



## **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 reaching higher targets
  - monitoring equal opportunities
  - informing policy and
  - publication.

## **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).
- 3 HEFCW collects data from HE institutions (HEIs) and further education colleges (FECs) 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 numbers forecast request (for HEIs only, as part of the strategic planning process).
- 4 The WAG LLWR record provides student and qualifications data for FECs in Wales.
- 5 HESA collects data from all HEIs in the UK on:
  - students
  - modules
  - finance and
  - staff.
- 6 Readers of this Circular are assumed to be familiar with the HESES and EYM surveys, the RAS (HEIs only), the HESA records (HEIs only) and the LLWR (FECs only). The latest HESES, EYM, RAS and strategic planning circulars are available on the HEFCW website ([www.hefcw.ac.uk](http://www.hefcw.ac.uk)), the latest HESA data manuals are available on the HESA website ([www.hesa.ac.uk](http://www.hesa.ac.uk)) and the latest LLWR manuals are available on the WAG website ([www.wales.gov.uk](http://www.wales.gov.uk)).

## **DATA USED IN FUNDING ALLOCATIONS**

- 7 The main formula element of the teaching funding allocations is based on data returned on the HESES survey.
- 8 The widening access, disability and Welsh medium premiums and the per capita allocation are based on retrospective data taken from the HESA student and module records for HEIs, and, for HE students at FECs, the LLWR. The exceptions to this are the Welsh medium and disability premiums for FECs, where the data used are currently collected directly from FECs.
- 9 Data collected on the EYM survey are used to calculate any adjustment to teaching funding at the end of the academic year.

- 10 More information on data used in teaching funding, including the premium and per capita elements, is set out in Annex A.
- 11 There are two elements to recurrent research funding, quality research (QR) funding and the research investment fund (RIF). QR funding allocations are based on data returned to the 2001 Research Assessment Exercise (RAE) and data returned on the RAS. RIF funding allocations are based on data returned on the 2001 RAE. More information on data used in research funding is set out in Annex B.
- 12 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.
- 13 In addition to the teaching, research and PGR recurrent grant funding allocated by HEFCW, HEFCW also calculate allocations of financial contingency funds on behalf of the WAG. The allocations are calculated using retrospective data on HE and FE students at HEIs, taken from the HESA records, and retrospective data on HE students at FECs, taken from the LLWR. Further information about the data used is included in Annex A.

#### **DATA USED TO MONITOR THE REACHING HIGHER TARGETS**

- 14 Data used to monitor the reaching higher targets are taken from the HESA student, module and finance records, the LLWR and, for HE students domiciled in Wales attending UK FECs outside Wales, student datasets for UK FECs.
- 15 The targets monitored using these data are:
  - widening access
  - Welsh medium
  - Wales as a destination of first choice
  - overseas students
  - reducing overhead costs and
  - research income.
- 16 A description of each of these targets and the data used to monitor them is included in Annex D.

#### **DATA USED TO MONITOR EQUAL OPPORTUNITES**

- 17 HEFCW currently use HESA data to monitor the ethnicity, disability status and gender of students and staff at Welsh HEIs. A summary of the data will be published on the HEFCW website. Further information on the fields used is in Annex D.

#### **ENSURING THE ACCURACY OF HESA DATA**

- 18 For 2003/04 funding allocations onwards, HESA data used in the allocation of teaching and PGR training funding have been subject to verification by HEIs to confirm that HEFCW have correctly extracted the data from the HESA records. HEIs have not been able to make amendments to data during the verification process if their HESA data are incorrect.
- 19 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 verifications 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.

- 20 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.
- 21 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**

- 22 FECs have been able to make changes to the Individualised Student Record (ISR) and LLWR used in the calculation of the premium and per capita allocations, during the verification stage, up to the 2004/05 record used in 2006/07 funding.
- 23 Data taken from the 2005/06 LLWR and subsequent years' records, will be sent to FECs for confirmation only that the data have been properly extracted by HEFCW, and no amendments because the data have been returned on the LLWR incorrectly will be allowed. Therefore, FECs should take note of any discrepancies in their LLWR data found during the verification process in previous years or problems that HEFCW have brought to their attention, to ensure that 2005/06 data is fit for purpose. See paragraph 5, Annex A for further detail.
- 24 Further guidance relating to the completion of the HE fields on the LLWR for 2006/07 has been included in the 2006/07 LLWR manual.

### **DATA USED FOR PUBLICATION**

- 25 HESA student, module, staff and finance data are summarised and published annually by HEFCW in *Welsh Higher Education Statistics*. The population base and a list of the fields used in summarising the data are included in Annex E. In addition to the information published each year, a special study is included in the publication, which differs each year. Details of the data used in the special study will be included in the publication.
- 26 Each year, performance 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 E.
- 27 In the past, HE participation rates for Wales have been published on a yearly basis. The latest figures published are for 2000/01 (HEFCW circular W03/17HE). Participation rates for 2001/02, 2002/03 and 2003/04 are due to be published in autumn 2006. Data used in calculating the participation rates will be described within the circular.
- 28 A summary of data used for funding purposes has been published each year in the *Statistics for Funding* circular, in future, this information will only be published electronically on the HEFCW website. The *Funding Enrolments* circular summarises data collected in the EYM survey. These publications are described in more detail in Annex E.

## **OTHER USES OF DATA**

- 29 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 FECs or franchised to FECs from HEIs will be used to inform policy on HE in FECs.
- 30 The data described are also used by WAG in their analysis of the higher education sector, including analysis published in their statistical bulletins. 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 from both the HESA student record and NCB record are used by WAG in their analysis and for publication.
- 31 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 and 2004/05. 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 F.
- 32 As part of the strategic planning exercise, data relating to forecast student and staff numbers at HEIs are collected. These data are used for HEFCW's internal monitoring and planning processes and are not published or used in funding calculations.
- 33 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 FECs, 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**

- 34 Annex K of the HESES and EYM circulars for 2005/06 show the criteria and HESA fields used to compare HESA student and module data and data returned on the HESES and EYM surveys. These annexes are updated as changes to the HESA records take place.

