

Cylchlythyr | Circular

Request for strategic planning information, forecasts and Annual Monitoring Statements 2012

Date: 07 June 2012
Reference: W12/21HE
To: Heads of higher education institutions in Wales
Response by: **31 July 2012** and **31 October 2012**
Contact: Name: Dale Hall
Telephone: 029 2068 2280
Email: dale.hall@hefcw.ac.uk

This circular requests HE institutions to submit:

- Strategic planning information
- *For Our Future* target forecasts for 2011/12 to 2012/13
- Financial forecasts for 2011/12 to 2015/16
- Student number forecasts for 2012/13 to 2015/16
- Annual Monitoring Statements for 2012

If you require this document in an alternative accessible format, please telephone us on (029) 2068 2225 or email info@hefcw.ac.uk.



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Introduction

- 1 This circular invites higher education institutions to submit the following information:

Part 1 - Strategic planning information

Part 2 - *For Our Future* target forecasts for 2011/12 to 2012/13

Part 3 - Financial forecasts for 2011/12 to 2015/16

Part 4 - Student number forecasts for 2012/13 to 2015/16

Part 5 - Annual Monitoring Statements for 2012

A summary of our information requirements can be found in the table starting on page four. More detailed notes of guidance are set out below. Copies of the returns to be submitted are attached at the annexes to this circular, along with further technical information.

Background and institutional strategic planning

- 2 Our *Strategic Engagement* circular (W09/20HE) stated our intention to move to requesting copies of full institutional strategic plans once every three years. We instigated these new arrangements through the 2011 edition of this circular, where we requested full strategic plans from institutions in two of the Welsh regions, and strategic plan progress reports from every institution.
- 3 We require institutions to submit financial and student forecasting information on an annual basis. This is to enable us to understand the past and expected future performance of institutions, and is also an important source of information for strategic dialogue between HEFCW and the institutions which it funds.
- 4 Since 2005 we have requested institutions to submit details of performance in relation to a number of specific policy areas via Annual Monitoring Statements (AMS).

Strategic context

- 5 In responding to this circular, institutions should take account of the various key circulars and other publications relating to higher education policy, strategy and funding developments in Wales. These include:
 - *For Our Future*, the Welsh Government's strategy and plan for higher education, published in November 2009.
 - The Minister's remit letter to HEFCW of 16 March 2012, announcing higher education funding and priorities for 2012-13.
 - HEFCW's Corporate Strategy 2010-11 to 2012-13.

- HEFCW's circulars:
 - *HEFCW's Funding Allocations 2012/13 (W12/10HE)*
 - *Strategic Reallocation of Student Numbers 2013/14 – Outcomes (W12/14HE)*
 - *Control of student numbers: final numbers and guidance for 2011/12 and future arrangements (W11/41HE)*
 - *Fee Plan Guidance 2012/13 and 2013/14 (W11/14HE and W12/15HE respectively)*
 - *Changes to the teaching funding mechanism for higher education in Wales (W11/40HE)*
 - *Learning and Teaching and Widening Access Strategies 2011/12 to 2013/14: Initial and Supplementary Guidance (W10/41HE and W11/17HE respectively)*
 - *Reaching Wider Strategies 2011/12 to 2013/14 (W11/01HE)*
 - *Innovation & Engagement funding arrangements 2011/12 to 2013/14 (W11/10FHE).*
 - *Research capital funding 2011-12 (W11/23HE)*
 - *Research capital funding 2012-13 (W12/19HE)*

Resolving queries and providing feedback

- 6 Subject to timely receipt of the information we are requesting, we will aim to address any ad hoc queries relating to full strategic plan submissions or to forecast information by the end of September 2012. We will provide feedback to those institutions required to submit full strategic plans this year by early October 2012. We will provide feedback to all institutions on their strategic plan progress reports and AMS returns by January 2013.

Summary of information requirements

- 7 We will provide to each institution separately: i) **individualised forecast data forms by 11 June**; ii) **individualised AMS forms by 6 July**. These will be sent, as appropriate, to directors of finance, data contacts, or senior managers with responsibility for the specific policy areas covered by the AMS returns. All institutions should submit their completed returns by the dates indicated. In addition to the specific purposes outlined below, all of the information requested through this circular will provide evidence to inform the judgements we make through our Institutional Risk Review process.

Information	Why we want to know	What do we do with the information	Submission	Response date
<p>Full strategic plans</p> <p>Copies of institutions' current strategic plans [for 2012, only required from institutions listed at paragraph 8]</p>	<ul style="list-style-type: none"> • Understand institutional strategic direction and performance of institutions • Understand connectedness between institutional strategies and financial and student number forecasts, plans for reconfiguration/ collaboration, and any sub-plans produced by the institution. • Understand how institutional strategies are contributing to HEFCW and Welsh Government priorities for higher education in Wales. 	<ul style="list-style-type: none"> • Form judgements about institutional performance against aspirations, in the context of Wales/ UK / international performance • Check alignment between institutions' strategies and HEFCW and Welsh Government priorities • Identify institutional and sector strengths and weaknesses, and make decisions about need for intervention/ dialogue where there is underperformance 	<p>Email to: forecasts@hefcw.ac.uk</p> <p><i>or</i></p> <p>Post to HEFCW's office, FAO Dale Hall</p>	<p>31 July 2012</p>
<p>Strategic plan progress reports</p> <p>Copies of institutions' latest progress reports to</p>	<p>Understand how governing bodies are exercising their responsibilities to provide oversight and monitoring of institutional strategic performance.</p>	<p>Form judgements about the adequacy of institutions' identification of key performance indicators, and of their strategic plan progress reporting and monitoring arrangements.</p>	<p>Email to: forecasts@hefcw.ac.uk</p> <p><i>or</i></p> <p>Post to HEFCW's office, FAO Dale Hall</p>	<p>31 October 2012</p>

Information	Why we want to know	What do we do with the information	Submission	Response date
<p>their governing bodies on performance against strategic plan objectives and key performance indicators.</p>				
<p>For Our Future target forecasts</p> <p>Forecasts of expected performance against <i>For Our Future</i> targets for the period 2011/12 to 2012/13.</p>	<p>To monitor actual and forecast performance progress against each HEFCW Corporate Strategy <i>For Our Future</i> measure and target, both in terms of individual HEI contributions to those targets and the position of the sector as a whole</p>	<ul style="list-style-type: none"> • Conduct a gap analysis on likely cumulative outcomes for each target. • Provide feedback to the sector where they are on track to meet targets, and engage with institutions where there is actual or forecast underperformance. • Report to Welsh Government on performance against <i>For Our Future</i> measures and targets. 	<p>Email to: forecasts@hefcw.ac.uk</p>	<p>31 July 2012</p>

Information	Why we want to know	What do we do with the information	Submission	Response date
<p>Financial forecasts</p> <p>For the period 2011/12 to 2015/16</p>	<ul style="list-style-type: none"> • Check integration and connectedness between financial, student and staff numbers planning and institutional strategies. • Monitor financial health of institutions • Monitor forecast capital investment and sources of finance. • Inform policy advice to the Welsh Government. 	<ul style="list-style-type: none"> • Analyse the forecast financial position of individual institutions and the sector. • Analyse the actual and forecast efficiencies and cost savings. • Assess the financial sustainability of individual institutions and the sector. • Produce information at summary level on the overall trends and financial health of the HE sector in Wales. • Make decisions about need for intervention/ dialogue. 	<p>Email to: forecasts@hefcw.ac.uk</p> <p>Also, one hard copy of the forecast returns to be signed by the Head of Institution, including confirmation of the date of approval of the forecasts and associated commentary by the governing body. You may scan and send the signed forecast returns to the above email address or else post to HEFCW's office, FAO Neil Hempstead</p>	<p>31 July 2012</p>
<p>Student number forecasts</p> <p>For the period 2012/13 to 2015/16.</p>	<p>To monitor student recruitment for future years and compare with current recruitment levels, funded numbers and the maximum student number.</p>	<p>Produce information about trends in student numbers at HEIs in Wales, at an overall, institution and subject level.</p>	<p>Email to: forecasts@hefcw.ac.uk</p> <p>Also, one hard copy of the forecast returns to be signed by the Head of Institution. You may scan and send the signed forecast returns to the above email address, or else post to HEFCW's office, FAO Hannah Falvey</p>	<p>31 July 2012</p>

Information	Why we want to know	What do we do with the information	Submission	Response date
<p>Annual Monitoring Statements</p> <p>Submission of AMS returns for various specific policy areas</p>	<p>Provides updated information to HEFCW on progress against previously agreed performance indicators/targets, and assurances that the funds reported on broadly have been used for their intended purpose.</p>	<ul style="list-style-type: none"> • Analyse performance against the agreed performance indicators/ targets and actual outcomes. • Determine whether the analysis demonstrates achievement of appropriate outcomes. • Assess whether outcomes/targets identified for following year are appropriate. • Initiate correspondence/ dialogue with institutions where analysis has identified concerns. 	<p>Email to: AMS@hefcw.ac.uk.</p> <p>Also, one hard copy of each completed AMS return to be signed by the Head of Institution. You may scan and send the signed AMS returns to the above email address, or else post to HEFCW's office, FAO Dale Hall</p>	<p>31 October 2012</p>

Part 1 - Strategic planning information

- 8 This year, to reflect Council's anticipated Institutional Visit timetable for 2013, we request that **all institutions in the South West Wales region submit a copy of their current strategic plan by 31 July 2012**. The institutions concerned are:

Swansea University
University of Wales Trinity Saint David

- 9 In addition to the submission of full plans by the above named institutions, **we also ask that each institution submits, by 31 October 2012, a copy of its latest progress monitoring report, as reviewed by its governing body, against the objectives and key performance indicators contained in the institution's current strategic plan.**
- 10 We recognise that your strategic plan should be a document of value principally for your institution. Its primary function is to provide structured guidance for strategic development and management across all the issues with which the institution is properly concerned, and to help meet the needs and responsibilities of the governing body. Likewise, the key purpose of strategic plan progress reports to governing bodies is to enable them to exercise one of their responsibilities with respect to oversight of the strategic direction of their institutions. For these reasons, we seek copies of your actual strategic planning documents rather than bespoke reports prepared for HEFCW.
- 11 We will, however, expect all strategic plans to include key performance indicators (KPIs) and related SMART targets, and likewise for strategic plan progress reports to make explicit reference to latest attainment against those KPIs and targets. We also expect HEFCW's Corporate Strategy priorities, including the *For Our Future* target measures, to feature strongly in institutions' strategic plans and progress reports.
- 12 For those institutions required to submit a full strategic plan this year, if your plan has not been revised or updated since 2010/11 we ask that you supplement your submission with a brief update - no more than two sides of A4 - on significant institutional developments since the plan was written (e.g. reconfiguration/collaboration developments; specific activities to address *For Our Future* priorities). Also, institutions are requested to indicate, where appropriate, any area of discrepancy between their full strategic plan and any of their sub-strategies (including fee plans, and also sub-strategies for estates; widening access; learning and teaching; innovation and engagement; initial teacher training; as well as their engagement with the Coleg Cymraeg Cenedlaethol).

