data are taken from Table 5b of the HESA Finance Statistics Record. The Open University is included as a wholly English university for the purposes of this indicator.

Annual income of HEIs

37 The annual income target is defined as:

At least 75% of the Welsh higher education institutions will have an annual income in excess of the UK median (36% in 2008/09), with no institution to be in the lower quartile by 2012/13 (4 in 2008/09).

The data are taken from Table 1 of the HESA Finance Statistics Record. The Open University is included as a wholly English university for the purposes of this indicator.

Risk status of HEIs

38 The risk status target is defined as:

No higher education institution to be classified as 'high risk' in accordance with HEFCW institutional risk review processes.

The classifications are taken from the HEFCW institutional risk review process.

Data used for publication

- 1 HESES, EYM, RAS and HESA/LLWR data are all used in HEFCW publications. Below are descriptions of some of the key publications, including data that will be published electronically as part of HEFCW's responsibility to monitor equal opportunities.

Performance Indicators – HEIs only

- 2 PIs are calculated and published by HESA on behalf of the funding councils of each of the countries of the UK. HESA and Universities and Colleges Admissions Service (UCAS) data are used in the calculation of the PIs. The PI publication is produced annually and published on the HESA website, www.hesa.ac.uk, which also includes details of how the indicators are calculated. The latest publication is *Performance Indicators in Higher Education in the UK 2008/09*.

Statistics for Funding and Funding Enrolments

- 3 *Statistics for 2009/10 Funding* is available electronically and contains summaries of the data collected on HESES 2008/09, HESA/LLWR data used in the calculation of premium, per capita and PGR training funding, and data used in the calculation of QR funding for 2009/10. The *Statistics for 2010/11 Funding* publication will be available on the HEFCW website in spring 2011. The *Funding Enrolments* publications for 2006/07 to 2009/10 will be published on the HEFCW website in early 2011 and contain summaries of data returned on the EYM surveys.

Equal opportunities monitoring

- 4 HEFCW currently use HESA data to monitor the ethnicity, disability status, gender and age of students and staff at Welsh HEIs. A summary of the analysis is published on the HEFCW website. The following criteria and fields will be used to categorise the data for 2009/10.

Students

Population at Welsh HEIs:

| | |
|--|---|
| Not incoming exchange | INSTANCE.EXCHANGE ≠ 2, 4, 8, 9, A |
| Active 1/8/09 to 31/7/10 | INSTANCE.COMDATE ≤ 31/07/10 INSTANCE.ENDDATE ≥ 01/08/09 or blank |
| Not dormant or on sabbatical | INSTANCE.MODE ≠ 51, 63, 64 |
| Undergraduate or postgraduate | COURSE.COURSEAIM = all C, D, E, H, I, J, L, M codes |
| UK domiciled (for ethnicity monitoring only) | ENTRYPROFILE.POSTCODE is a valid UK postcode |
| A full record is returned (for ethnicity and disability monitoring only) | INSTANCE.REDUCEDI = 00 |

- 5 The student population is categorised into ethnic group using the STUDENT.ETHNIC field, into disability status using the STUDENT.DISABLE and INSTANCE.DISALL fields, into gender using the STUDENT.GENDER field and into age group using the STUDENT.BIRTHDTE field.
- 6 If a student is following more than one course and has two records fitting the criteria to be included in the analysis, the student is counted only once. On the HESA student record, this means that only one instance of each student is kept, all other instances for the student are excluded. This exclusion is carried out after applying all other criteria to the data, by keeping the first occurrence of each student identifier INSTANCE.HUSID on the HESA student record, with any full-time occurrence being kept in preference to a part-time occurrence and any occurrence with a higher level of study being kept in preference to an occurrence with a lower level of study.

Staff

Population at Welsh HEIs:

| | |
|---|--|
| A member of staff on the person table has an active contract at some point during the academic year on the contract table | CONFTE (C09) > 0 and STARTCON (C22) ≤ 31/07/10 or blank and ENDCON (C23) ≥ 01/08/09 or blank |
| UK nationality (for ethnicity monitoring only) | NATION (P06) = GB, GG, JE, XL, IM |

C = contract table, P = person table, number indicates the number of the field on the record

- 7 The staff population is categorised into ethnic group using the ETHNIC (P07) field, into disability status using the DISABLE1 (P24) field, into gender using the GENDER (P05) field and into age group using the BIRTHDTE (P04) field. Summaries are shown separately for all staff and for academic staff only. Academic staff are identified using ACT1 (C24), ACT2 (C27) and ACT3 (C30).