## **AUDIT**

- 35 All data used for funding will continue to be subject to audit.

## **CONTENTS**

- 36 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 funding allocation
  - Annex D: Data used for monitoring purposes
  - Annex E: Data used for publication

## **FURTHER INFORMATION**

- 37 Further information, including any updates to the information contained within this circular, can be found on the statistical data web pages of the HEFCW website, [www.hefcw.ac.uk](http://www.hefcw.ac.uk), under 'Finance and Assurance'. Any queries regarding this circular should be directed to Hannah Falvey (e-mail [hestats@hefcw.ac.uk](mailto:hestats@hefcw.ac.uk), telephone 029 2068 2240).

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## DATA USED IN TEACHING FUNDING ALLOCATIONS

- 1 The descriptions below refer to HESA and LLWR data collected in 2005/06 that will be used in 2007/08 funding calculations. However, it can be assumed that the same fields and coding will be used in future years, unless otherwise notified.
- 2 For 2007/08 teaching funding allocations, data will be taken from the HESES 2006/07 survey, the 2005/06 HESA student and module records or LLWR, and, for the Welsh medium premium, where allocations are based on the previous two years' data, additionally the 2004/05 HESA student and module records. Using HESA and LLWR data enables premium and per capita allocations to be calculated with the minimum need to collect additional data from institutions.
- 3 For FECs 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 FECs. 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, FECs 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. 2005/06 LLWR data used in funding will be that taken from the December 2006 monthly extract supplied by WAG. WAG will provide FECs with a summary of their data prior to the December extract, and it is expected that FECs 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 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 11b, postgraduate and part-time provision in ASC 1 and part-time provision in ASC 11a is calculated using completed credit values associated with home and EC students eligible for HEFCW funds, returned on the HESES survey, and funded credit values allocated to the institution. For the calculation of 2007/08 funding, this will be HESES data and funded credit values for 2006/07.

- 9 The calculation of funded credits for full-time undergraduate provision in ASC 1 and full-time provision in ASC 11a is based on a quota controlled number of places and progression rates calculated from data returned on the HESSES survey.
- 10 After the recurrent grant announcement is made in March 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 records and the LLWR, and for FECs, for the disability and Welsh medium premiums, data collected directly from FECs.
- 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 the first occurrence only of each student identifier HUSID (S04) on the HESA student record, or the first occurrence only of LEARN\_ID (LP02/LA02) on the LLWR. For the widening access premium, if there are multiple occurrences with different postcodes, and the postcodes are in different areas of affluence, a postcode in the area of lowest affluence is used in the calculation of the premium. For the disability premium, if there are multiple occurrences with not all occurrences being in receipt of DSA, an occurrence in receipt of DSA is kept.
- 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 2004 and finishes in December 2006, 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 studying for the whole of the programme outside the UK
  - 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 based on the SAS program for each of the funding allocations are available on the statistical data web pages of the HEFCW website.

### Per Capita Funding

18 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

19 For HEIs, the following coding applied to the HESA student and module records is used to extract the data:

Home and EC HEFCW fundable	FUNDCODE (S65) = 1 and FESTUMK (S6) ≠ 3
At least 10 credit values	CRDTPTS (M9) ≥ 10 (summed over all modules)
Not outside UK for whole course	LOCSDY (S71) ≠ 7
Not incoming exchange	SPCSTU (S28) ≠ 3, 4, 5, 6, 8
Active 1/8/05 to 31/7/06 and not in the final academic year of a non-standard academic year course	TYPEYR = 1 (S138) and COMDATE (S26) ≤ 31/07/06 and DATELEFT (S35) ≥ 01/08/05 or blank OR TYPEYR (S138) = 2 and DATELEFT (S35) ≤ 31/07/06 and DATELEFT (S35) ≠ blank and DATELEFT (S35) > anniversary of COMDATE (S26) in 2005/06 + 14 days OR TYPEYR (S138) = 2 and DATELEFT (S35) ≤ 31/07/06 and DATELEFT (S35) ≠ blank and DATELEFT (S35) ≤ anniversary of COMDATE (S26) in 2005/06 + 14 days and UNITLGTH (S50) = 3 and SPLLENGTH (S49) = 01, 02 or UNITLGTH (S50) = 4 and SPLLENGTH (S49) = 01-14 or UNITLGTH (S50) = 5 and SPLLENGTH (S49) = 01-42 OR TYPEYR (S138) = 2 and COMDATE (S26) ≤ 31/07/06 and DATELEFT (S35) = blank
Active mode of study	MODE (S70) = 01, 02, 23, 24, 25, 31, 52, 53
Undergraduate or postgraduate taught	QUALAIM (S41) = 03, 05, 07, 08, 10, 12, 13, 15, 18, 20-30, 32, 33, 41-45, 51, 52, 61, 62, 97, 98

*S = student record, M = module record, number indicates the number of the field on the record*

20 For FECs, 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
Learning Activity Active 1/8/05 to 31/7/06	STARTDTE (LA09) ≤ 31/07/2006 and TERMDATE (LA30) ≥ 01/08/2005 or = 31/12/9999