Part 2 - *For Our Future* target forecasts 2011/12 to 2012/13

- 13 Our Corporate Strategy was published in 2010 and covers the three financial years 2010-11 to 2012-13 (it is available on our website at: www.hefcw.ac.uk/publications/corporate_documents/corporate_strategy.aspx). It includes the 12 sector-level measures and targets agreed with the Welsh Government through which the delivery of *For Our Future* will be measured. As indicated in our 2010 circular *Request for institutions' response to HEFCW Corporate Strategy 2010-11 to 2012-13 (W10/21HE)*, we need to understand and monitor institutions' performance against each of these targets over the next few years.
- 14 For the following six *For Our Future* measures and targets we will draw on information from institutions' financial and student number forecast returns (*due 31 July 2012*), and from other data sources as appropriate, to get a sense of anticipated performance at each institution and across the sector. Institutions therefore need submit nothing further in relation to these.
- Growth in overseas students;
 - Improvements in the participation rates from the five Universities Heads of the Valleys Institute unitary authorities;
 - Increase in part-time students;
 - Growth in Research Council funding;
 - Reconfiguration and collaboration – annual income target;
 - Governance: no institution at 'high risk' in accordance with HEFCW's institutional risk review (IRR) process¹
- 15 For the remaining six *For Our Future* measures and targets below, we ask **each institution to submit, by 31 July 2012, details of its projected performance against each target in each of academic years, 2011/12 and 2012/13.**
- Increase in proportion of Communities First students;
 - Increase in module completion rates;
 - National Student Survey 'overall satisfaction' scores;
 - Increase in Welsh medium activity;

¹ Through our IRR process we will continue to assess institutional risk in the key area of 'Governance and Management' based on the outcomes of our latest institutional assurance review visits; our analysis of annual monitoring returns submitted by institutions; and the range of other issues and evidence as set out in our Strategic Engagement circular (W09/20HE).

- Employability performance;
- Knowledge transfer: spin-out company performance.

Blank copies of the above data returns are attached at **Annex A**.

We will be sharing the actual performance data for the period 2008/09 to 2010/11 on the *For our Future* Welsh medium target with the Coleg Cymraeg Cenedlaethol.

Part 3 - Financial forecasts for the period 2011/12 to 2015/16

- 16 We recognise that financial forecasts are an integral part of an institution's strategic plan. Our objectives in requesting financial forecasts are to enable us to:
- check that institutions' strategic and financial planning are integrated;
 - monitor the financial health of institutions;
 - produce information at summary level on the overall trends and financial health of the HE sector in Wales.
- 17 For the current submission we ask institutions to prepare five-year financial forecasts, covering the period to 2015/16. We will expect financial forecasts to be based on the latest fee plan submissions and relevant circulars on funding and student number allocations. Financial forecast information should be submitted **by 31 July 2012**.
- 18 In preparing the forecasts institutions should make reference to the planning assumptions outlined in **Annex B** and to the documents listed in paragraph 5 above.

Content of the financial forecasts

- 19 The form and content of the financial forecasts 2011/12 to 2015/16 is essentially unchanged from that issued in 2011, with the exception that Table 1 Income provides extra lines for more detailed analysis of HEFCW grant (Teaching grant is split by FT and PT), and of fee income (split by domicile). Please note that completion of both the five year forecasts and the commentary is compulsory and should reflect the requirements of the Financial Memorandum between HEFCW and the institutions. The forecasts should be based on realistic assumptions and be consistent with the accounting treatment and presentation in the financial statements.

Financial forecasts tables

- 20 The financial forecast tables listed below are reproduced at **Annex C**. Specific guidance is included below on the completion of the tables and the commentary.

Table 1 Income

Table 2A Non-Pay Expenditure

Table 2B Pay Expenditure

Table 3 Balance Sheet

Table 4 Cash Flow statement

Table 5 Comparison of original forecast for financial year 2011/12 (submitted July 2011) with latest estimate made

Table 6 Movement in pensions deficit

Table 7 Capital financing

Table 8 Key Performance Indicators

Table 1 Income

'Teaching grant' income should be separated out into full-time provision and part-time provision. Within 'Academic fees and support grants', home and EU fee income should be separated out by domicile into 'Welsh domiciled and EU students' fees and grants' and 'UK non-Welsh domiciled fees and grants'. Contributions made by the Welsh Government towards students' fees should be included as part of the home and EU students' fees and grants.

Table 2A Non-pay expenditure

Please provide details of all non-pay expenditure, and of related depreciation and interest payable, against all categories indicated.

Table 2B Pay expenditure

It is a requirement that all institutions include their assumptions about FRS 17 in the financial forecasts (within the individual pay lines).

Table 3 Balance Sheet

For the purposes of the financial forecasts balance sheet, institutions are required to include the pension asset or liability for each year. It is recognised that forecasting future pension asset values is difficult, and institutions may carry forward the forecast expected pension asset or liability as at 31 July 2012 for all years. All assumptions made in the financial forecasts must be noted in the commentary.

Table 4 Cash Flow statement

This table reflects the guidance issued in the HE/FE SORP.

Table 5 Comparison of 2011/12 original forecast with latest estimate

This table highlights variances between the latest estimated outturn for 2011/12 against the original forecast made for that same year submitted in July 2011. Appropriate explanation of significant differences in the figures should be provided in the commentary.

Table 6 Movement in pensions' deficit

This table is designed to track the movements in the pensions deficit across the forecast period. It is appreciated that the forecasting of actuarial gains or losses is difficult, but the other movements should reflect the appropriate impacts on Income & Expenditure and Cash Flow.

Table 7 Capital financing

Forecast capital expenditure and the expected method of finance should be provided in Table 7. Details of major capital projects over the forecast period *must* also be provided as part of the commentary. The commentary must also provide details of all "off balance sheet" capital projects which are expected to be funded through Private Finance Initiatives, Public Private Partnerships, or other similar funding arrangements where the capital assets and related service contract commitment are not included in the balance sheet.

Table 8 Key Performance Indicators

This table is derived from the data entered in the preceding tables and is designed to provide a trend analysis through past years' results and through to the end of the forecast period. Past years' results will be included within the individualised forecast forms provided to institutions to calculate the KPIs shown in the model.

Financial forecasts commentary

- 21 Institutions should also provide a commentary on the financial forecasts using the pro forma at **Annex D**. The financial commentary on past performance and future prospects is an integral part of the overall financial return and serves three key purposes:
- (i) to explain how the financial forecasts are derived from and are consistent with the institution's strategic plan, and how they stand in the context of an institution's recent financial results;
 - (ii) to provide additional supporting information on the financial forecasts; and
 - (iii) to identify important trends in the forecast numbers across the period, especially with respect to the key indicators such as liquidity, operating and historic surplus, etc.
- 22 The information provided within the financial commentaries will be especially important, given the uncertainty of the future financial settlements, to inform our understanding of each institution's specific circumstances and of the sector's forecast financial position to assist us in helping to position the sector for future sustainability.
- 23 We expect your institution's financial commentary to reflect fully the details and bases of the key assumptions supporting the numbers in the financial

plan, and to this end we have included further specific requirements within Annex D.

- 24 In order to furnish us with information to show how the sector is dealing with the control of expenditure and efficiency improvements (and especially with the requirement by the Welsh Government in 2011 to demonstrate a shift from support to front-line services), we require this year details of schemes already implemented in 2011-12 (as identified in your commentary and table) and the progress made (financial and non-financial) towards the targets identified in those schemes. We also require details of any schemes introduced in 2012-13, or about to be implemented, to control expenditure and improve efficiency in institutions. These should cover staff and non-staff initiatives, including procurement and shared service efficiencies. Details of the levels of anticipated savings and the timescales over which they will be realised should be provided (Section 10 of Annex D refers).
- 25 The following areas should be covered in the commentary:

Section 1 Introduction

As highlighted above, particular attention should be paid to the issues shown under the headings of 'Financial commentary on past and future prospects', 'Financial sustainability' and 'Changing economic conditions' in the pro-forma.

This should cover the context in which the forecasts have been prepared, how the elements of the institution's strategic plan and estates strategy have been included in the forecasts, and how these developments are to be financed.

Institutions are required to provide sufficient detail in order to provide an understanding of the assumptions that lie behind their future levels of recurrent grant. All assumptions relating to the implementation of FRS 17 should be included here.

Confirmation should also be given of the adequacy of assumptions made for increases in significant areas of cost (e.g. staff costs).

Section 2 Income & Expenditure Account (Tables 1, 2A and 2B)

Major changes to costs, revenue, or significant trends in these areas should be adequately explained here. In addition, confirmation is requested of the adequacy of the revenue maintenance programme.

Sections 3 and 4 (Balance Sheet and Cash Flow statement)

These sections should be completed with any other information that would enable the reader to gain a fuller understanding of the institution's financial forecasts. Any major movements or trends in balance sheet or cash flow items should be fully explained, and details should include a cross reference to the appropriate table.

Section 5 Comparison of last year's estimate for the current year with the latest estimate

This should give an explanation of all significant variances, and confirmation of any items which carry through the forecast period.

Section 6 Movement in pensions deficit

You should comment on any significant issues affecting the movement in the deficit (e.g. increases in employer's contributions) and relate them to income & expenditure, cash flow or reserves.

Section 7 Capital finance

This should provide an analysis of the significant projects forming the capital spend. The level of spend shown should tie back to the sourcing of finance in the table. We also require information on any projects which are contained in your strategic plan and/or your estates strategy but which are funded by way of PFI/PPI or similar arrangements where the assets are not included on the balance sheet. A new proforma has been included within the section for this purpose.

Section 8 Key performance indicators

You should provide information to support any significant changes or trends in the indicators.

Section 9 Risk / opportunity analysis

This section gives the opportunity to estimate the impact of any risk or opportunity factors (e.g. an increase in employer's pensions' costs; a movement in overseas fee levels) which are NOT contained in the tables of the forecast model.

Section 10 Areas of expenditure control and efficiency improvements

This section contains a revised proforma for progress against schemes identified and implemented last year (2011-12) and a further table for you to provide details of current / future expenditure controls and anticipated outcomes and timescales (2012-13 onwards).

Part 4 - Student number forecasts

- 26 There is an integral relationship between an institution's assumptions about future changes to its student population and its financial forecasts. Therefore the student forecasts are important features underpinning an institution's strategic plan and financial forecasts.
- 27 Institutions are asked to submit **by 31 July 2012** forecasts of all HE student numbers (both fundable and non-fundable home and EU, Island and overseas) for the four years 2012/13 to 2015/16. **Annex E** contains guidelines to assist the accurate completion of the returns. Copies of the tables to be completed are attached at **Annex F**.

