

## Strategic Plans 2003/04 - 2007/08: Student and Staff Number Forecasts

To: Heads of higher education institutions  
Principals of directly funded further  
education institutions

Summary: This Circular describes the student and  
staff numbers required for the Council's  
Strategic Planning exercise, and provides  
appropriate forms for completion.

Reference: W03/40HE

Publication date: 10 June 2003

Response by: 25 July 2003

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## ■ INTRODUCTION

- 1 This Circular requests institutions to submit student and staff number forecasts to the Council for the Strategic Planning period 2003/04 to 2006/07 and provides notes of guidance for completion of the return.

## ■ BACKGROUND

- 2 Circular W03/34HE, *Strategic Plan and Financial Forecast Request*, requested that institutions submit a Summary Strategic Plan covering the period 2003/04 to 2007/08 and Financial Forecasts for the period 2002/03 to 2006/07.
- 3 As is customary, paragraph 20 of the Circular stated that a standard form and electronic copy would be issued separately for the purpose of collecting forecasts of student and staff numbers.
- 4 The further education institutions receiving direct funding from Higher Education Funding Council for Wales (HEFCW) have not been requested to submit strategic plans. They are however, requested to return strategic planning student number forecasts for directly funded provision.

## ■ STUDENT AND STAFF NUMBER FORECASTS: FORMAT OF THE RETURN

- 5 For this request, higher education (HE) institutions are to return forecasts for all HE students. In addition, HE institutions are invited to return forecasts of the number of further education (FE) students at HE institutions. FE institutions are only to return forecasts of HE students to be enrolled on prescribed HE courses which are expected to be eligible for HEFCW funding directly from the Council.
- 6 If any HEIs in the process of a merger believe that their reconfiguration plans are sufficiently advanced to enable them to provide robust student and staff number forecasts on a joint basis, please contact Rachael Gray to discuss the submission. See paragraphs 10 and 22 of Circular W03/34HE, *Strategic Plan and Financial Forecast Request*, describing similar arrangements for the submission of

strategic plans and financial forecasts on a joint basis.

- 7 The definitions contained in Circular W02/68HE, *Higher Education Students Early Statistics (HESES02)*, should be used in compiling the information required by this Circular. Assumptions should be consistent with those used in the preparation of the strategic plan and the financial forecasts (Annex C and Annex D of Circular W03/34HE, *Strategic Plan and Financial Forecast Request*).
- 8 Note that credit values associated with the dissertation element of a full-time postgraduate taught course should be included as full-time.

## ■ STUDENT NUMBER FORECASTS

### FORMS SPF 1a, 1b, 2a, 2b, 3 AND 4

- 9 These forms should be completed to show the full-time enrolments (SPF1a), full-time credit values (SPF1b), sandwich year out enrolments (SPF2a), sandwich year out credit values (SPF2b), part-time credit values (SPF3) and part-time postgraduate research enrolments (SPF4) in each Academic Subject Category (ASC) in which the institution offers courses.
- 10 For full-time (SPF1a) and sandwich year-out (SPF2a) undergraduate and postgraduate, and part-time postgraduate research (SPF4), all student enrolments should be shown as the forecast number of enrolments, not full-time equivalents (FTEs). Full-time (SPF1b), sandwich year-out (SPF2b) and part-time (SPF3) provision are to be recorded on a credit value basis.
- 11 For ASC 11a (Education: Initial Teacher Training leading to QTS), if appropriate, students should be recorded separately under the Primary, Secondary Shortage and Secondary Non-Shortage sub-headings within ITT. In making their forecasts, institutions should take account of the ITT New Innovative Provision Initiative. Students predicted to be enrolled on courses supported through this initiative should be returned in ASC 11b.
- 12 The Council funds PGR provision selectively. PGR provision in Departments unrated or

rated 1 in the 2001 Research Assessment Exercise or in which they were rated 2 but, according to their returns to the Exercise, received no grants or studentships from the Research Councils, the Arts and Humanities Research Board, or the British Academy, are to be recorded as *Home and EC non-fundable*.