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

### Widening Access Premium

21 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

22 For HEIs, the following coding applied to the HESA student and module records is used to extract the data:

Home and EC HEFCW fundable	FUNDCODE (S65) = 1 and FESTUMK (S6) ≠ 3
At least 10 credit values	CRDTPTS (M9) ≥ 10 (summed over all modules)
Not outside UK for whole course	LOCSDY (S71) ≠ 7
Not incoming exchange	SPCSTU (S28) ≠ 3, 4, 5, 6, 8
Active 1/8/05 to 31/7/06 and not in the final academic year of a non-standard academic year course	TYPEYR (S138) = 1 and COMDATE (S26) ≤ 31/07/06 and DATELEFT (S35) ≥ 01/08/05 or blank OR TYPEYR (S138) = 2 and DATELEFT (S35) ≤ 31/07/06 and DATELEFT (S35) ≠ blank and DATELEFT (S35) > anniversary of COMDATE (S26) in 2005/06 + 14 days OR TYPEYR (S138) = 2 and DATELEFT (S35) ≤ 31/07/06 and DATELEFT (S35) ≠ blank and DATELEFT (S35) ≤ anniversary of COMDATE (S26) in 2005/06 + 14 days and UNITLGTH (S50) = 3 and SPLLENGTH (S49) = 01, 02 or UNITLGTH (S50) = 4 and SPLLENGTH (S49) = 01-14 or UNITLGTH (S50) = 5 and SPLLENGTH (S49) = 01-42 OR TYPEYR (S138) = 2 and COMDATE (S26) ≤ 31/07/06 and DATELEFT (S35) = blank
Active mode of study	MODE (S70) = 01, 02, 23, 24, 25, 31, 52, 53
Undergraduate	QUALAIM (S41) = 15, 18, 20-30, 32, 33, 41-45, 51, 52, 61, 97

*S = student record, M = module record, number indicates the number of the field on the record*

23 For FECs, 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
Learning Activity Active 1/8/05 to 31/7/06	STARTDTE (LA09) ≤ 31/07/2006 and TERMDATE (LA30) ≥ 01/08/2005 or = 31/12/9999

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

24 For both HEIs and FECs, eligible students are further categorised in order to calculate the three different elements of the widening access premium: low affluence, Community First and non-traditional qualifications. Each element is calculated separately and students can be included in the calculation of more than one element.

25 For the low affluence element, eligible students are categorised into four affluence groups, according to the socio-economic status of the student which is derived from their home postcode (HESA student record field 75 POSTCODE for HEIs and LLWR Learning Programme postcode field POST\_SLP (LP09) for FECs). Those in the least affluent group are included in the calculation of the low affluence element of the widening access premium.

26 For the Community First element, eligible students are categorised, using the home postcode of the student (HESA student record field 75 POSTCODE for HEIs and LLWR Learning Programme postcode field POST\_SLP (LP09) for FECs), 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, 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.

- 27 The third element of the widening access premium is allocated in relation to students with a non-traditional qualification as their highest qualification on entry. These include access courses, non-advanced qualifications, APEL/APL, foundation courses and no formal qualifications. The following coding is used to categorise the data for HEIs:

Non-traditional qualifications on entry	QUALENT2 (S21) = 44, 45, 48, 41, 55, 56, 92, 93, 98, 29, 43
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For FECS, the following coding is used:

Non-traditional qualifications on entry	TYPEHQUA (LP21) = 20, 31, 32, 33, 34, 35, 40, 50, 71, 72, 98 and LVL_HQUA (LP22) ≠ 4, 5 OR TYPEHQUA (LP21) = 10, 30 and LVL_HQUA (LP22) ≠ 3, 4, 5
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### Disability Premium

- 28 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).

- 29 For HEIs, the following coding applied to the HESA student and module records is used to extract the data:

Home and EC HEFCW fundable	FUNDCODE (S65) = 1 and FESTUMK (S6) ≠ 3
At least 10 credit values (or 8.3% FTE for PGR students)	CRDTPTS (M9) ≥ 10 (summed over all modules) (STULOAD (S74) ≥ 8.3)
Not outside UK for whole course	LOCSDY (S71) ≠ 7
Not incoming exchange	SPCSTU (S28) ≠ 3, 4, 5, 6, 8
Active 1/8/05 to 31/7/06 and not in the final academic year of a non-standard academic year course	TYPEYR (S138) = 1 and COMDATE (S26) ≤ 31/07/06 DATELEFT (S35) ≥ 01/08/05 or blank OR TYPEYR (S138) = 2 and DATELEFT (S35) ≤ 31/07/06 and DATELEFT (S35) ≠ blank and DATELEFT (S35) > anniversary of COMDATE (S26) in 2005/06 + 14 days OR TYPEYR (S138) = 2 and DATELEFT (S35) ≤ 31/07/06 and DATELEFT (S35) ≠ blank and DATELEFT (S35) ≤ anniversary of COMDATE (S26) in 2005/06 + 14 days and UNITLGTH (50) = 3 and SPLNGTH (49) = 01, 02 or UNITLGTH (50) = 4 and SPLNGTH (49) = 01-14 or UNITLGTH (50) = 5 and SPLNGTH (49) = 01-42 OR

	TYPEYR (S138) = 2 and COMDATE (S26) ≤ 31/07/06 and DATELEFT (S35) = blank
Active mode of study	MODE (S70) = 01, 02, 23, 24, 25, 31, 52, 53
In receipt of DSA	DISALL (S15) = 4
Undergraduate or postgraduate	QUALAIM (S41) = 02-08, 10, 12-15, 18, 20-30, 32, 33, 41-45, 51, 52, 61, 62, 97, 98

*S = student record, M = module record, number indicates the number of the field on the record*

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

### Welsh Medium Premium

- 31 The Welsh medium premium is calculated using the FTE taught through the medium of Welsh of modules studied by students fitting the inclusion criteria, where at least 25% of the module is taught through the medium of Welsh, 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.
- 32 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
- 33 For HEIs, the following coding applied to the HESA student and module records is used to extract the data:

Home and EC HEFCW fundable	FUNDCODE (S65) = 1 and FESTUMK (S6) ≠ 3
Not outside UK for whole course	LOCSDY (S71) ≠ 7
Not incoming exchange	SPCSTU (S28) ≠ 3, 4, 5, 6, 8
Active 1/8/05 to 31/7/06 and not in the final academic year of a non-standard academic year course	TYPEYR (S138) = 1 and COMDATE (S26) ≤ 31/07/06 DATELEFT (S35) ≥ 01/08/05 or blank OR TYPEYR (S138) = 2 and DATELEFT (S35) ≤ 31/07/06 and DATELEFT (S35) ≠ blank and DATELEFT (S35) > anniversary of COMDATE (S26) in 2005/06 + 14 days OR TYPEYR (S138) = 2 and DATELEFT (S35) ≤ 31/07/06 and DATELEFT (S35) ≠ blank and DATELEFT (S35) ≤ anniversary of COMDATE (S26) in 2005/06 + 14 days and UNITLGTH (S50) = 3 and SPLLENGTH (S49) = 01, 02 or UNITLGTH (S50) = 4 and SPLLENGTH (S49) = 01-14 or UNITLGTH (S50) = 5 and SPLLENGTH (S49) = 01-42 OR TYPEYR (S138) = 2 and COMDATE (S26) ≤ 31/07/06 DATELEFT (S35) = blank
Active mode of study	MODE (S70) = 01, 02, 23, 24, 25, 31, 52, 53
Undergraduate or postgraduate taught	QUALAIM (S41) = 03, 05, 07, 08, 10, 12, 13, 15, 18, 20-30, 32, 33, 41-45, 51, 52, 61, 62, 97, 98
25% of module is Welsh medium	MODPW1-MODPW16 (S101-S116) ≥ 25

Not Welsh language or literature	SBJ01 (M13) ≠ Q560, Q561
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*S = student record, M = module record, number indicates the number of the field on the record*

- 34 For FECs, data relating to modules taught through the medium of Welsh are not currently available from the LLWR, therefore, data are collected directly from FECs to use in calculating the premium.
- 35 It should be noted that the way in which data are coded and extracted to use in the Welsh medium premium is currently being discussed with institutions. Therefore, although the method and coding described in this annex are the latest used, they may change depending on the outcome of the discussions. Institutions will be informed of any changes.

### FINANCIAL CONTINGENCY FUND

- 36 Data used in the calculation of financial contingency funds are extracted from the HESA records and the LLWR.
- 37 If a student is following more than one course and has two records fitting the criteria to be included in the calculation of the financial contingency fund, 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 the first occurrence only of each student identifier HUSID (S04) on the HESA student record, or the first occurrence only of LEARN\_ID (LP02/LA02) on the LLWR.
- 38 Students eligible to be included in the calculation of financial contingency funds are those who are:
- UK or EC domiciled
  - not studying for the whole of the programme outside the UK
  - not incoming exchange
  - active within the reporting period
  - studying on an undergraduate or postgraduate taught course in an HEI or FEC, or on a further education course at an HEI
  - studying for at least 60 credit values at HEIs, or at least 225 learning hours during the academic year at FECs
- 39 For HEIs, the following coding applied to the HESA student and module records is used to extract the data:

UK or EC domicile	POSTCODE (S75) is a valid UK postcode or DOMCILE (S12) is an EC domicile
At least 60 credit values	CRDTPTS (M9) ≥ 60 (summed over all modules)
Not outside UK for whole course	LOCSDY (S71) ≠ 7
Not incoming exchange	SPCSTU (S28) ≠ 3, 4, 5, 6, 8
Active 1/8/05 to 31/7/06	COMDATE (S26) ≤ 31/07/06 and DATELEFT (S35) ≥ 01/08/05 or blank
Active mode of study	MODE (S70) = 01, 02, 12, 13, 14, 23, 24, 25, 31, 32, 33, 34, 35, 36, 37, 52, 53
Further education, undergraduate or postgraduate taught	QUALAIM (S41) = 03, 05, 07, 08, 10, 12, 13, 15, 18, 20-30, 32, 33, 41-45, 51-55, 61-63, 71-86, 97-99

*S = student record, M = module record, number indicates the number of the field on the record*

- 40 For FE students at HEIs, if credit points information is not available from the record, the value of the credit points field (CRDTPTS (M9)) is estimated using MODE (S70).
- 41 For FECs, the following coding applied to the LLWR is used to extract the data:

Home and EC HEFCW fundable Learning Activity	MAIN_STR (LA11) = 2
Learning Activity Active 1/8/05 to 31/7/06	STARTDTE (LA09) ≤ 31/07/2006 and TERMDATE (LA30) ≥ 01/08/2005 or = 31/12/9999
HE level Learning Programme	TYPE_LP (LP17) = 51, 52, 53, 54, 55
At least 225 learning hours during academic year	Learning hours during the academic year calculated using LEARNHRS (LA24) and expected duration of Learning Activity in days (using STARTDTE (LA09), EENDDATE (LA10) and TERMDATE (LA30))

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

- 42 In calculating financial contingency fund allocations, students are categorised into those who are Welsh and non-Welsh domiciled using POSTCODE (S75) from the HESA student record and POST\_SLP (LP09) from the LLWR.
- 43 In addition to the criteria described above, an additional element of financial contingency funds is allocated based on postcodes that attract the low affluence element of the widening access premium payments (see paragraphs 21 to 27 of this annex). This applies to all students eligible to be included in the calculation of the financial contingency fund allocations.
- 44 It should be noted that the way in which the financial contingency funds are allocated is being reviewed for 2007/08 allocations. Therefore, although the method and coding described in this annex are the latest used, they may change depending on the outcome of the review. Institutions will be informed of any changes.

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**DATA USED IN RESEARCH FUNDING ALLOCATIONS**

- 1 Only HEIs are eligible for research funding.

**QR funding**

- 2 QR funding is calculated using data returned on the RAS and to the 2001 RAE. The 2006/07 RAS, the data from which will be used in the calculation of 2007/08 QR funding, will be published in autumn 2006. Definitions used in the collection of data for the 2001 RAE can be found in RAE circular 2/99, available from the RAE website, [www.hero.ac.uk/rae](http://www.hero.ac.uk/rae).
- 3 HEIs with units of assessment (UoAs) rated 4 or above in the 2001 RAE are eligible for QR funding. QR funding is allocated by UoA and is calculated as research volume multiplied by a unit of funding. The units of funding are relative to subject cost and to research quality. For 2007/08 funding, units of funding will be those for 2006/07 uprated by GDP and any efficiency gain for 2007/08. If the volume is such that the total funding allocation exceeds the total funding available for 2007/08, then the units of funding are scaled down so that the total allocated is equal to the total available.
- 4 Research volume is calculated using a major volume measure of FTE of Category A and incoming Category A\* research active academic staff, weighted at 1, taken from the RAE 2001 and minor volume measures of FTE research fellows, FTE research assistants, FTE research students and external charitable income converted to FTE. The minor volume measures are taken from the RAS, averaged over two years and are 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.