Data used for analysis of ITT (QTS) provision

Initial Teacher Training statistical information

- 1 ITT statistical information is published by HEFCW each year. Tables showing information for each HEI with ITT (QTS) provision are produced using data from the HESA student and DLHE records and are subject to verification by HEIs. Institutions are permitted to make changes to the data to be published if they find there are errors in the data they submitted to HESA. The following criteria will be used in extracting data from the 2009/10 HESA student record:

| | |
|---|---|
| On an initial teacher training course | COURSE.TTCID = 1 |
| Not incoming exchange | INSTANCE.EXCHANGE ≠ 2, 4, 8, 9, A |
| Enrolled on instance on 1 November 2009 | INSTANCE.COMDATE ≤ 01/11/09 INSTANCE.ENDDATE > 01/11/09 or blank |
| Not dormant or on sabbatical | INSTANCE.MODE ≠ 51, 63, 64 |
| Primary or Secondary phase | INSTANCE.ITTPHSC = 15, 16, 17, 18, 19, 24, 25, 26, 53, 55, 56, 57, 61, 62, 63, 64, 65 |

- 2 In addition, destination information relating to the ITT (QTS) students extracted from the HESA student record will be extracted from the 2009/10 HESA DLHE record using the following criteria:

| | |
|---------------------------|---|
| UK or EU domiciled | ENTRYPROFILE.POSTCODE is a valid UK postcode or ENTRYPROFILE.DOMCILE is an EC domicile |
| Not deceased | INSTANCE.RSNEND ≠ 05 |
| Left in the academic year | INSTANCE.ENDDATE > 31/07/09 and INSTANCE.ENDDATE < 01/08/10 |

- 3 The following fields are used in categorising the data.

| | |
|-----------------------------------|--------------------------------------|
| Level of study | COURSE.COURSEAIM |
| Phase (primary/secondary) | INSTANCE.ITTPHSC |
| Secondary subject area | COURSESUBJECT.SBJCA1 |
| New entrants | INSTANCE.YEARPRG INSTANCE.COMDATE |
| Postgraduate entry qualifications | ENTRYPROFILE.PGCECLSS |
| Welsh medium students | COURSE.BITTM |

| | |
|--|---|
| Students gaining QTS | QUALIFICATIONSAWARDED.OUTCOME |
| Students in their final year | INSTANCE.YEARPRG INSTANCE.SPLENGTH INSTANCE.ENDDATE INSTANCE.UNITLGTH |
| Degree classification of those gaining QTS | QUALIFICATIONSAWARDED.CLASS |
| Age | STUDENT.BIRTHDTE |
| Gender | STUDENT.GENDER |
| Ethnicity | STUDENT.ETHNIC |
| Disability status of students | STUDENT.DISABLE |
| Students in receipt of DSA | INSTANCE.DISALL |
| Teaching employment marker | TCHEMP (D47) |
| Location of employment | LOCEMP (D9) |
| Tariff score | Provided by HESA defined and calculated using a combination of fields QUALIFICATIONSONENTRY.QUALTYPE and QUALIFICATIONSONENTRY.QUALGRADE |

D = DLHE record field, number indicates the number of the field on the record

Data used to monitor recruitment against the maximum student number

- 1 The maximum student numbers allocated to institutions will be monitored using HESA data for HEIs and LLWR data for FEIs, with the first year of formal monitoring taking place in 2011/12. The criteria and fields shown below will be used to extract the data from the HESA student record and the LLWR. These fields relate to 2009/10, any updates to the extraction criteria will be included in future versions of this publication.
- 2 If a student is following more than one course and has two or more records fitting the criteria to be included, the student is counted only once. On the HESA student record and the LLWR, this means that only one instance of each student is kept, all other instances for the student are excluded. This exclusion is carried out after applying all other criteria to the data, by keeping only one instance per student identifier INSTANCE.HUSID on the HESA student record, or the first occurrence only of LEARN_ID (LN02) on the LLWR.
- 3 Some new entrants have unknown completion status on the HESA student record data. We expect the numbers of these to be small as the majority of full-time undergraduate and PGCE enrolments will have known completion status at the time of completing the HESA return. We will count a proportion of these in the monitoring of the cap, with the proportion based on the proportion of completions out of those with known completion status. For FEIs, completion information cannot be obtained from the LLWR record. Therefore, credit completion rates, taken from the HESSES or EYM survey will be used to estimate the number of completions out of the data extracted.

HESA data:

| | |
|--|---|
| Home and EC HEFCW fundable | INSTANCE.FUNDCODE = 1 |
| Not incoming exchange | INSTANCE.EXCHANGE ≠ 2, 4, 8, 9, A |
| Active 1/8/09 to 31/7/10 and not in the final academic year of a non-standard academic year course | INSTANCE.TYPEYR = 1 and INSTANCE.COMDATE ≤ 31/07/10 and INSTANCE.ENDDATE ≥ 01/08/09 or blank OR INSTANCE.TYPEYR = 2 and INSTANCE.ENDDATE ≤ 31/07/10 and INSTANCE.ENDDATE ≠ blank and INSTANCE.ENDDATE > anniversary of INSTANCE.COMDATE in 2009/10 + 14 days OR INSTANCE.TYPEYR = 2 and |

