

## Cylchlythyr | Circular

# Higher Education Data Requirements 2012/13

**Date:** 28 January 2013  
**Reference:** W13/05HE  
**To:** Heads of higher education institutions in Wales  
Principals of directly-funded further education colleges in  
Wales  
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This circular informs institutions of the higher education (HE) data used to calculate funding allocations; to monitor progress towards the For our Future indicators; to monitor equal opportunities; to monitor Initial Teacher Training (ITT) provision leading to Qualified Teacher Status (QTS); to monitor recruited full-time undergraduate and PGCE new entrants against maximum student numbers; for publication; and to inform policy.

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



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## Introduction

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

## Sources of Data

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

HEBCI surveys (HEIs only), the HESA records (HEIs only), the 2008 Research Assessment Exercise (RAE) (HEIs only) and the LLWR (FEIs only). The latest HESES, EYM, external charity income and forecasts circulars are available on the HEFCW website ([www.hefcw.ac.uk](http://www.hefcw.ac.uk)); the latest HESA data manuals are available on the HESA website ([www.hesa.ac.uk](http://www.hesa.ac.uk)); RAE circulars are available on the RAE website ([www.rae.ac.uk](http://www.rae.ac.uk)); and the latest LLWR manuals are available on the WG website ([www.wales.gov.uk](http://www.wales.gov.uk)). Links to the HEFCW circulars and these websites can also be found in the 'Working with Higher Education Providers', 'Data collection, surveys and calculations' area of the HEFCW website.

### **Ensuring the accuracy of HESA data**

7. For 2003/04 funding allocations onwards, HESA data used in the allocation of teaching and PGR training funding have been subject to confirmation by HEIs that HEFCW have correctly extracted the data from the HESA records. Until the calculation of the 2012/13 funding allocations, HEIs have not been able to make amendments to data during the confirmation process if their HESA data are incorrect. In 2012/13 some of the criteria for inclusion in the funding allocations changed with the introduction of the new fees regime and the public investment fund (PIF) and so institutions were allowed to make changes to some of the data extracted from the HESA student record. This will continue for data used in 2013/14 teaching and postgraduate research (PGR) funding allocations. For HESA data used in the 2012/13 Widening Access Strategy funding allocations, changes to the extracted data were allowed. The allocation method for 2013/14 has not yet been finalised though any HESA data used will be subject to verification.
8. Although HEFCW are currently accepting amendments to some of the HESA data used for funding, it is important that HEIs are confident that all their HESA data are correct before final returns are made to HESA and the data are signed off. HEIs should take note of any discrepancies in their HESA data that have been found in past years, including those flagged up as part of the data quality analysis carried out by HEFCW, issues found in institutions' own scrutiny of the summaries output by the HESA Information Reporting Interface Service (IRIS) and problems that HESA have brought to their attention. In particular, HEIs should ensure that they study in detail the check documentation produced by HESA when they commit their data and make any necessary amendments as a result before signing off the data.
9. For those data verifications where amendments are not accepted, if there is an error in an HEI's HESA data, and this error would lead to the HEI being allocated funding greater than that to which it is entitled, the HEI will be expected to notify HEFCW so that the funding can be adjusted accordingly. For 2013/14, this only applies to data used in the PGR training funding allocation.

10. HESA data are also used in the calculation of the indicators contained within the annual *Performance Indicators in Higher Education in the UK* (PIs) publication for HEIs. HESA produce PIs on behalf of all the HE Funding Councils of the UK. In the past, amendments to data have been accepted and used in the calculation of the PIs. However, it is expected that the data supplied and signed off to HESA are correct, so that data can be used to calculate PIs without further amendment.

### **Ensuring the accuracy of LLWR data**

11. For 2007/08 funding allocations onwards, LLWR data used in the allocation of teaching funding have been subject to confirmation by FEIs that HEFCW have correctly extracted the data from the month 5 freeze of the LLWR. Until the calculation of the 2012/13 funding allocations, FEIs have not been able to make amendments to data during the confirmation process if their LLWR data are incorrect. However, amendments were allowed for data used in the 2012/13 funding allocations, under the condition that the amendment was also made to the LLWR in time for the month 8 freeze. This will continue for LLWR data used in 2013/14 funding allocations, again with amendments to the confirmations being expected to be made to the 2011/12 LLWR data in time for the month 8 freeze. Although amendments are currently being accepted, it is still important that FEIs are confident that their LLWR data are correct before returns are made to WG so that complete data is available in time for the month 5 freeze. FEIs should note any discrepancies in their LLWR data found during the confirmation process in previous years or problems that HEFCW have brought to their attention, and ensure that LLWR data take account of these so that data are fit for purpose. See also Annex A, paragraph 5.
12. Further guidance relating to the completion of the HE fields on the LLWR for FEIs has been included in the LLWR manual. FEIs should ensure that they read this guidance prior to submitting HE data to the LLWR.