**RIF funding**

- 5 RIF funding for 2007/08 will be calculated using data returned to the 2001 RAE. HEIs with UoAs that were rated 3a, or were rated 3b where this was an improvement over performance in the 1996 RAE or a new entry to the RAE in 2001, are eligible for RIF funding. Funding is allocated in proportion to the FTE of Category A and incoming Category A\* research active academic staff, weighted for subject cost.

## 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 2005/06 that will be used in 2007/08 funding calculations. However, it can be assumed that the same fields and coding will be used in future years, unless otherwise notified. The data should broadly be equivalent to data for PGR students returned in Table 4 of the EYM survey.
- 2 Students eligible to be included in the calculation of PGR funding are those in:
  - RAE UoAs rated 3b or above in the 2001 RAE or
  - RAE UoAs rated 2 where the department was in receipt of Research Council, Arts and Humanities Research Board or British Academy studentships or grants and HEFCW has notified the HEI that it is eligible to receive funding in respect of those UoAs.
- 3 The students must be:
  - home and EC fundable
  - studying for PGR qualifications
  - not studying for the whole of the programme outside the UK
  - not incoming exchange
  - active within the reporting period and
  - on the first three years full-time or full-time equivalent of the postgraduate 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, by keeping the first occurrence only of each student identifier HUSID (S04) on the HESA student record. If there are multiple occurrences with different qualification aims, the occurrence with the highest level of qualification 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 2004 and finishes in December 2006, 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	FUNDCODE (S65) = 1
Not outside UK for whole course	LOCSDY (S71) ≠ 7
Not incoming exchange	SPCSTU (S28) ≠ 3, 4, 5, 6, 8

Active 1/8/05 to 31/7/06 and not in the final academic year of a non-standard academic year course	TYPEYR (S138) = 1 and COMDATE (S26) ≤ 31/07/06 and DATELEFT (S35) ≥ 01/08/05 or blank OR TYPEYR (S138) = 2 and DATELEFT (S35) ≤ 31/07/06 and DATELEFT (S35) ≠ blank and DATELEFT (S35) > anniversary of COMDATE (S26) in 2005/06 + 14 days OR TYPEYR (S138) = 2 and DATELEFT (S35) ≤ 31/07/06 and DATELEFT (S35) ≠ blank and DATELEFT (S35) ≤ anniversary of COMDATE (S26) in 2005/06 + 14 days and UNITLGTH (S50) = 3 and SPLNGTH (S49) = 01, 02 or UNITLGTH (S50) = 4 and SPLNGTH (S49) = 01-14 or UNITLGTH (S50) = 5 and SPLNGTH (S49) = 01-42 OR TYPEYR=2 and COMDATE (S26) ≤ 31/07/06 and DATELEFT (S35) = blank
Active mode of study	MODE (S70) = 01, 02, 31
Postgraduate research	QUALAIM (S41) = 02, 04, 06, 14
First 3 years if full-time, first 6 years if part-time (2 years full-time, 4 years part-time if MPhil)	YEARSTU (S30) = 1, 2, 3, (full-time) = 1, 2, 3, 4, 5, 6 (part-time) (MPhil taken to be where QUALAIM = 04, 06, 14)

S = student record, number indicates the number of the field on the record

- 8 The students are further categorised into subject groups which attract different levels of funding, based on ASC. The students are categorised into subject group using the first subject of qualification aim field, SBJQA1 (S43), on the HESA student record. The table below shows the mapping.

Subject group	ASCs	SBJQA1 (JACS codes)	Corresponding UoAs
1	1b, 1d	A3, A4	1, 2, 3, 4
2	1a, 1c, 3, 4, 6	A codes (excluding A3, A4), B2, C codes, D codes, F codes, G codes, H codes, J codes, L140	5, 8, 9, 13-32, 69 (sports science only)
3	All other ASCs	All other JACS codes	All other UoAs

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**DATA USED TO MONITOR THE REACHING HIGHER TARGETS**

- 1 The reaching higher targets are a set of sector targets devised to measure progress towards the aims of the WAG's Reaching Higher strategy for HE in Wales. Progress towards several of these targets is measured using data returned on the HESA student, module, non-credit bearing course and finance statistic records, the LLWR and data relating to Welsh domiciled HE students at UK FECs. These targets are:

- Widening access
- Welsh medium
- Wales as a destination of first choice
- Overseas students
- Overhead costs
- Research income

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

**Widening Access**

- 2 The widening access target is defined as follows:

The percentage of all full-time and part-time Welsh domiciled undergraduate new entrants to HE courses at UK HEIs or FECs who are domiciled in the Welsh Community First Areas corresponding to the 100 most deprived electoral divisions, according to the Assembly Multiple Index of Deprivation, to rise from 8.9% in 2000/01 to 11.4% in 2010/11.

- 3 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 HUSID (S04) 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.
- 4 The following coding is applied to the HESA student record to extract the data for UK HEIs:

New entrants	ENTRYCODE (S27) = 1, 4, 5
Not outside UK for whole course	LOCSDY (S71) ≠ 7
Not incoming exchange	SPCSTU (S28) ≠ 3, 4, 5, 6, 8
Active 1/8/05 to 31/7/06	COMDATE (S26) ≤ 31/07/06 DATELEFT (S35) ≥ 01/08/05 or blank
Not dormant	MODE (S70) ≠ 63, 64
Undergraduate	QUALAIM (S41) = 15, 18, 20 to 30, 32, 33, 41-45, 51, 52, 61, 97
Welsh domiciled	POSTCODE (S75) is a valid postcode mappable to a ward in Wales

*S = student record, number indicates the number of the field on the record*

- 5 The following coding is applied to the LLWR to extract the data for Welsh FECs:

New entrants	STARTDTE (LA09) ≥ 01/08/2005 (for first HE learning activity started)
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 1/8/05 to 31/7/06	STARTDTE (LA09) ≤ 31/07/2006 and TERMDATE (LA30) ≥ 01/08/2005 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*

- 6 Of the students extracted using these criteria, those in the 100 most deprived electoral divisions are then identified using the POSTCODE (S75) field on the HESA student record and the POST\_SLP (LP09) field on the LLWR.