- 13 Institutions should also note that PGR students first registered after 31 December 2002 in departments ineligible for PGR funding are to be recorded as *Home and EC non-fundable* as consistent with HESES guidance.

#### FORM SPF3a

- 14 Where institutions are the franchisors in formal, part-time, undergraduate, franchise arrangements, these credit values should be shown in SPF3a.
- 15 Institutions are asked to separately identify (in form SPF3a) the forecast number of franchised out undergraduate credit values (to which paragraph 16 below refers) recorded in SPF3 for each of the four academic years indicated. **The franchised out credit values should also be included as undergraduate in SPF3.**
- 16 Forecasts of franchised students should be counted at the franchisor institution. However, students in the UK, forecast to be registered at institutions outside Wales, with a Welsh institution providing quality assurance, are not included within the definition of franchised students and should be included as *non-fundable* in this return. Institutions may only count students forecast to be franchised to institutions outside Wales if the Council has been notified of these courses and has agreed to their being funded.
- 17 Note that students franchised out to overseas institutions should not be included in form SPF3a. For institutions who have such an arrangement, we would ask you to include, separately, a note to show forecasts for these students covering the period 2003/04 to 2006/07.

#### FORM SPF5

- 18 HE institutions are also asked to return forecasts of FE students at HE institutions. Forecast FE students should be shown, by mode of study, as numbers of enrolments, not FTEs or credit values for part-time taught provision.

#### ■ STAFF NUMBER FORECASTS

##### FORM SPF6

- 19 Institutions should return all staff numbers in terms of FTE. In form SPF6 (Staff Numbers Forecast by Employment Function), both full-time and part-time staff numbers should be recorded in one of three sub-headings: **academic departments / schools**; **academic support services** (including central libraries and information services, central computing and computer networks and other academic services); and **other services** (central administration and services and staff and student facilities - including residences and catering and other staff).
- 20 Full-time staff are those who will be coded 1 in *Field 8: Mode of Employment* on the HESA individualised staff record, with all other staff (including those for which a HESA individualised staff record is not required i.e. FTE less than 25%) shown as part-time.
- 21 The staff FTE should reflect that to be shown in *Field 11: Staff FTE*, (where an individualised HESA return is required.) For staff with an FTE of less than 25%, the FTE may be estimated from the proportion of salary to that of a notional full-time member of staff in the same role. It is not necessary to apportion individual members of staff across the three categories even if their functions fall into more than one (for example, academic departments/schools and other services). They should be returned in the dominant category.

##### FORM SPF7

- 22 In order to enable the Council to monitor the employment terms and conditions of staff, institutions are asked to complete form SPF7. Institutions should return the forecast staff FTEs, recorded in SPF6, by

terms of employment. For full-time and part-time staff, FTEs should be recorded in one of four sub-headings: **permanent**; **fixed-term contract**; **hourly paid / casual staff**; and **other**. The terms of employment should reflect that to be shown in *Field 7: Terms of Employment* of the HESA Individualised Staff Record.

- 23 Institutions are also asked to show forecast pay expenditure against each of the four sub-headings. This information must be consistent with the corresponding data shown in the Financial Forecasts return, Table 2B Pay Expenditure (Head 9 Total pay expenditure less Head 8 Total staff restructuring) (Circular W03/34HE, *Strategic Plan and Financial Forecast Request*).
- 24 In SPF 6 the total staff FTEs for each of the four sub-headings should correspond to those figures in SPF 7.
- 25 Two annexes are included in this Circular to assist the accurate completion of the return. These are:

**Annex A:** Notes for Guidance

**Annex B:** Forms to be returned.

#### ■ DATE OF THE RETURN

- 26 Completed information should be returned to the Council by **25 July 2003**. Returns should be sent by e-mail to Rachael Gray (e-mail [hestats@elwa.ac.uk](mailto:hestats@elwa.ac.uk)). A hard copy should also be returned with the institution's Strategic Plan due by **25 July 2003** at the latest, to Anita Colley, Higher Education Funding Council for Wales, Linden Court, The Orchards, Ilex Close, Llanishen, Cardiff. CF14 5DZ.
- 27 A copy of this circular and an e-mail containing the forms have been forwarded to the statistics contact at your institution.