- 28 The definitions contained in circular W11/43HE, *Higher Education Students Early Statistics Survey 2011/12* (HESES11) should be used in compiling the student forecast information required by this circular.
- 29 Assumptions should be consistent with those presented in **Annex B**, and any other relevant assumptions used in the preparation of the financial forecasts.
- 30 There have been a number of changes to the tables collected compared to last year. In Tables SPF1 and SPF2, undergraduate registrations are split by whether they are franchised out or not and into degree and non-degree, for all modes of study. Credit information in Table SPF3 is no longer collected for full-time and sandwich undergraduate and PGCE provision, and there is a new student forecast table, Table SPF4, which collects data relating to new entrants.
- 31 We no longer require institutions to provide staff forecast information.

Student number forecasts for the period 2012/13 to 2015/16 (Annex F)

Tables SPF1 and 2

- 32 These tables should be completed to show full-time, sandwich year out and part-time registrations split by mode of study, level of study and funding category (SPF1), and for home and EU fundable registrations, by mode of study, level of study and Academic Subject Category (ASC) (SPF2). The information should be returned using the same definitions as those used to complete Tables 4a and 5 respectively of HESES11. There has been a change to these tables compared to last year's collection: undergraduate figures are now requested split by whether they are franchised out or not and into degree and non-degree, for all modes of study.
- 33 All student registrations should be shown as the forecast number of registrations, not full-time equivalents (FTEs). Sandwich year out registrations should be counted as 1.
- 34 For ASC 11a Education: Initial Teacher Training leading to Qualified Teacher Status (ITT (QTS)), students should be recorded separately under the Primary and Secondary sub-headings within ITT (QTS) as defined in HESES11 (W11/43HE).
- 35 Forecasts of franchised out students should be counted at the franchisor institution. Guidance about franchised out provision can be found in HESES11, Annex A, paragraphs 9 to 13.
- 36 Note that students franchised out to overseas institutions should not be included in this return. For institutions that have such an arrangement, a

note to show forecasts for these students covering the period 2012/13 to 2013/14 should be returned separately.

- 37 HEFCW funds PGR selectively. Only home and EU students in Units of Assessment (UoAs) included in the calculation of QR funding for 2012/13 - i.e. those UoAs with greater than the threshold of 3 classified FTE Category A staff and meeting a combined volume and quality threshold - should be recorded as fundable. The UoAs included in the QR funding model for 2012/13 are identified in Annex C of circular W12/10HE, *HEFCW's Funding Allocations 2012/13*.

Table SPF3

- 38 Table SPF3 should be completed to show the forecast completed number of credit values associated with postgraduate taught and part-time undergraduate home and EU fundable registrations (as returned in SPF2) by mode of study, level of study and ASC. The information should be returned using the same definitions as those used to complete Tables 1a and 1b of HESES11. Note that this table no longer collects information relating to full-time undergraduate and PGCE provision.

Table SPF4

- 39 Table SPF4 should be completed to show home and EU fundable new entrant full-time and sandwich undergraduate and PGCE completed registrations by residential status (Welsh/EU or other home), whether the provision is franchised out or not, level of study and ASC. The information should be returned using the same definitions as those used to complete Table 4b of HESES11.

Part 5 - Annual Monitoring Statements

- 40 We require Annual Monitoring Statement (AMS) submissions from institutions in order to provide us with information on progress against previously agreed performance indicators/targets, and assurances that the funds reported on have broadly been used for their intended purpose
- 41 Illustrative pro-forma are attached at **Annex G** (G1 to G7). Please note that where a target has been achieved, no further comment is required:
- Learning and Teaching AMS template (**Annex G1**)
 - Widening Access AMS template (**Annex G2**)
 - Reaching Wider Partnership AMS template (**Annex G3**)
 - Innovation and Engagement AMS template (**Annex G4**)
 - Initial Teacher Training Strategy AMS template (**Annex G5**)

- Fee Plans AMS template (**Annex G6**)
 - Regional strategy AMS template (**Annex G7**)
- 42 We reserve the right to audit the information provided, and will do so on a sample basis if we have any concerns. We will provide separate templates to the institutional contact for each AMS by 6 July 2012.
- 43 Any queries regarding the AMS returns should be forwarded to Dale Hall (AMS@hefcw.ac.uk; 029 2068 2280).

Freedom of information

- 44 As a public authority HEFCW is subject to the Freedom of Information Act 2000. The Act gives a public right of access to any information held by a public authority. Information submitted to HEFCW may be disclosed on request under the terms of the Act. We have a responsibility to decide whether any responses should be made public or treated as confidential. We may refuse to disclose information in exceptional circumstances, such as where disclosure of information would prejudice commercial interests (for example, future financial projections). Further information about the Act, including the particular circumstances when information may be withheld, can be found at www.ico.gov.uk under Freedom of Information Act.

For our Future indicators

1. Widening Access

A 10% rise in the proportion of all Welsh domiciled students studying higher education courses at higher education institutions and further education institutions in Wales who are domiciled in the Welsh Communities First areas from 5.6% in 2008/09 to 17.2% in 2012/13

	Latest actuals:									Estimate:			Forecast:		
	2008/09			2009/10			2010/11			2011/12			2012/13		
	Number	Total	Percentage	Number	Total	Percentage	Number	Total	Percentage	Number	Total	Percentage	Number	Total	Percentage
University of Glamorgan															
Aberystwyth University															
Bangor University															
Cardiff University															
University of Wales Trinity Saint David															
Swansea University															
Cardiff Metropolitan University															
University of Wales, Newport															
Glyndwr University															
Swansea Metropolitan University															
The Open University in Wales															
Welsh HEIs															
Welsh HEIs and FECs															17.2% (FoF target)

Source: HESA Student Record, LLWR

Notes

Based on the HESA standard registration population

Enrolments are reduced to a headcount i.e. where a student is enrolled on more than one course the student is only counted once

All modes, levels and years of study are included

Welsh domiciled students are taken to be those with a Welsh home postcode

The percentage of students domiciled in the Community First areas is out of Welsh domiciled students at the institution with known postcode

The Communities First areas correspond to the 100 most deprived electoral divisions according to the Welsh index of multiple deprivation 2000, 32 pockets of deprivation, 6 imaginative proposals and new areas admitted by the Welsh Assembly Government in 2007/08

Data calculated for 2008/09 and 2009/10 now includes Communities First data for Rhyl West and Bryn and Cwmavon 3, previously excluded.

In addition, there have been updates to the postcode database since the target was first calculated which may result in minor (around 0.1% at most) variations in the data for individual institutions.

The following 4 imaginative proposals are excluded: Cardiff -Black and Minority Ethnic, Neath Port Talbot - Domestic Violence, Newport - Black and Minority Ethnic, Pembrokeshire - Young People

For our Future indicators

2. Module completion rates

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

	Latest actuals:						Estimate:			Forecast:					
	2008/09			2009/10			2010/11			2011/12			2012/13		
	Total modules expected to have results	Modules completed	Modules completed as % of modules expected to have results	Total modules expected to have results	Modules completed	Modules completed as % of modules expected to have results	Total modules expected to have results	Modules completed	Modules completed as % of modules expected to have results	Total modules expected to have results	Modules completed	Modules completed as % of modules expected to have results	Total modules expected to have results	Modules completed	Modules completed as % of modules expected to have results
University of Glamorgan															
Aberystwyth University															
Bangor University															
Cardiff University															
University of Wales Trinity Saint David															
Swansea University															
Cardiff Metropolitan University															
University of Wales, Newport															
Glyndŵr University															
Swansea Metropolitan University															
The Open University in Wales															
Welsh HEIs															90.0%

(FoF target)

Source: HESA Student Record

Notes

Full-time, sandwich and part-time undergraduate enrolments who studied one or more modules expected to have results within the academic year

All domiciles are included

Based on the HESA standard registration population (excludes modules being studied by students in the final year of a non-standard academic year course)

Modules completed include those where full credit has been gained and where the module was completed but credit was not gained

Modules expected to have results within the academic year include those which are continuing from the previous year or contained within the reporting year, excluding those taken on a not-for-credit-basis

For our Future indicators

3. National Student Survey

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

	Latest actuals:					Forecast:
	2007	2008	2009	2010	2011	2012
University of Glamorgan						
Aberystwyth University						
Bangor University						
Cardiff University						
University of Wales Trinity Saint David						
Swansea University						
Swansea Metropolitan University						
Cardiff Metropolitan University						
University of Wales, Newport						
Glyndŵr University						
Welsh HEIs						
UK HEIs						

Three year averages			
2007 to 2009	2008 to 2010	2009 to 2011	2010 to 2012

Source: National Student Survey results for students registered at HEIs

For our Future indicators

4. Welsh medium

The number of Welsh domiciled students at Welsh higher education institutions and further education institutions undertaking some element of their course through the medium of Welsh will rise from 4,586 in 2008/09 to 5,509 in 2012/13

	Individuals				
	2008/09	2009/10	2010/11	2011/12	2012/13
University of Glamorgan					
Aberystwyth University					
Bangor University					
Cardiff University					
University of Wales Trinity Saint David					
Swansea University					
Cardiff Metropolitan University					
University of Wales, Newport					
Glyndwr University					
Swansea Metropolitan University					
The Open University in Wales					
Welsh HEIs					
Welsh HEIs and FEIs					5,600 (FoF target)

Source: HESA Student Record, HESES for FEIs

Notes

Based on the HESA standard registration population

Enrolments are reduced to a headcount i.e. where a student is enrolled on more than one course the student is only counted once

All modes, levels and years of study are included

Welsh domiciled students are taken to be those with a Welsh home postcode

Results only modules have been excluded

Students are counted as having some element of their course through the medium of Welsh if in 2008/09 and 2009/10 they are taking any module which has a greater than zero percentage of provision through the medium of Welsh, (percentage of module taught through the medium of Welsh recorded at module level) or if in 2010/11 they are taking part of any module through the medium of Welsh (percentage of module taught through the medium of Welsh recorded for each individual student on module). Courses in Welsh language and literature are included.

For our Future indicators

6. Employability

The proportion of leavers obtaining first degrees from full-time courses who were employed, studying or both six months after leaving will be equal to, or greater than, the UK proportion

Institution	Latest actuals:								Estimate:				Forecast:								
	2008/09		2009/10		2010/11		2011/12		2011/12		2012/13		2012/13								
	Percentage responded to DLHE survey	Base population	Number employed, studying or both	Percentage employed, studying or both	Percentage responded to DLHE survey	Base population	Number employed, studying or both	Percentage employed, studying or both	Percentage responded to DLHE survey	Base population	Number employed, studying or both	Percentage employed, studying or both	Percentage responded to DLHE survey	Base population	Number employed, studying or both	Percentage employed, studying or both	Percentage responded to DLHE survey	Base population	Number employed, studying or both	Percentage employed, studying or both	
University of Glamorgan																					
Aberystwyth University																					
Bangor University																					
Cardiff University																					
University of Wales Trinity Saint David																					
Swansea University																					
Cardiff Metropolitan University																					
University of Wales, Newport																					
Glyndŵr University																					
Swansea Metropolitan University																					
Welsh HEIs																					
UK HEIs																					

Source: HESA Performance Indicators (PIs)

Notes

This PI is derived from data collected in the HESA Destination of Leavers from Higher Education (DLHE) survey

The **eligible population** is the set of all home-domiciled students who graduated from a full-time course with a first degree qualification in the year in question, provided they are also part of the DLHE population.