- 7 Data for Welsh domiciled HE students at English, Scottish and Northern Irish FECs are taken from datasets obtained from the relevant funding bodies in the rest of the UK. The criteria used to extract and categorise the data are the same as those used to for the HESA and LLWR data.

### Welsh Medium

- 8 The Welsh medium target is defined as follows:

The proportion of full-time and part-time students in Welsh HEIs and FECs undertaking some element of their HE course through the medium of Welsh to increase from 3.4% in 2000/01 to 7% by 2010/11.

- 9 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 HUSID (S04) on the HESA student record, with an occurrence with some Welsh medium provision being kept in priority to an occurrence with no Welsh medium provision.

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

Not outside UK for whole course	LOCSDY (S71) ≠ 7
Not incoming exchange	SPCSTU (S28) ≠ 3, 4, 5, 6, 8
Active 1/8/05 to 31/7/06	COMDATE (S26) ≤ 31/07/06 DATELEFT (S35) ≥ 01/08/05 or blank
Not dormant	MODE (S70) ≠ 63, 64
Undergraduate or postgraduate	QUALAIM (S41) = 02-08, 10, 12-15, 18, 20-30, 32, 33, 41-45, 51, 52, 61, 62, 97, 98

*S = student record, number indicates the number of the field on the record*

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

Taking a module through Welsh	MODPW (S101-S116) ≥ 0 or MODID (M05) has 'w' or 'W' at the end of the identifier
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*M = module record, number indicates the number of the field on the record*

- 12 For FECs 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.

### Wales as Destination of First Choice

- 13 The Wales as a destination of first choice target is defined as follows:

The proportion of all Welsh domiciled full-time HE students enrolled at UK HEIs who are studying at HEIs in Wales to rise from 60.1% in 2000/01 to 66.0% in 2010/11.

- 14 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 HUSID (S04) on the HESA student record, choosing any occurrence with a Welsh domicile over an occurrence coded with a non-Welsh or unknown domicile.
- 15 The following coding is applied to the HESA student record to extract the data for UK HEIs:

Not outside UK for whole course	LOCSDY (S71) ≠ 7
Not incoming exchange	SPCSTU (S28) ≠ 3, 4, 5, 6, 8
Active 1/8/05 to 31/7/06	COMDATE (S26) ≤ 31/07/06 DATELEFT (S35) ≥ 01/08/05 or blank
Full-time or sandwich year out	MODE (S70) = 01, 52, 53, 23, 24 or MODE (S70) = 02, 25 and expected length ≥ 24 weeks (using SPLNGTH (S49) and UNITLGTH (S50))
Undergraduate or postgraduate	QUALAIM (S41) = 02-08, 10, 12-15, 18, 20-30, 32, 33, 41-45, 51, 52, 61, 62, 97, 98
Welsh domiciled	POSTCODE (S75) is valid postcode mappable to a ward in Wales

*S = student record, number indicates the number of the field on the record*

- 16 Of the students extracted using these criteria, the proportion who are at institutions in Wales is used to measure progress towards the target.

### Overseas Students

- 17 The overseas target is defined as follows:

The percentage change 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, by 2010/11.

- 18 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 HUSID (S04) on the HESA student record, choosing any occurrence with an overseas domicile over an occurrence coded with a non-overseas or unknown domicile.
- 19 The following coding is applied to the HESA student record to extract the data for UK HEIs:

Not outside UK for whole course	LOCSDY (S71) ≠ 7
Active 1/8/05 to 31/7/06	COMDATE (S26) ≤ 31/07/06 DATELEFT (S35) ≥ 01/08/05 or blank
Undergraduate or postgraduate	QUALAIM (S41) = 02-08, 10, 12-15, 18, 20-30, 32, 33, 41-45, 51, 52, 61, 62, 97, 98
Not dormant	MODE (S70) ≠ 63, 64
Overseas	DOMICILE (S12) = a non-EU code (non-EU codes are all codes apart from: UK; other EU codes (including the 10 accession countries); and stateless codes 1783 and 1782 where FEEELIG ≠ 2)

*S = student record, number indicates the number of the field on the record*

- 20 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.
- 21 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.

### **Overhead Costs**

- 22 The overhead costs target is defined as follows:

The median administration cost per FTE student for Welsh HEIs to drop from the level of the 45<sup>th</sup> percentile for administration cost per FTE student in UK (excluding London and the South East of England) HEIs to the 40<sup>th</sup> by 2007/08 and to the 25<sup>th</sup> by 2010/11.

- 23 The data used to measure progress towards the overhead costs target are taken from the *Higher Education Management Statistics* (HEMS) at institutional level, published each year on CD by HESA. Data are taken from the Unit Expenditure Tables 1 to 3. These tables contain expenditure by category expressed on a per FTE basis. Expenditure data to inform these tables are taken from the HESA finance statistics record; FTE totals are taken from the HESA student and non-credit bearing records and include FTE for students on HE, FE and non-credit bearing courses.

- 24 The overhead cost is calculated as the sum of the following three components:

- Total academic departments expenditure per FTE student not spent on academic staff  
( = statistic A x (statistic C + statistic D)/100 )
- Total academic services expenditure per FTE student (statistic F)
- Total administration & central services expenditure per FTE student (statistic K)

The statistic letters correspond with those in the HEMS tables.

- 25 The median of the overhead cost values is calculated for UK HEIs, excluding those institutions from London and the South East of England, and for HEIs in Wales. These two figures are compared to measure progress towards the target.

### **Research Income**

- 26 The research income targets are defined as follows:

Target (a) – The percentage of Research Council funding attracted by HEIs in Wales to rise from 3.3% of the UK total in 2000/01 to 4.5% in 2010/11.