## ■ NOTES FOR GUIDANCE

- 1 These notes of guidance apply to all institutions which receive funding from HEFCW.
- 2 All numbers returned in forms SPF 1a, 2a, 4 and 5 of this survey should represent head counts of students and not full-time equivalents (FTEs). In forms SPF 1b, 2b, 3 and 3a, students are to be recorded in terms of the credit values associated with the modules or units that comprise the particular year of the course being pursued.
- 3 Forecasts of student numbers, or the credit values arising from forecast student numbers on modules, units or courses, should correspond to assumed registrations at year end, or at the completion of the programme of study, that is, after account has been taken of non-completions. Institutions whose full-time taught courses are semesterised should reduce the fundable numbers predicted as non-completions to reflect those forecast to complete the first semester only with each such student counted as 0.5. The adjustment applies only to full-time taught courses; no adjustment should be made for research or part-time enrolments.
- 4 All staff FTE totals in SPF 6 and SPF 7 should correspond.

## ■ CONTENTS OF THE RETURN

- 5 Each institution is being sent an e-mail with a file attachment containing ten worksheets, which contain the corresponding forms shown in **Annex B**. Each file includes a four-character prefix identifying the institution. The file \*\*\*\*\_STRAT.xls contains the following worksheets:

SPF1a	<b>Form SPF1a:</b> Full-time student registrations for the Strategic Planning period 2003/04 - 2006/07 for whom a full-time fee would be chargeable. This includes sandwich students for whom a full-time fee would be chargeable (full-time sandwich students). Undergraduate students should be split between degree and non-degree.
SPF1b	<b>Form SPF1b:</b> Full-time student registrations for the Strategic Planning period 2003/04 - 2006/07 in terms of the credit values associated with the modules or units that comprise the course.
SPF2a	<b>Form SPF2a:</b> Full-time sandwich year-out student registrations for the Strategic Planning period 2003/04 - 2006/07 for whom approximately half of the full-time fee would be chargeable. Numbers of students returned on this form should represent only those forecast full-time sandwich students on their placement year-out (including language students working or studying abroad) for whom a whole full-time fee would not be chargeable (please see Annex F of W02/68HE, <i>Higher Education Students Early Statistics (HESES02)</i> , for further guidance).
SPF2b	<b>Form SPF2b:</b> Full-time sandwich year-out student registrations for the Strategic Planning period 2003/04 - 2006/07 in terms of credit values.
SPF3	<b>Form SPF3:</b> Part-time UG and PGT forecast registrations in terms of the credit values arising from the modules, units or courses for the Strategic Planning period 2003/04 - 2006/07. Credit values arising from registrations of Mainstreamed Continuing Education, Community University of North Wales and students on Ufi courses should also be included here.

SPF3a	<b>Form SPF3a:</b> A sub-set of forecast student credit values in SPF3 showing the part-time franchised out undergraduate credit values.
SPF4	<b>Form SPF4:</b> Part-time PGR forecast student registrations for the Strategic Planning period 2003/04 - 2006/07.
SPF5	<b>Form SPF5:</b> Forecast of FE registrations at HE institutions by mode of study. Forecasts of registrations associated with Welsh for Adults provision should be included here.
SPF6	<b>Form SPF6:</b> FTE staff numbers for 2002/03 and forecast staff numbers for the Strategic Planning period 2003/04 - 2006/07 by Employment Function.
SPF7	<b>Form SPF7:</b> FTE staff numbers and pay expenditure for 2002/03 and forecast staff numbers and pay expenditure for the Strategic Planning period 2003/04 - 2006/07 by Terms of Employment.

- 6 In apportioning forecast registrations to Academic Subject Categories (ASCs) please refer to the guidance given in Annexes E, I and J of W02/68HE, *Higher Education Students Early Statistics (HESES02)*.
- 7 Note that the forms contain formulae for the summation of all columns and respondents do not need to total these. Indeed, formulae in these rows should not be adjusted.