The **response rate** is the proportion of the eligible population for which there are responses to the DLHE survey. This includes those who have refused to take part in the survey.

The **base population** is the set of all respondents to the survey who are classed as working or studying or as unemployed and seeking work.

The reference dates for the DLHE return are for example for a leaver in 2007/08: 14 April 2008 (if the leaver obtained the qualification between 1 August 2007 and 31 December 2007) and 12 January 2009 (if the leaver obtained the qualification between 1 January 2008 and 31 July 2008).

The Open University is included as a wholly English university for the purposes of this indicator

Although 'Base population' and 'Number employed/studying/both' figures are rounded, the '% employed/studying/both' figures were calculated on unrounded data

2010/11 Employment indicators due to be published 5 July 2012

For our Future indicators

9. Knowledge Transfer

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

Spin-off companies and staff and graduate start-ups, number still active which have survived at least 3 years

Institution	Latest actuals:			Estimate:	Forecast:
	2008/09	2009/10	2010/11	2011/12	2012/13
University of Glamorgan					
Aberystwyth University					
Bangor University					
Cardiff University					
University of Wales Trinity Saint David					
Swansea University					
Cardiff Metropolitan University					
University of Wales, Newport					
Glyndŵr University					
Swansea Metropolitan University					
Total Welsh HEIs					277 (FoF target)

Source: Higher education business and community interaction survey (HEBCIS) Part B Table4 item 4b

2012 Financial forecasts: assumptions

- 1 At this stage we are able to confirm only that the funding for academic year 2012/13 remains in line with the information provided in the Welsh Government's remit letter to HEFCW for 2012-13 and in our circular *HEFCW's Funding Allocations 2012/13* (W12/10HE). However, please note that the 2012/13 allocations are estimates and may require in-year adjustment to reflect actual fee grant costs. Institutions should reflect in their forecasts for the three years 2013/14, 2014/15 and 2015/16 the outcomes of the strategic reallocation of student numbers exercise published in our circular *Strategic Reallocation of Student Numbers 2013/14 – Outcomes* (W12/14HE).

Funding for teaching:

Full-time

- 2 We will expect financial forecasts to take into account the fee plans submitted to us covering 2012/13 and 2013/14.

Part-time

- 3 For planning purposes, for 2012/13 institutions should assume no change to their overall income for part-time provision. For the remainder of the forecast period, institutions should apply an efficiency gain of 2.7% to 2013/14 income and an efficiency gain of 2.5% per annum thereafter.

Student numbers

- 4 For the purposes of the forecasts, institutions should assume **no recruitment above** the maximum student number for full-time and sandwich HEFCW-fundable undergraduate and PGCE provision for the appropriate academic year. Maximum student numbers for 2012/13 and 2013/14 are set out in Annex A of circular W12/14HE. Institutions should also assume **no growth** in HEFCW-funded numbers for part-time and postgraduate taught provision.
- 5 Assumptions for undergraduate full-time and sandwich recruitment in **quota controlled** provision in medicine and dentistry, and initial teacher training leading to qualified teacher status (QTS) and PGCE, should accord with the advice given in HEFCW communications specific to those areas.
- 6 Assumptions for student number forecasts should be consistent with those used in the preparation of the financial forecast tables.

Public Investment Fund

- 7 Allocations of Public Investment Fund funding for 2012/13 are set out in *HEFCW's Funding Allocations 2012/13 (W12/10HE)*. Institutions should assume zero income from the Public Investment Fund for the remainder of the forecast period since at this point we are unable to provide assumptions about the size of the Fund or its distribution between institutions.

Funding for research

- 8 For planning purposes, the 2012/13 allocations for Quality Research (QR) and Post-graduate Research (PGR) announced in *HEFCW's Funding Allocations 2012/13 (W12/10HE)* should be rolled forward to future years. However, actual funding levels may be subject to further review in future, once we know our grant-in-aid from 2013-14 onwards and the full impact of the new arrangements for student fees.

Strategy and initiative allocations

- 9 For planning purposes, the 2012/13 strategy and initiative allocations announced in *HEFCW's Funding Allocations 2012/13 (W12/10HE)* should form the basis of future forecasts, but institutions should apply an efficiency gain of 2.7% to 2013/14 income and an efficiency gain of 2.5% per annum thereafter.

Innovation and engagement

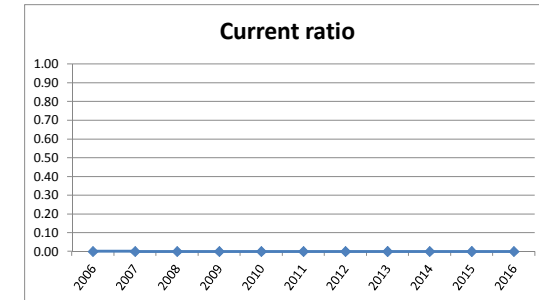
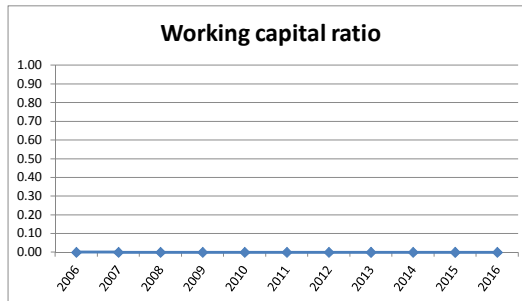
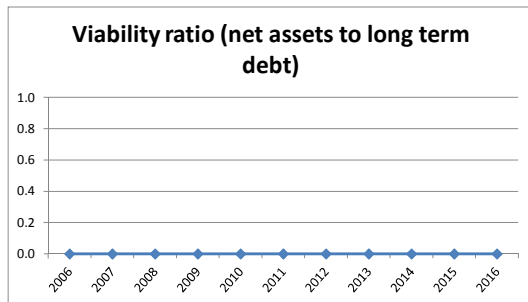
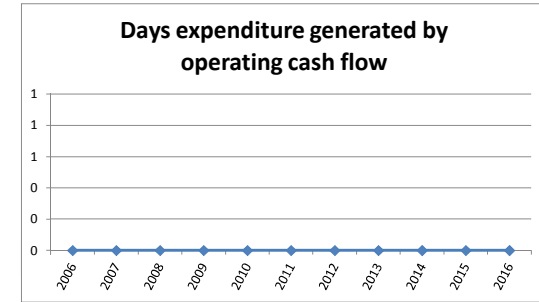
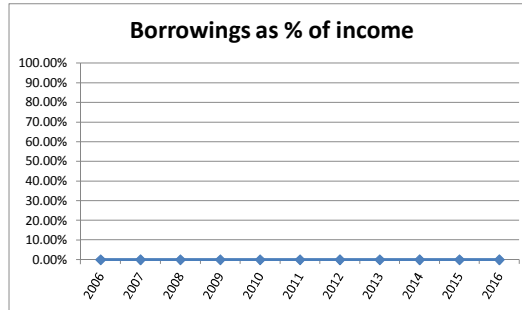
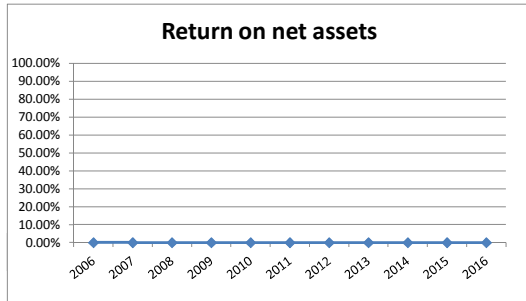
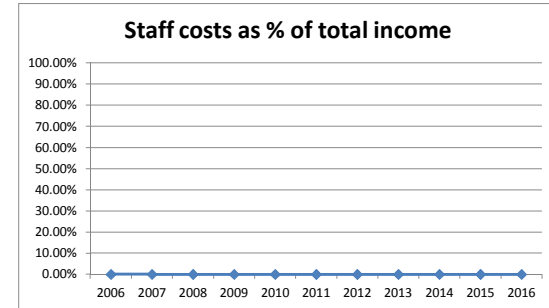
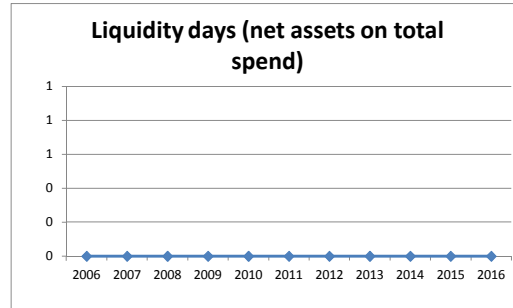
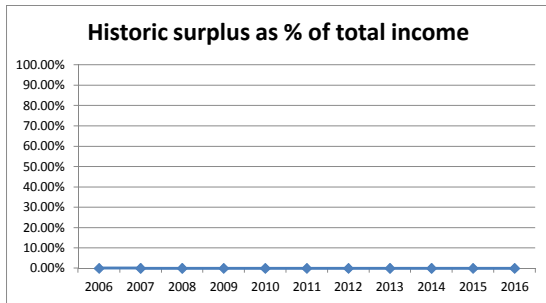
- 10 For planning purposes, the 2012/13 allocation for Innovation & Engagement Funding announced in *HEFCW's Funding Allocations 2012/13 (W12/10HE)* should form the basis of future forecasts, but institutions should apply an efficiency gain of 2.7% to 2013/14 income and an efficiency gain of 2.5% per annum thereafter.