Target (b) – The research income of Welsh HEIs from sources other than the Research Councils to rise by 60% by 2007/08 and 100% by 2010/11, compared to £55.7m in 2000/01.

- 27 Progress towards these targets is measured using data taken from the HESA finance statistics record. For target (a), the amount of Research Council funding received is taken from Table 4, 'Total Research Grants and Contracts Income', under column 1 'OST Research Councils'. For target (b), the research income from sources other than the Research Councils is also taken from Table 4, and includes total research grants and contracts income recorded under columns 2 to 8.

## 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 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](http://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 2004/05*.

## INITIAL TEACHER TRAINING PERFORMANCE INFORMATION – HEIs ONLY

- 3 ITT performance 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 2005/06 HESA student record:

On an initial teacher training course	TTCID (S53) = 1
Not outside UK for whole course	LOCSDY (S71) ≠ 7
Not incoming exchange	SPCSTU (S28) ≠ 3, 4, 5, 6, 8,
Enrolled on course on 1 November 2005	COMDATE (S26) ≤ 01/11/05 DATELEFT (S35) > 01/11/05 or blank
Not dormant	MODE (S70) ≠ 63, 64

S = student record, number indicates the number of the field on the student record

- 4 In addition, destination information relating to the ITT (QTS) students extracted from the HESA student record will be extracted from the 2005/06 HESA DLHE record using the following criteria:

UK or EU domiciled	POSTCODE (S75) is a valid UK postcode or DOMCILE (S12) is an EC domicile
Undergraduate or postgraduate qualification obtained	QUAL1 (S37) = 02-08, 12-14, 18, 20-23, 28-30, 33, 41, 42 or QUAL2 (S38) = 02-08, 12-14, 18, 20-23, 28-30, 33, 41, 42
Not deceased	RSNLEAVE (S33) ≠ 05
Left in the academic year	DATELEFT (S35) > 31/07/05 and DATELEFT (S35) < 01/08/06

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

Level of study	QUALAIM (S41)
Phase (primary/secondary)	ITTPHSC (S54)
Secondary subject area	SBJQA1 (S43)
New entrants	ENTRYCDE (S27)
UCAS entrants	UCASNUM (S133)
Tariff points	TOTALTS (S183)

Postgraduate entry qualifications	PGCECLSS (S77)
Welsh medium students	BITTM (S55)
Students gaining QTS	OUTCOME (S146)
Students in their final year	YEARPRG (S72), SPLNGTH (S49), DATELEFT (S35), UNITLGTH (S50)
Degree classification of those gaining QTS	CLASS (S39)
Age	BIRTHDTE (S10)
Gender	GENDER (S11)
Ethnicity	ETHNIC (S14)
Disability status of students	DISABLE (S16)
Students in receipt of DSA	DISALL (S15)
Teaching employment marker	TCHEMP (D47)
Location of employment	LOCEMP (D9)

*S = student record, D = DLHE record, number indicates the number of the field on the record*

## WELSH HIGHER EDUCATION STATISTICS

- 6 The data definitions used in the Welsh higher education statistics publication correspond to those used in the publications produced annually by HESA. The publication contains summary statistics for student, staff and finance data for HE provision in Wales, with some figures for students elsewhere in the UK. In addition, the publication contains a summary of the information published electronically in *Performance Indicators in Higher Education in the UK* by HESA, for HEIs in Wales. Below is a description of the student and staff population bases that will be used and the fields on the HESA records that are used to produce statistics for this publication. Only limited statistics relating to HE students at Welsh FECs are included in the publication.

### HESA student and DLHE records

Population used for student summary statistics:

Not outside UK for whole course	LOCSDY (S71) ≠ 7
Not incoming exchange	SPCSTU (S28) ≠ 3, 4, 5, 6, 8,
Active in the academic year (equivalent to HESA standard registration population)	COMDATE (S26) ≤ 31/07/06 and DATELEFT (S35) = blank and TYPEYR (S138) = 1 or TYPEYR (S138) = 2 and NOTACT (S137) = blank OR COMDATE (S26) ≤ 31/07/06 and DATELEFT (S35) > Anniversary of COMDATE (S26) + 14 days OR COMDATE (S26) ≤ 31/07/06 and DATELEFT (S35) ≤ Anniversary of COMDATE (S26) + 14 days and UNITLGTH (S50) = 3 and SPLNGTH (S49) = 01, 02 or UNITLGTH (S50) = 4 and SPLNGTH (S49) = 01-14 or UNITLGTH (S50) = 5 and SPLNGTH (S49) = 01-42
Not dormant	MODE (S70) ≠ 63, 64
Undergraduate or postgraduate	QUALAIM (S41) = 02-08, 10, 12-15, 18, 20-30, 32, 33, 41-45, 51, 52, 61, 62, 97, 98

Population used for destination of leavers summary statistics:

UK or EU domiciled	POSTCODE (S75) is a valid UK postcode or DOMCILE (S12) is an EC domicile
Not outside UK for whole course	LOCSDY (S71) ≠ 7
Not dormant	MODE (S70) ≠ 63, 64
Undergraduate or postgraduate qualification obtained	QUAL1 (S37) = 02-08, 12-14, 18, 20-23, 28-30, 33, 41, 42 or QUAL2 (S38) = 02-08, 12-14, 18, 20-23, 28-30, 33, 41, 42
Not deceased	RSNLEAVE (S33) ≠ 05 and METHOD (D04) ≠ 8
Left in the academic year	DATELEFT (S35) > 31/07/05 and DATELEFT (S35) < 01/08/06
Not explicit refusal	METHOD (D04) ≠ 9

Fields used to categorise data:

BIRTHDTE (S10)  
 GENDER (S11)  
 DOMICILE (S12)  
 ETHNIC (S14)  
 DISALL (S15)  
 DISABLE (S16)  
 QUAL1/QUAL2 (S37/S38)  
 CLASS (S39)  
 QUALAIM (S41)  
 SBJQA1 (S43)  
 SBJQA2 (S44)  
 SBJQA3 (S45)  
 SBJBID (S46)  
 TTCID (S53)  
 ITTPHSC (S54)  
 MODE (S70)  
 STULOAD (S74)  
 POSTCODE (S75)  
 MODPW1-MODPW16 (S101 – S116)  
 EMPCIR (D05)  
 MODSTUDY (D06)  
 SIC (D08)  
 LOCEMP (D09)