| | |
|-------------------------------------|---|
| | <p>INSTANCE.ENDDATE ≤ 31/07/10 and INSTANCE.ENDDATE ≠ blank and INSTANCE.ENDDATE ≤ anniversary of INSTANCE.COMDATE in 2009/10 + 14 days and INSTANCE.UNITLGTH = 3 and INSTANCE.SPLENGTH = 01, 02 or INSTANCE.UNITLGTH = 4 and INSTANCE.SPLENGTH = 01-14 or INSTANCE.UNITLGTH = 5 and INSTANCE.SPLENGTH = 01-42 OR INSTANCE.TYPEYR = 2 and INSTANCE.COMDATE ≤ 31/07/10 and INSTANCE.ENDDATE = blank</p> |
| Full-time or sandwich mode of study | INSTANCE.MODE = 01, 23, 24, 52, 53 (sandwich year out counted as 0.5 where INSTANCE.MODE = 23, 24 and INSTANCE.LOCSDY = D, E, F, G and INSTANCE.SPECFEE = 1) |
| Studying for greater than 3% FTE | INSTANCE.STULOAD ≥ 3 |
| Undergraduate or PGCE | <p>COURSE.COURSEAIM = all C, H, I, J codes except C99, H99, I99, J99 COURSE.COURSEAIM = M22 or COURSE.COURSEAIM = M71 and COURSE.TTCID ≠ 1 or COURSE.TTCID = 1</p> |
| New entrants | INSTANCE.YEARSTU = 1 |
| Completions | <p>INSTANCE.FUNDCOMP = 1 or INSTANCE.FUNDCOMP = 4 (partial completion counted as 0.5)</p> |
| Estimated completions | <p>INSTANCE.FUNDCOMP = 3 multiplied by proportion of total new entrants with known completion status that are completed (count of INSTANCE.FUNDCOMP = 1 plus 0.5 of INSTANCE.FUNDCOMP = 4 divided by count of INSTANCE.FUNDCOMP = 1, 2, 3, 4)</p> |

LLWR data:

| | |
|--|--|
| Home and EC HEFCW fundable | MAIN_STR (LA11) = 2 |
| HE level Learning Programme | TYPE_LPG (LP17) = 51, 52, 53, 54, 55, 56, 57, 58, 59 |
| Learning Activity Active 1/8/09 to 31/7/10 | <p>STARTDTE (LA09) ≤ 31/07/10 and TERMDATE (LA30) ≥ 01/08/09 or = 31/12/9999</p> |
| Full-time or sandwich mode of study | MODE_ATT (LP07) = 07, 08 (sandwich year out counted as 0.5 where MODE_ATT (LP07) = 08) |
| Undergraduate or | LEV_LEAR (LA22) ≠ 07, 08 or |

| | |
|--------------|--|
| PGCE | LAIM_REF (LA06) and TITLE_LA (LA08) not postgraduate |
| New entrants | STARTDTE (LA09) of earliest learning activity associated with learning programme \geq 01/0809 |
| Completions | Credit completion rates are taken from the HESES or EYM survey and applied to the data extracted from the LLWR to reduce the figures to estimated number of completions. |

LP = Learning Programme dataset, LA = Learning Activity dataset, number indicates the number of the field on the record

Data used in funding comparisons

- 1 The comparison of levels of funding between Wales and other countries of the UK is carried out at a sector level using data taken from the HESA student and finance statistics records. The student population, the fields used in categorising the data and the items taken from the finance statistics record, that were used in the latest comparison (2007/08 comparison carried out in autumn 2009), are shown below.

HESA student record

Population used:

| | |
|------------------------------|---|
| Not incoming exchange | INSTANCE.EXCHANGE ≠ 1, 2, 3, 4, 6 |
| Active 1/8/07 to 31/7/08 | INSTANCE.COMDATE ≤ 31/07/08 INSTANCE.ENDDATE ≥ 01/08/07 or blank |
| Not dormant or on sabbatical | INSTANCE.MODE ≠ 51, 63, 64 |

- 2 The following criteria are used in further subsetting the data for the various comparisons:

| | |
|-------------------------------|--|
| HE level enrolments | COURSE.COURSEAIM = all C, D, E, H, I, J, L, M codes |
| Fundable enrolments | INSTANCE.FUNDCODE = 1 |
| UK or EU domiciled enrolments | ENTRYPROFILE.POSTCODE is a valid UK postcode or ENTRYPROFILE.DOMCILE is an EC domicile |

- 3 Student enrolment data are expressed on an FTE basis using the INSTANCE.STULOAD field. This is used to calculate total FTE by institution and for the sector and therefore the grant and income levels per FTE.

HESA finance statistics record

- 4 Income data are taken from Table 5b. The following table shows the items used for each category of funding:

| | |
|--------------------|------------------------------|
| HE teaching grant | Item 1a, i |
| HE grant | Item 1a, i to v |
| All grant and fees | Item 1a, i to v, plus item 2 |
| All income | Item 6 |