Capital

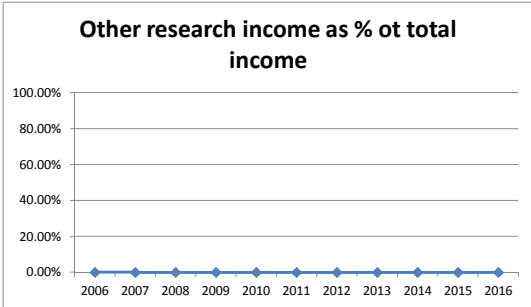
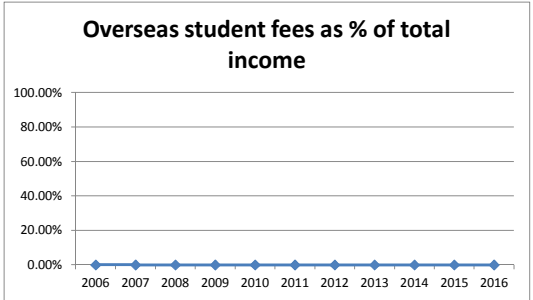
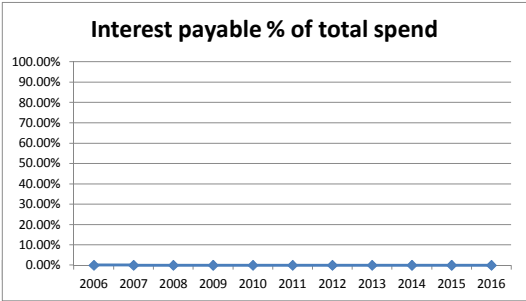
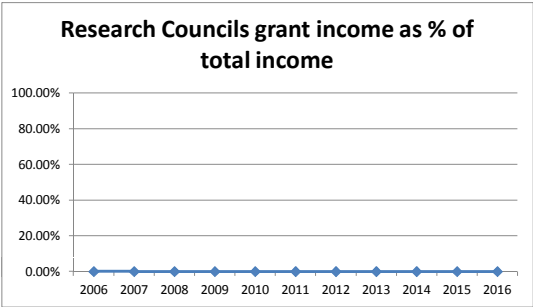
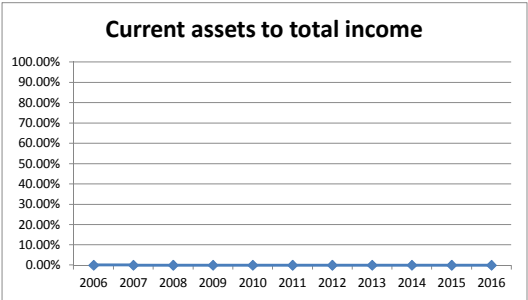
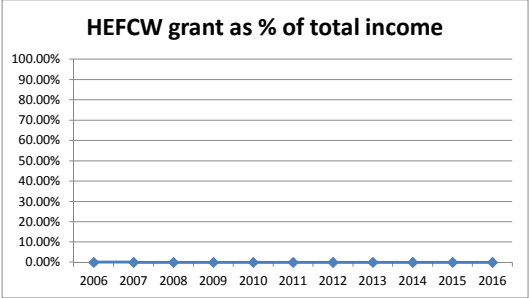
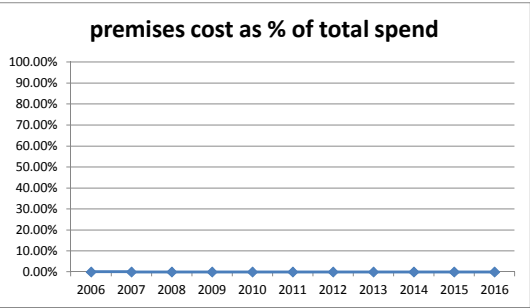
- 11 The forecast should identify significant individual capital projects by name or function as well as the actual or intended source of capital funds including previous allocations of HEFCW capital funding, and the research capital allocations for 2011-12 and 2012-13 announced in circulars W11/23HE and W12/19HE. The proposals should be consistent with the current estates strategy or other accepted capital proposals for your institution, and should include proposed or possible purchases of land or buildings as well as intended refurbishment or new build projects.
- 12 The forecast should include reference to any plans for long-term capital maintenance projects. Any significant changes to these proposals should be explained within the commentary.

	A	B	C	J	K	L	M	N	O
188									
189									
190									
191									
192									
193			Institution:						
194									
195			TABLE 4 CASH FLOW STATEMENT	£'000	£'000	£'000	£'000	£'000	£'000
196	inst	head		2011 Forecast	'12 Estimate	Forecast	Forecast	Forecast	Forecast
197	code	code	description	year ended	year ended	year ended	year ended	year ended	year ended
198	0091	1	Net cash inflow/(outflow) from operating activities	31/07/2012	31/07/2012	31/07/2013	31/07/2014	31/07/2015	31/07/2016
199				0	0	0	0	0	0
200			Returns on investments and servicing of finance						
201			Interest Paid	0	0	0	0	0	0
202			Income from endowments	0	0	0	0	0	0
203			Interest received from short term investments	0	0	0	0	0	0
204			Capital Expenditure						
205			Payments to acquire tangible fixed assets	0	0	0	0	0	0
206			payments to acquire endowment assets						
207			Deferred capital grants received	0	0	0	0	0	0
208			Receipts from sales of tangible fixed assets	0	0	0	0	0	0
209			Receipts from sales of endowment assets						
210			Endowment assets received						
211									
212			Management of liquid resources (transfers (to)/from investments)	0	0	0	0	0	0
213									
214			Financing						
215			Capital element of finance lease payments	0	0	0	0	0	0
216			Mortgages & loans acquired	0	0	0	0	0	0
217			Mortgages & loans capital repayments	0	0	0	0	0	0
218			Other items	0	0	0	0	0	0
219			Increase /(decrease) in cash	0	0	0	0	0	0
220									
221			Cross check to Balance sheet cash :-						
222			Opening balance			0	0	0	0
223			Closing balance			0	0	0	0
224			Movement			0	0	0	0
225									
226			Check		OK	OK	OK	OK	OK
227									
228									
229									
230									
231									
232									
233									
234			Institution:						
235				£'000	£'000	£'000	%		
236			TABLE 5 Comparison of 2011/12 original forecast with latest estimate for 2011/12						
237	inst	head	This table will be populated by data entered in tables 1 and 2	Original F'cast	Estimate				
238	code	code	description	Financial year	Financial year	variance	variance		
239	0091	1	HEFCW grant	2011/12	2011/12				
240	0091	2	Academic fees and support grants	0	0	0	#DIV/0!		
241	0091	3	Research grants and contracts	0	0	0	#DIV/0!		
242	0091	4	Other operating income	0	0	0	#DIV/0!		
243	0091	5	Endowment income and interest receivable	0	0	0	#DIV/0!		
244			Less Share of JV Income	0	0	0	#DIV/0!		
245	0091	7	Total Income	0	0	0	#DIV/0!		
246	0091	8	Staff costs	0	0	0	#DIV/0!		
247	0091	9a	Other operating expenses	0	0	0	#DIV/0!		
248	0091	9b	Premises expenditure	0	0	0	#DIV/0!		
249	0091	9	Sub total other operating expenses	0	0	0	#DIV/0!		
250	0091	10	Interest payable	0	0	0	#DIV/0!		
251	0091	11	Depreciation	0	0	0	#DIV/0!		
253	0091	13	Total Expenditure	0	0	0	#DIV/0!		
254	0091	14	Surplus/(Deficit) on ordinary activities	0	0	0	#DIV/0!		

XXXXXXXXXXXXX UNIVERSITY FINANCIAL FORECAST GRAPHS 2012-2016 (1)



XXXXXXXXXXXXXXXXX UNIVERSITY FINANCIAL FORECAST GRAPHS 2012-2016 (2)



**Pro-forma Commentary to Accompany Financial Forecasts
2011/12 to 2015/16**

(Please attach additional numbered pages, if necessary)

INSTITUTION NAME: _____

SECTION 1 INTRODUCTION

Financial commentary on past performance and future prospects

The financial commentary is an integral part of the overall financial return, explaining forecast financial performance in the context of recent financial results, and identifying important trends in the forecast numbers across the period, especially with respect to the key indicators such as liquidity, operating and historic surplus, etc. Confirmation should also be provided that appropriate assumptions have been made for movements in significant areas of income (fees (split by domicile), grants (FT/PT, etc) and costs (staff and non-staff).

In addition to aiding our understanding of each HEI's specific circumstances, the commentaries (taken together) will aid our understanding of the sector and assist us in helping to position the sector for future sustainability. It is expected that HEIs will address the questions on financial sustainability and their response to changing economic conditions in respect of the items in the tables below. The commentary may be a document already produced by an HEI for its own planning purposes, but as a minimum it should address the issues highlighted in each of the sections shown below.

In this commentary we ask HEIs to answer the following questions:

Financial sustainability: Taking into account the financial returns, student number data and the HEI's current TRAC data:	
1	How is the HEI ensuring long-term financial sustainability?
2	How has the HEI decided appropriate levels for annual surpluses, liquidity, borrowings and reserves? Do the forecasts indicate that these levels will be achieved? If not, what are the consequences?
3	How has the HEI decided on the level of investment required to maintain the HEI's physical infrastructure in a fit state for the long term? How will it ensure this can be financed and is affordable?

4	What progress has been achieved against targets for VFM and other cost efficiency initiatives identified in the financial commentary submitted in July 2011? – a template showing those schemes for your HEI is supplied, and you are asked to evaluate that progress. What initiatives are likely to be introduced in 2012/13, and how much is likely to be achieved, and by when? (see also section 10 below)
5	What scenario planning has been undertaken in relation to the financial position over the forecast period? What contingencies have been modelled? What actions has the HEI taken/does it plan to take to address the impacts of any reductions in income streams?

Changing economic conditions:

Examples of changing economic conditions are: the levying of charges for student fees; changes in the availability and cost of loan finance; falling asset values; uncertainty about the timing or possibility of asset sales; reduced land prices; increased partnership and collaboration.

6	<p>It would be helpful to confirm whether the HEI has had:</p> <ul style="list-style-type: none"> • difficulties obtaining capital financing • difficulties with sales of assets • losses on endowment funds or other investments • substantial reduction in any income stream.
7	To what extent have changing economic conditions affected the HEI's financial strategy? How is the HEI responding to the opportunities and threats arising from the recession, including any new actions to secure its financial position? How is the HEI also responding to the change in fee regime and the announcements of allocations of funding and student numbers for 2012-13, 2013-14 and beyond?
8	Bearing in mind the above, what are the key risks to the HEI's financial health and sustainability over the forecast period? How have these changed since last year? How does it keep this under review? Has there been a change in risk appetite for the HEI since last year?

SECTION 2 INCOME & EXPENDITURE ACCOUNT (TABLES 1, 2A and 2B)

This section should highlight any major changes to, or trends in, income or costs across the period, explaining the assumptions made in support of the changes. It should also highlight and confirm that the revenue maintenance programme is in line with the latest strategy.

Explain the assumptions made in developing the financial forecasts and the basis of the forecasts (for example, realistic forecast performance, worst-case scenario).

Explain significant movements (± 10 per cent in any one year) on the income and expenditure account. The commentary should also provide detail on any material exceptional items.

SECTION 3 BALANCE SHEET (TABLE 3)

This section should highlight and explain significant changes or trends in fixed and current assets, current liabilities, external borrowings, the net asset position, and reserves. Particular attention should be paid to liquidity issues as highlighted in the KPI table (Table 8).

Explain the assumptions made in developing the financial forecasts and the basis of the forecasts (for example, realistic forecast performance, worst-case scenario).

Explain significant movements (± 10 per cent in any one year) any any other items having a material effect on the balance sheet.