### **Data used in Funding Allocations**

13. The credit-based teaching funding allocations for part-time (PT) and postgraduate taught (PGT) provision are based on data returned on the HESES survey. Per capita and premium funding is also allocated for PT and PGT provision. Funding for full-time (FT) undergraduate (UG) and PGCE provision is from the public investment fund (PIF) for 2013/14 which consists of per capita and premium funding. Premiums comprise:
  - Part-time premium;
  - Access and retention premium;
  - Disability premium;
  - Welsh medium premium;
  - Expensive subjects premium (full-time undergraduates only);

- Priority subjects premium (full-time undergraduates only).
14. The access and retention, disability, Welsh medium, expensive subjects and priority subjects premiums and the per capita allocation are based on retrospective data taken from the HESA student record for HEIs. For HE students at FEIs, the access and retention premium and per capita allocation are based on data taken from the LLWR; the Welsh medium, disability and expensive and priority subjects premiums are based on data collected directly from FEIs. Data used in the Widening Access Strategy funding allocation for 2012/13 were based on HESA data used in the access and retention premium allocation.
  15. Data collected on the EYM survey for FEIs or end of year data extracted from HESA student record for HEIs are used to calculate any adjustment to teaching funding at the end of the academic year. Details of the end of year data extracted from the HESA record are contained within Annex K of the EYM circular (latest circular W12/26HE) and are not reproduced here.
  16. More information on data used in teaching funding, including the premium and per capita elements, is set out in Annex A. More information on data used in the Widening Access Strategy funding allocation is in Annex I.
  17. QR funding allocations are based on data returned to the 2008 Research Assessment Exercise (RAE), the 2009/10 and 2010/11 RAS (HEFCW circulars W09/36HE and W10/44HE) and the external charity income survey (latest circular W12/36HE). More information on data used in research funding is set out in Annex B.
  18. The PGR training allocation is based on retrospective data taken from the HESA student record. Further information on the HESA fields used is provided in Annex C.
  19. The Innovation and Engagement Fund allocation is based on data taken from the HEBCI survey, the HESA student and staff records, GO Wales monitoring data, data from the WG NCGE survey of student entrepreneurship engagement and WG A4B data. The data used in the calculation of allocations and the method of allocation are described in more detail in Annex D.

#### **Data used to monitor the For our Future indicators**

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

The indicators monitored using these data are:

- Widening access;
  - Module completion rates;
  - Student experience;
  - Welsh medium;
  - Overseas students;
  - Employability;
  - Participation;
  - Part-time students;
  - Knowledge transfer;
  - Research Council income;
  - Annual income; and,
  - Risk status.
21. A description of each of these indicators and the data used to monitor them is included in Annex E.
22. These indicators will be replaced with a new set of measures in 2013 when the Corporate Strategy for 2013/14 to 2015/16 comes into effect. Criteria used to extract data to be used in the new Corporate Strategy measures will be notified to institutions once they are finalised.

#### **Data used to monitor equality and diversity**

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

#### **Data used to monitor ITT (QTS) provision**

24. Each year, information relating to initial teacher training (ITT) leading to qualified teacher status (QTS) is published. This contains tables of data for each individual institution with ITT (QTS) provision, taken from the HESA student record. The fields and criteria used to extract the data presented in these tables are detailed in Annex G. This information is also passed to Estyn (Her Majesty's Inspectorate for Education and Training in Wales) together with data relating to new entrants to ITT (QTS) courses.

#### **Data used to monitor recruitment against the maximum student number**

25. HEFCW are monitoring the number of completed HEFCW fundable full-time undergraduate and PGCE new entrants against a published maximum student number, using HESA data, for 2011/12 and 2012/13. The fields and criteria that will be used to extract the data are described in more detail in Annex H.