*S = student record, D = DLHE record, number indicates the number of the field on the record*

### HESA staff record

Population for summary statistics:

A member of staff on the person table has an active contract on 1 December returned on the contract table (atypical staff excluded)	TERMS (C06) ≠ 3 and CONFTE (C09) > 0 and STARTCON (C22) ≤ 01/12/05 and ENDCON (C23) ≥ 01/12/05 or STARTCON (C22) = 99991231 and ENDCON (C23) ≥ 01/12/05 or STARTCON (C22) ≤ 01/12/05 and ENDCON (C23) = 99991231
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Fields used to categorise data:

BIRTHDTE (P04)  
 GENDER (P05)  
 ETHNIC (P07)

DISABLED (P10)  
 MOEMP (C07)  
 CONFTE (C09)  
 GRADE (C11)  
 ACT1-ACT3 (C24, C27, C30)  
 CCENTRE1-CCENTRE3 (C25, C28, C31)  
 CCPROP1-CCPROP3 (C26, C29, C32)

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

### **HESA finance statistics record**

Tables from which information will be extracted:

Table 1  
 Table 2  
 Table 3  
 Table 5b  
 Table 6

### **LLWR**

Population for summary statistics:

Home and EC HEFCW fundable Learning Activity	MAIN_STR (LA11) = 2
HE level Learning Programme	TYPE_LPG (LP17) = 51, 52, 53, 54, 55
Learning Activity Active 1/8/05 to 31/7/06	STARTDTE (LA09) ≤ 31/07/2006 and TERMDATE (LA30) ≥ 01/08/2005 or = 31/12/9999

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

### **STATISTICS FOR 2007/08 FUNDING AND ENROLMENTS VOLUME 2005/06**

- 7 *Statistics for 2007/08 Funding* is due to be published electronically in spring 2007 and will contain summaries of the data collected on HESES 2006/07, 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 2007/08. The *Enrolments Volume 2005/06* will be published in early 2007 and contain summaries of data returned on EYM 2005/06.

### **EQUAL OPPORTUNITIES MONITORING**

- 8 HEFCW currently use HESA data to monitor the ethnicity, disability status and gender of UK domiciled students and staff at Welsh HEIs. A summary of the analysis will be published on the HEFCW website. The following criteria and fields will be used to categorise the data for 2005/06.

## Students

Population at Welsh HEIs:

Not outside UK for whole course	LOCSDY (S71) ≠ 7
Not incoming exchange	SPCSTU (S28) ≠ 3, 4, 5, 6, 8
Active 1/8/05 to 31/7/06	COMDATE (S26) ≤ 31/07/06 DATELEFT (S35) ≥ 01/08/05 or blank
Not dormant	MODE (S70) ≠ 63, 64
Undergraduate or postgraduate	QUALAIM (S41) = 02-08, 10, 12-15, 18, 20-30, 32, 33, 41-45, 51, 52, 61, 62, 97, 98
UK domiciled (for ethnicity monitoring only)	POSTCODE (S75) is a valid UK postcode

*S = student record, number indicates the number of the field on the student record*

- 9 The student population is categorised into ethnic group using the ETHNIC (S14) field, into disability status using the DISABLE (S16) and DISALL (S15) fields and into gender using the GENDER (S11) field.
- 10 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 HUSID (S04) 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) ≤ 31/07/06 and ENDCON (C23) ≥ 01/08/05 or STARTCON (C22) = 99991231 and ENDCON (C23) ≥ 01/08/05 or STARTCON (C22) ≤ 31/07/06 and ENDCON (C23) = 99991231
UK nationality (for ethnicity monitoring only)	NATION (P06) = 2826, 3826, 4826, 5826, 6826, 7826, 8826

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

- 11 The staff population is categorised into ethnic group using the ETHNIC (P07) field, into disability status using the DISABLED (P10) field and into gender using the GENDER (P05) 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).
- 12 Where academic staff data are compared to those collected prior to 2003/04, only those staff with a total FTE of 25 per cent or above are included in the comparison. Total FTE is calculated as the sum of CONFTE (C09) over all contracts.

## 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, used in the comparison, are shown below.

### HESA student record

Population used:

Not outside UK for whole course	LOCSDY (S71) ≠ 7
Not incoming exchange	SPCSTU (S28) ≠ 3, 4, 5, 6, 8
Active 1/8/05 to 31/7/06	COMDATE (S26) ≤ 31/07/06 DATELEFT (S35) ≥ 01/08/05 or blank
Not dormant	MODE (S70) ≠ 63, 64

*S = student record, number indicates the number of the field on the record*

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

HE level enrolments	QUALAIM (S41) = 02-08, 10, 12-15, 18, 20-30, 32, 33, 41-45, 51, 52, 61, 62, 97, 98
Fundable enrolments	FUNDCODE (S65) = 1
UK or EU domiciled enrolments	POSTCODE (S75) is a valid UK postcode or DOMCILE (S12) is an EC domicile

*S = student record, number indicates the number of the field on the record*

- 3 Student enrolment data are expressed on an FTE basis using the STULOAD (S74) field. This is used to calculate total FTE by institution and for the sector and therefore the grant and income levels per FTE.
- 4 The JACS subject codes and subject split of the qualification aim, detailed in fields SBJQA1-SBJQA3 (S43-S45) and SJBID (S46), are used to calculate the proportions of provision in each subject grouping. These are used to identify similar institutions in the more detailed comparisons.

### HESA finance statistics record

- 5 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

- 6 Research funding as a proportion of total funding, used to categorise institutions into high, moderate and low research institutions, is calculated by taking the proportion of recurrent research grant (item 1a, ii) out of all grants for HE provision (item 1a, i to v).