SECTION 4 CASH FLOW STATEMENT (TABLE 4)

Significant items or trends should be highlighted here. Please ensure that the cross-check to the balance sheet movement of cash and investments is made.

SECTION 5 COMPARISON OF LAST YEAR'S FORECAST FOR CURRENT YEAR WITH THE LATEST ESTIMATE (TABLE 5)

Significant variances from estimate to original forecast should be explained, with confirmation that the impact of significant changes or trends is reflected in the forecast years.

SECTION 6 MOVEMENT IN PENSIONS DEFICIT (TABLE 6)

We would like to understand the impact of the pensions deficit on the income and expenditure account, cash flow and reserves. It is appreciated that an estimate of actuarial gain or loss is not achievable.

SECTION 7 CAPITAL FINANCING (TABLE 7)

Significant projects or items of spend should be detailed here. The method AND SOURCES of financing should reconcile to the spend (lower value items should be totalled together as a balancing line), and should be supported with appropriate commentary (e.g. proposed terms of loan, etc). Any loan finance should be reflected also in the balance sheet and cash flow. Please also comment on any projects which are contained in your latest strategic plan but which are NOT costed in Table 7 of the model. These may be aspirational, or projects for which the funding has not yet been determined.

Annex D

Below is a proforma which should be completed to detail the major items of proposed capital expenditure by source of funding. You can expand the table to accommodate the number of projects within each category. A separate table should be provided for each of the years 2012/13 and 2013/14. In addition, in response last year's request from the Welsh Government, we also require details of your commitments as at July 2012 under current schemes which are held 'off Balance Sheet ' (e.g. student accommodation). These should be provided on a separate schedule.

	Institution:		
	Year:		
Balance sheet items - Item	Category (L&B, Equip)	Source of funds (Internal, HEFCW, WG/other, ext loans, leasing)	Amount £000
A			
B			
Etc			
Other (lower value or not individually identified)			
Total	(should map to total Capex spend for year in table 7)		
Non-balance sheet items (e.g. PFI or equivalent)	Category	Source of funds	Amount £000
A			
B			
Etc			
Total:			

Items in Strategic Plan not yet costed in Table 7 (e.g. aspirational / funding not yet determined)	Category		Estimated Amount £000
A			
B			
C			
Etc			
Total:			

SECTION 8 KEY PERFORMANCE INDICATORS (TABLE 8)

This section should provide full commentary to support significant changes or trends in the main indicators.

SECTION 9 RISK / OPPORTUNITY ANALYSIS

This section should be completed as fully as possible with significant items of sensitivity. The table below gives examples - this list is not exhaustive.

Item	Risk (R) or Opportunity (O)	Effect of 1% movement on 2012/13 forecast - £000
Salary settlement different from forecast level		
Employer pensions contributions increased		
Forecast overseas fee income		
Energy costs		
Investment Income		
Borrowings costs		
Other (please specify)		

SECTION 10 – AREAS OF EXPENDITURE CONTROL / EFFICIENCY IMPROVEMENT

This section, introduced in July 2011, requires you to provide details of progress against the main schemes and initiatives which are already in place (as identified in the commentaries you submitted last year) to control expenditure, and the schemes which are planned to improve efficiency. You should also provide an updated estimate of the final expected outcome (with timescale). For new schemes or initiatives starting in 2012/13, the planned timescale and anticipated savings through expenditure control or efficiencies should be listed, again with timescale.

Progress against 2011/12 expenditure controls / efficiency initiatives (details of last year's submissions will be provided on accompanying proforma)				
Expenditure control	Description	Savings to date/ progress	Anticipated final saving	Target date
A				
B				
C				
Efficiency initiatives	Description	Savings to date/ progress	Anticipated final saving	Target date
A				
B				
C				

New expenditure controls / efficiency initiatives identified for 2012/13				
Expenditure control	Description	Anticipated start date	Anticipated future saving	Target completion date
A				
B				
C				
Efficiency initiatives	Description	Anticipated start date	Anticipated future saving	Target completion date
A				
B				
C				

Student number forecasts – guidance notes

These notes of guidance apply to all higher education institutions that receive funding from HEFCW. For guidance about definitions used in the return, please refer to circular W11/43HE, *Higher Education Students Early Statistics Survey 2011/12* (HESES11).

All numbers returned in Tables SPF1, SPF2 and SPF4 of this survey should represent counts of completed registrations and not FTEs. In Table SPF3, registrations 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.

Forecasts of student registrations should correspond to assumed registrations that complete the year of study, that is, after account has been taken of non-completions. Forecasts of credit values should correspond to assumed credit values associated with completed modules or units. Full-time fundable numbers can be returned as partial non-completions, as defined in HESES11. The adjustment applies only to full-time taught courses; no adjustment should be made for research or part-time enrolments.

Contents of the return

Each institution will be sent an e-mail with an Excel workbook attached containing five worksheets, which correspond to the tables shown in **Annex F** and a summary sheet to aid checking and comparison with 2011/12 HESES figures. Each file includes a four-character prefix identifying the institution. The file ****_STRAT.xls contains the following worksheets:

Annex F

- Form SPF1:** Completed student registrations for the period 2012/13 - 2015/16, for all modes of study, levels of study and funding categories. Full-time, sandwich year out and part-time undergraduate registrations should be split between franchised out and non-franchised out and by degree and non-degree.
- Form SPF2:** Home and EU fundable completed student registrations for the period 2012/13 - 2015/16 by mode of study, level of study and ASC. Full-time, sandwich year out and part-time undergraduate registrations should be split between franchised out and non-franchised out and by degree and non-degree.
- Form SPF3:** Home and EU fundable student registrations for the period 2012/13 - 2015/16, for postgraduate taught and part-time undergraduate provision only, in terms of the credit values associated with completed modules or units that comprise the course, by mode of study, level of study and ASC.
- Form SPF4:** Home and EU fundable completed new entrant full-time and sandwich undergraduate and PGCE registrations for the period

2012/13 – 2015/16 by residential status (Welsh/EU or other home) and ASC. Registrations should be split between franchised out and non-franchised out and by degree, non-degree and PGCE (QTS).

Summary: Summary of HESES 2011/12 data for comparison/information.

In apportioning forecast registrations to ASCs please refer to the guidance given in Annexes D and K of circular W11/43HE, *Higher Education Students Early Statistics 2011/12*.

Note that the tables contain formulae to sum row and column totals. Formulae in these rows should not be adjusted.

Validation of the data

Validation checks have been built into Table SPF2, to the right of the tables, which check that the totals in SPF2 correspond to the HEFCW fundable totals returned in Table SPF1.

Institutions should ensure these validation checks have been passed before returning the data to us.

Student registration forecasts
All modes and levels of study

SPF1

Institution:
 Institution Code:

Level of study		Forecast completed registrations in academic year 2012/13											
		Full-time			Sandwich Year Out			Part-time			Total		
		Home and EU		Island and overseas	Home and EU		Island and overseas	Home and EU		Island and overseas	Home and EU		Island and overseas
		Fundable	Non-fundable		Fundable	Non-fundable		Fundable	Non-fundable		Fundable	Non-fundable	
Not franchised out	Undergraduate degree										0.0	0.0	0.0
	Undergraduate non-degree										0.0	0.0	0.0
Franchised out	Undergraduate degree										0.0	0.0	0.0
	Undergraduate non-degree										0.0	0.0	0.0
Undergraduate total		0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
Postgraduate taught											0.0	0.0	0.0
Postgraduate research											0.0	0.0	0.0
Total		0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0

Level of study		Forecast completed registrations in academic year 2013/14											
		Full-time			Sandwich Year Out			Part-time			Total		
		Home and EU		Island and overseas	Home and EU		Island and overseas	Home and EU		Island and overseas	Home and EU		Island and overseas
		Fundable	Non-fundable		Fundable	Non-fundable		Fundable	Non-fundable		Fundable	Non-fundable	
Not franchised out	Undergraduate degree										0.0	0.0	0.0
	Undergraduate non-degree										0.0	0.0	0.0
Franchised out	Undergraduate degree										0.0	0.0	0.0
	Undergraduate non-degree										0.0	0.0	0.0
Undergraduate total		0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
Postgraduate taught											0.0	0.0	0.0
Postgraduate research											0.0	0.0	0.0
Total		0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0

Level of study		Forecast completed registrations in academic year 2014/15											
		Full-time			Sandwich Year Out			Part-time			Total		
		Home and EU		Island and overseas	Home and EU		Island and overseas	Home and EU		Island and overseas	Home and EU		Island and overseas
		Fundable	Non-fundable		Fundable	Non-fundable		Fundable	Non-fundable		Fundable	Non-fundable	
Not franchised out	Undergraduate degree										0.0	0.0	0.0
	Undergraduate non-degree										0.0	0.0	0.0
Franchised out	Undergraduate degree										0.0	0.0	0.0
	Undergraduate non-degree										0.0	0.0	0.0
Undergraduate total		0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
Postgraduate taught											0.0	0.0	0.0
Postgraduate research											0.0	0.0	0.0
Total		0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0

Level of study		Forecast completed registrations in academic year 2015/16											
		Full-time			Sandwich Year Out			Part-time			Total		
		Home and EU		Island and overseas	Home and EU		Island and overseas	Home and EU		Island and overseas	Home and EU		Island and overseas
		Fundable	Non-fundable		Fundable	Non-fundable		Fundable	Non-fundable		Fundable	Non-fundable	
Not franchised out	Undergraduate degree										0.0	0.0	0.0
	Undergraduate non-degree										0.0	0.0	0.0
Franchised out	Undergraduate degree										0.0	0.0	0.0
	Undergraduate non-degree										0.0	0.0	0.0
Undergraduate total		0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
Postgraduate taught											0.0	0.0	0.0
Postgraduate research											0.0	0.0	0.0
Total		0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0

Contains formulae

Each sandwich year out registration is counted as 1.

Home and EU fundable student registration forecasts
All modes and levels of study

SPF2

Institution:
Institution Code:

ASC		Forecast completed home and EU fundable registrations in academic year 2012/13																				
		Full-time						Sandwich Year Out						Part-time						Total		
		Not Franchised out		Franchised out		Postgraduate taught	Postgraduate research	Not Franchised out		Franchised out		Postgraduate taught	Postgraduate research	Not Franchised out		Franchised out		Postgraduate taught	Postgraduate research	Undergraduate	Postgraduate taught	Postgraduate research
		Undergraduate degree	Undergraduate non-degree	Undergraduate degree	Undergraduate non-degree			Undergraduate degree	Undergraduate non-degree	Undergraduate degree	Undergraduate non-degree			Undergraduate degree	Undergraduate non-degree	Undergraduate degree	Undergraduate non-degree					
1	Clinical and Pre-clinical Medicine and Dentistry																		0.0	0.0	0.0	
2	Subjects and Professions Allied to Medicine																		0.0	0.0	0.0	
3	Science																		0.0	0.0	0.0	
4	Engineering and Technology																		0.0	0.0	0.0	
5	Built Environment																		0.0	0.0	0.0	
6	Mathematical Sciences, IT and Computing																		0.0	0.0	0.0	
7	Business and Management																		0.0	0.0	0.0	
8	Social Sciences																		0.0	0.0	0.0	
9	Humanities																		0.0	0.0	0.0	
10	Art, Design and Performing Arts																		0.0	0.0	0.0	
11aa	Education ITT (QTS) Primary																		0.0	0.0	0.0	
11ab	Education ITT (QTS) Secondary																		0.0	0.0	0.0	
11b	Education (Non-QTS)																		0.0	0.0	0.0	
Total		0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	

ASC		Forecast completed home and EU fundable registrations in academic year 2013/14																				
		Full-time						Sandwich Year Out						Part-time						Total		
		Not Franchised out		Franchised out		Postgraduate taught	Postgraduate research	Not Franchised out		Franchised out		Postgraduate taught	Postgraduate research	Not Franchised out		Franchised out		Postgraduate taught	Postgraduate research	Undergraduate	Postgraduate taught	Postgraduate research
		Undergraduate degree	Undergraduate non-degree	Undergraduate degree	Undergraduate non-degree			Undergraduate degree	Undergraduate non-degree	Undergraduate degree	Undergraduate non-degree			Undergraduate degree	Undergraduate non-degree	Undergraduate degree	Undergraduate non-degree					
1	Clinical and Pre-clinical Medicine and Dentistry																		0.0	0.0	0.0	
2	Subjects and Professions Allied to Medicine																		0.0	0.0	0.0	
3	Science																		0.0	0.0	0.0	
4	Engineering and Technology																		0.0	0.0	0.0	
5	Built Environment																		0.0	0.0	0.0	
6	Mathematical Sciences, IT and Computing																		0.0	0.0	0.0	
7	Business and Management																		0.0	0.0	0.0	
8	Social Sciences																		0.0	0.0	0.0	
9	Humanities																		0.0	0.0	0.0	
10	Art, Design and Performing Arts																		0.0	0.0	0.0	
11aa	Education ITT (QTS) Primary																		0.0	0.0	0.0	
11ab	Education ITT (QTS) Secondary																		0.0	0.0	0.0	
11b	Education (Non-QTS)																		0.0	0.0	0.0	
Total		0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	

ASC		Forecast completed home and EU fundable registrations in academic year 2014/15																				
		Full-time						Sandwich Year Out						Part-time						Total		
		Not Franchised out		Franchised out		Postgraduate taught	Postgraduate research	Not Franchised out		Franchised out		Postgraduate taught	Postgraduate research	Not Franchised out		Franchised out		Postgraduate taught	Postgraduate research	Undergraduate	Postgraduate taught	Postgraduate research
		Undergraduate degree	Undergraduate non-degree	Undergraduate degree	Undergraduate non-degree			Undergraduate degree	Undergraduate non-degree	Undergraduate degree	Undergraduate non-degree			Undergraduate degree	Undergraduate non-degree	Undergraduate degree	Undergraduate non-degree					
1	Clinical and Pre-clinical Medicine and Dentistry																		0.0	0.0	0.0	
2	Subjects and Professions Allied to Medicine																		0.0	0.0	0.0	
3	Science																		0.0	0.0	0.0	
4	Engineering and Technology																		0.0	0.0	0.0	
5	Built Environment																		0.0	0.0	0.0	
6	Mathematical Sciences, IT and Computing																		0.0	0.0	0.0	
7	Business and Management																		0.0	0.0	0.0	
8	Social Sciences																		0.0	0.0	0.0	
9	Humanities																		0.0	0.0	0.0	
10	Art, Design and Performing Arts																		0.0	0.0	0.0	
11aa	Education ITT (QTS) Primary																		0.0	0.0	0.0	
11ab	Education ITT (QTS) Secondary																		0.0	0.0	0.0	
11b	Education (Non-QTS)																		0.0	0.0	0.0	
Total		0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	

ASC		Forecast completed home and EU fundable registrations in academic year 2015/16																				
		Full-time						Sandwich Year Out						Part-time						Total		
		Not Franchised out		Franchised out		Postgraduate taught	Postgraduate research	Not Franchised out		Franchised out		Postgraduate taught	Postgraduate research	Not Franchised out		Franchised out		Postgraduate taught	Postgraduate research	Undergraduate	Postgraduate taught	Postgraduate research
		Undergraduate degree	Undergraduate non-degree	Undergraduate degree	Undergraduate non-degree			Undergraduate degree	Undergraduate non-degree	Undergraduate degree	Undergraduate non-degree			Undergraduate degree	Undergraduate non-degree	Undergraduate degree	Undergraduate non-degree					
1	Clinical and Pre-clinical Medicine and Dentistry																		0.0	0.0	0.0	
2	Subjects and Professions Allied to Medicine																		0.0	0.0	0.0	
3	Science																		0.0	0.0	0.0	
4	Engineering and Technology																		0.0	0.0	0.0	
5	Built Environment																		0.0	0.0	0.0	
6	Mathematical Sciences, IT and Computing																		0.0	0.0	0.0	
7	Business and Management																		0.0	0.0	0.0	
8	Social Sciences																		0.0	0.0	0.0	
9	Humanities																		0.0	0.0	0.0	
10	Art, Design and Performing Arts																		0.0	0.0	0.0	
11aa	Education ITT (QTS) Primary																		0.0	0.0	0.0	
11ab	Education ITT (QTS) Secondary																		0.0	0.0	0.0	
11b	Education (Non-QTS)																		0.0	0.0	0.0	
Total		0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	

Contains formulae

Each sandwich year out registration is counted as 1.

Home and EU fundable credit value forecasts
Postgraduate taught and part-time undergraduate

SPF3

Institution:
Institution Code:

ASC		Forecast completed home and EU fundable credit values in academic year 2012/13					
		Full-time		Part-time		Total	
		Postgraduate taught	Undergraduate (not franchised out)	Undergraduate franchised out	Postgraduate taught	Undergraduate	Postgraduate taught
1	Clinical and Pre-clinical Medicine and Dentistry					0.0	0.0
2	Subjects and Professions Allied to Medicine					0.0	0.0
3	Science					0.0	0.0
4	Engineering and Technology					0.0	0.0
5	Built Environment					0.0	0.0
6	Mathematical Sciences, IT and Computing					0.0	0.0
7	Business and Management					0.0	0.0
8	Social Sciences					0.0	0.0
9	Humanities					0.0	0.0
10	Art, Design and Performing Arts					0.0	0.0
11aa	Education ITT (QTS) Primary					0.0	0.0
11ab	Education ITT (QTS) Secondary					0.0	0.0
11b	Education (Non-QTS)					0.0	0.0
Total		0.0	0.0	0.0	0.0	0.0	0.0

ASC		Forecast completed home and EU fundable credit values in academic year 2013/14					
		Full-time		Part-time		Total	
		Postgraduate taught	Undergraduate (not franchised out)	Undergraduate franchised out	Postgraduate taught	Undergraduate	Postgraduate taught
1	Clinical and Pre-clinical Medicine and Dentistry					0.0	0.0
2	Subjects and Professions Allied to Medicine					0.0	0.0
3	Science					0.0	0.0
4	Engineering and Technology					0.0	0.0
5	Built Environment					0.0	0.0
6	Mathematical Sciences, IT and Computing					0.0	0.0
7	Business and Management					0.0	0.0
8	Social Sciences					0.0	0.0
9	Humanities					0.0	0.0
10	Art, Design and Performing Arts					0.0	0.0
11aa	Education ITT (QTS) Primary					0.0	0.0
11ab	Education ITT (QTS) Secondary					0.0	0.0
11b	Education (Non-QTS)					0.0	0.0
Total		0.0	0.0	0.0	0.0	0.0	0.0

ASC		Forecast completed home and EU fundable credit values in academic year 2014/15					
		Full-time		Part-time		Total	
		Postgraduate taught	Undergraduate (not franchised out)	Undergraduate franchised out	Postgraduate taught	Undergraduate	Postgraduate taught
1	Clinical and Pre-clinical Medicine and Dentistry					0.0	0.0
2	Subjects and Professions Allied to Medicine					0.0	0.0
3	Science					0.0	0.0
4	Engineering and Technology					0.0	0.0
5	Built Environment					0.0	0.0
6	Mathematical Sciences, IT and Computing					0.0	0.0
7	Business and Management					0.0	0.0
8	Social Sciences					0.0	0.0
9	Humanities					0.0	0.0
10	Art, Design and Performing Arts					0.0	0.0
11aa	Education ITT (QTS) Primary					0.0	0.0
11ab	Education ITT (QTS) Secondary					0.0	0.0
11b	Education (Non-QTS)					0.0	0.0
Total		0.0	0.0	0.0	0.0	0.0	0.0

ASC		Forecast completed home and EU fundable credit values in academic year 2015/16					
		Full-time		Part-time		Total	
		Postgraduate taught	Undergraduate (not franchised out)	Undergraduate franchised out	Postgraduate taught	Undergraduate	Postgraduate taught
1	Clinical and Pre-clinical Medicine and Dentistry					0.0	0.0
2	Subjects and Professions Allied to Medicine					0.0	0.0
3	Science					0.0	0.0
4	Engineering and Technology					0.0	0.0
5	Built Environment					0.0	0.0
6	Mathematical Sciences, IT and Computing					0.0	0.0
7	Business and Management					0.0	0.0
8	Social Sciences					0.0	0.0
9	Humanities					0.0	0.0
10	Art, Design and Performing Arts					0.0	0.0
11aa	Education ITT (QTS) Primary					0.0	0.0
11ab	Education ITT (QTS) Secondary					0.0	0.0
11b	Education (Non-QTS)					0.0	0.0
Total		0.0	0.0	0.0	0.0	0.0	0.0

Do not complete
Contains formulae

**Home and EU fundable new entrant registration forecasts
Full-time and sandwich undergraduate and PGCE**

SPF4

 Institution:
 Institution Code:

Academic Subject Category		Forecast completed home and EU fundable new entrant registrations in academic year 2012/13										Total
		Welsh and EU residential status					Other home residential status					
		Not franchised out			Franchised out		Not franchised out			Franchised out		
		Undergraduate degree	Undergraduate non-degree	PGCE (QTS)	Undergraduate degree	Undergraduate non-degree	Undergraduate degree	Undergraduate non-degree	PGCE (QTS)	Undergraduate degree	Undergraduate non-degree	
1	Clinical and Pre-clinical Medicine and Dentistry											0.0
2	Subjects and Professions Allied to Medicine											0.0
3	Science											0.0
4	Engineering and Technology											0.0
5	Built Environment											0.0
6	Mathematical Sciences, IT and Computing											0.0
7	Business and Management											0.0
8	Social Sciences											0.0
9	Humanities											0.0
10	Art, Design and Performing Arts											0.0
11aa	Education ITT (QTS) Primary											0.0
11ab	Education ITT (QTS) Secondary											0.0
11b	Education (Non-QTS)											0.0
Total		0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0

Academic Subject Category		Forecast completed home and EU fundable new entrant registrations in academic year 2013/14										Total
		Welsh and EU residential status					Other home residential status					
		Not franchised out			Franchised out		Not franchised out			Franchised out		
		Undergraduate degree	Undergraduate non-degree	PGCE (QTS)	Undergraduate degree	Undergraduate non-degree	Undergraduate degree	Undergraduate non-degree	PGCE (QTS)	Undergraduate degree	Undergraduate non-degree	
1	Clinical and Pre-clinical Medicine and Dentistry											0.0
2	Subjects and Professions Allied to Medicine											0.0
3	Science											0.0
4	Engineering and Technology											0.0
5	Built Environment											0.0
6	Mathematical Sciences, IT and Computing											0.0
7	Business and Management											0.0
8	Social Sciences											0.0
9	Humanities											0.0
10	Art, Design and Performing Arts											0.0
11aa	Education ITT (QTS) Primary											0.0
11ab	Education ITT (QTS) Secondary											0.0
11b	Education (Non-QTS)											0.0
Total		0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0

Academic Subject Category		Forecast completed home and EU fundable new entrant registrations in academic year 2014/15										Total
		Welsh and EU residential status					Other home residential status					
		Not franchised out			Franchised out		Not franchised out			Franchised out		
		Undergraduate degree	Undergraduate non-degree	PGCE (QTS)	Undergraduate degree	Undergraduate non-degree	Undergraduate degree	Undergraduate non-degree	PGCE (QTS)	Undergraduate degree	Undergraduate non-degree	
1	Clinical and Pre-clinical Medicine and Dentistry											0.0
2	Subjects and Professions Allied to Medicine											0.0
3	Science											0.0
4	Engineering and Technology											0.0
5	Built Environment											0.0
6	Mathematical Sciences, IT and Computing											0.0
7	Business and Management											0.0
8	Social Sciences											0.0
9	Humanities											0.0
10	Art, Design and Performing Arts											0.0
11aa	Education ITT (QTS) Primary											0.0
11ab	Education ITT (QTS) Secondary											0.0
11b	Education (Non-QTS)											0.0
Total		0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0

Academic Subject Category		Forecast completed home and EU fundable new entrant registrations in academic year 2015/16										Total
		Welsh and EU residential status					Other home residential status					
		Not franchised out			Franchised out		Not franchised out			Franchised out		
		Undergraduate degree	Undergraduate non-degree	PGCE (QTS)	Undergraduate degree	Undergraduate non-degree	Undergraduate degree	Undergraduate non-degree	PGCE (QTS)	Undergraduate degree	Undergraduate non-degree	
1	Clinical and Pre-clinical Medicine and Dentistry											0.0
2	Subjects and Professions Allied to Medicine											0.0
3	Science											0.0
4	Engineering and Technology											0.0
5	Built Environment											0.0
6	Mathematical Sciences, IT and Computing											0.0
7	Business and Management											0.0
8	Social Sciences											0.0
9	Humanities											0.0
10	Art, Design and Performing Arts											0.0
11aa	Education ITT (QTS) Primary											0.0
11ab	Education ITT (QTS) Secondary											0.0
11b	Education (Non-QTS)											0.0
Total		0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0

 Do not complete
 Contains formulae

Each sandwich year out registration is counted as 1.

**Annual Monitoring Statements 2011/12
Annex G1**

INSTITUTION	
Institutional Contact name for Learning and Teaching Strategy	
Post held	
Contact details – Email/Tel	

Area of strategic focus	Actions to achieve outcomes	2011/12 measurable (qualitative and quantitative) outcomes	Target achieved? Yes/No*	2012/13 measurable (qualitative and quantitative) outcomes¹	Resources² used in 2011/12	Resources allocated in 2012/13

<p>Funding Allocation for 2011/12 = £</p> <p>I confirm that the above allocation was used broadly according to the proposed expenditure outlined in the institution's [name of strategy, and years to which it applies], subject to any major changes or funds carried forward to 2011/12 that I have outlined below.</p> <p align="center">Signature (Head of institution)</p> <p align="center">Date</p> <p><i>Please indicate below any changes to planned expenditure with brief explanation:</i></p>	<p>Funding allocation for 2012/13 = £</p>
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¹ Where strategy outcomes for 2012/13 include Fee Plan targets, please ensure that Fee Plan targets are as approved through the HEFCW Fee planning process.

² Learning and teaching strategy funding, and funding from other sources

INSTITUTION	
Institutional Contact name for WIDENING ACCESS STRATEGIES	
Post held	
Contact details – Email/Tel	

2011/12 Strategy Period				2012/13 Strategy Period			
Strategic priorities and activities	2011/12 measurable outcomes	Outcome achieved? Y/N ¹	Progress against unachieved outcomes/comment on unspent balances*	Resources used in 2011/12	2012/13 measurable outcomes ²	Proposed changes to outcomes in 2012/13 (if required)	Resources allocated in 2012/13

Total Expenditure breakdown for Widening Access Strategies	2011/12
a) Widening Access Strategy Funding 2011/12	
b) Carry forward and/or under-spend from previous years (if appropriate).	
c) Any additional Widening Access allocation received, but not accounted for above.	

I confirm that expenditure figures included in the above tables are correct and that the funding has been spent in accordance with the institution's original intentions as agreed with HEFCW.	
Signature (Head of Institution):	Date:

Please indicate below the rationale for any proposed changes to outcomes or resources, with a brief explanation. The 2012/13 allocation is £x

¹ There is no requirement to comment further where a target has been achieved.

² Where strategy outcomes for 2012/13 include Fee Plan targets, please ensure that Fee Plan targets are as approved through the HEFCW Fee planning process.

REACHING WIDER PARTNERSHIP (RW)	
Chair:	
Contact details – Email/Tel	

2011/12 Strategy Period				2012/13 Strategy Period	
Priority: Communities First	2011/12 measurable outcomes	Outcome Achieved Y/N*	Progress against unachieved outcomes/comment on unspent balances*	2012/13 Measurable outcomes	Proposed changes to targets in 2012/13 (if required)
Priority: Looked After Children					

*Where an outcome is achieved there is no requirement to comment further.

**Annual Monitoring Statements 2011/12
Annex G3**

Expenditure breakdown for Reaching Wider Strategies	Estimated 2011/12	Actual 2011/12
a) Reaching Wider Strategy Funding		
b) Carry forward and/or under-spend from previous years (if appropriate).	N/A in 2011/12	N/A 2011/12
c) Any additional Reaching Widening allocation received, but not accounted for above.		

I confirm that expenditure figures provided for 2011/12 are correct and that the funding has been spent in accordance with the Partnership's original intentions as agreed with the Council. Please account separately for any carry forward from previous years and/or underspend.

Signature (Chair of RW Partnership):

Date:

**Annual Monitoring Statements 2011/12
Annex G4**

INSTITUTION	
Institutional Contact name for INNOVATION AND ENGAGEMENT ACTIVITY 2011/12	
Post held	
Contact details – Email/Tel	

Activity	2011/12 performance indicators	Target achieved? Y/N	Progress against unachieved performance indicators/comment on unspent balances*	2012/13 performance indicators

**NB There is no requirement to comment further where target has been achieved.*

I confirm that expenditure figures included in the above table are correct and that the funding has been spent in accordance with the institution's original intentions as agreed with the Council.	
Signature (Head of Institution):	Date:

**Annual Monitoring Statements 2011/12
Annex G5**

CENTRE/INSTITUTION	
Contact name for INITIAL TEACHER TRAINING STRATEGY	
Post held	
Contact details – Email/Tel	

Activity*	2011/12 measurable targets	Target achieved? Y/N	Progress against unachieved targets/comment on unspent balances**	2012/13 measurable targets	Proposed changes to expenditure in 2012/13 (if required)
Centre Operation					
Equality and Diversity in the Teaching Profession					
Other Statutory and Regulatory Responsibilities					
School Partnerships					
Welsh medium provision, Welsh as an ITT subject and Welsh as a second language					
Marketing, Recruitment and Retention					
Curriculum Design and Development					
Quality Assurance and Enhancement					

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Research					
Collaboration Across the Sector					

* Glyndŵr University will receive a template with activity headings as in its funding plan submitted to HEFCW in 2009. The heading "Centre Operation" does not apply to the Open University in Wales.

**NB: There is no requirement to comment further where a target has been achieved.

Expenditure breakdown for Initial Teacher Training Strategy	Estimated 2011/12	Actual	Estimated 2012/13	Revised expenditure (if required) 2012/13
a) ITT Strategy Funding Allocation				
b) Carry forward from previous years (if appropriate).				

I confirm that expenditure figures included in the above table are correct and that the funding has been spent in accordance with the institution's original intentions as agreed with the Council.	
Signature (Head of Centre/Institution):	Date:

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INSTITUTION	
Institutional Contact name for FEE PLANS	
Post held	
Contact details – Email/Tel	

Activity	2011/12 measurable targets	Target achieved? Y/N	Progress against unachieved targets/comment on unspent balances*

**NB There is no requirement to comment further where target has been achieved.*

Expenditure breakdown for Fee Plans	Estimated 2011/12	Actual
a) Total Fee income		
b) Amount to be spent on widening access		
c) Amount to be spent on promoting HE		
d) Sum of b) and c)		
e) Row d) as a percentage of row a) above (N.B. must at least 30% of total allocation)		

I confirm that expenditure figures included in the above table are correct and that the funding has been spent in accordance with the institution's original intentions as agreed with the Council.

Signature (Head of Institution):

Date:

REGION:	
Contact name for Regional Strategy:	
Contact details – Email/Tel:	

				2012/13 Reporting Period
2011/12 Regional Strategy Outcomes	2011/12 Activities	Outcome achieved Y/N	Progress against unachieved Outcomes	2012/13 Measurable outcomes
1.				PLEASE INSERT THE PLANNED REGIONAL OUTCOMES FOR 2012/13
2.				
3.				
4.				
5.				
6.				
7.				
8.				
9.				
10.				

<p>Please can each institution confirm that the additional funded credits allocated to it through the regional proposal process (see table above) have been used in accordance with the region's original intentions as agreed with the Council.</p> <p>Each institution should account separately for any variance from the use of credits agreed by the Council and any planned changes for 2012/13.</p>	<p>Date:</p>
<p>Signature (Vice-Chancellor/Principal):</p>	
<p>Signature (Vice-Chancellor/Principal):</p>	
<p>Signature (Vice-Chancellor/Principal):</p>	
<p>Signature (Vice-Chancellor/Principal):</p>	
<p>Signature (Vice-Chancellor/Principal):</p>	
<p>Signature (Vice-Chancellor/Principal):</p>	