## **Data used for publication**

26. HEFCW publish statistical reports on an ad hoc basis. Details of the data used in any statistical reports will be included with the report.
27. HE participation rates for Wales are published. The latest figures are for 2006/07. Data used in calculating the participation rates are described within the circular. An update of this circular is planned for 2013.
28. A summary of data used for funding purposes is published each year on the HEFCW website. In addition, the *Funding Enrolments* publication summarises data collected on the EYM survey. More detail is given in Annex F. Note that updates for recent years are not currently available on the website, but will be added in 2013.
29. All of these publications can be accessed from the 'About Higher Education in Wales', 'Statistics' area of the HEFCW website.

## **Other uses of data**

30. Any of the data described may be used to inform policy. In particular, data on students taught in whole or part through the medium of Welsh and staff who teach or who are able to teach through the medium of Welsh will be used to inform policy on Welsh medium provision and are provided to Coleg Cymraeg Cenedlaethol; and data relating to students at directly funded FEIs or franchised to FEIs from HEIs will be used to inform policy on HE in FEIs.
31. The data described are also used by WG in their analysis of the higher education sector, including analysis published in their statistical bulletins and data presented on the StatsWales website. In addition, though data about FE level students are out of the scope of this circular, it should be noted that numbers of students on Welsh for Adults courses or other FE courses at HEIs are used by WG in their analysis and for publication.
32. Data relating to forecast student numbers and forecasts of For our Future indicators at HEIs are collected through the forecasts requests circulars. These data are used for HEFCW's internal monitoring and planning processes and are not published or used in funding calculations, though may be used in future to monitor and estimate potential fee grant commitments.
33. It should be noted that although this circular details HESA/LLWR fields used by HEFCW, any of the fields that institutions return on the HESA records, for HEIs, or the LLWR, for FEIs, may be used in future for funding, for monitoring purposes, to inform policy or for publication. Therefore, it is important that all HESA/LLWR fields are completed fully and accurately to show a fair picture of the provision and activity at the institution.

## **Audit**

34. All data used for funding and to monitor recruitment against the maximum student number will continue to be subject to audit. In future, other data used in monitoring may be added to the scope of the audit.

## **Contents**

35. The contents of the annexes are as follows:

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

## **Further Information**

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

### **Data used in teaching funding allocations**

- 1 The descriptions below refer to HESA and LLWR data that relate to the 2011/12 academic year that will be used in 2013/14 funding calculations.
- 2 For 2013/14 teaching funding allocations, data will be taken from the HESES 2012/13 survey, the 2011/12 HESA student record or LLWR, and, for the Welsh medium premium, where allocations are based on the previous two years' data, additionally the 2010/11 HESA student record. Using HESA and LLWR data enables premium and per capita allocations to be calculated with the minimum need to collect additional data from institutions. SLC data relating to students entitled to an Assembly Learning Grant (ALG) will also be used in calculating the access and retention premium.
- 3 For FEIs only, data not available from the LLWR about modules taught through the medium of Welsh, modules in expensive or priority subjects, or students in receipt of Disabled Students' Allowance (DSA), will be collected directly from FEIs. If, in future, additional or improved information is collected by WG on the LLWR which enable data relating to DSA, module subject, or Welsh medium provision to be extracted and used in funding allocations, FEIs will be notified of the change and the extraction criteria to be used.
- 4 Institutions will have the opportunity to check the HESA/LLWR data to be used in the allocations to ensure that HEFCW has correctly extracted the data. HEIs will also have the opportunity to change their data if they wish to do so because the data were incorrectly reported, on the confirmations for per capita and premium funding. FEIs will also have the opportunity to change data extracted from the LLWR, however, as described in paragraph 11 of the introduction of this circular, they will be expected to make any changes made to the confirmations to the month 8 freeze of the LLWR.
- 5 HESA data are finalised and signed off before HEFCW receive the data, therefore HEIs should ensure that these data are correct during the submission process to HESA. 2011/12 academic year LLWR data used in funding will be that taken from the December 2012 month 5 freeze supplied by WG. HEFCW provided FEIs with a summary of their 2011/12 academic year data in November 2012 (month 4 freeze), prior to the December freeze. FEIs are expected to have used this opportunity to review their data, to ensure that data used for funding allocations are correct.
- 6 If two years' data are used in the calculation of allocations, any changes made by institutions to the first year's data in the previous year's funding round will automatically be included in the calculation, however, no further changes to the data due to incorrect reporting by the institution will be allowed.
- 7 Particular care should be taken in completing the HESA and LLWR fields detailed below which are used in calculating funding allocations. However,

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

## **Formula element of teaching funding**

### **Credit-based teaching funding**

- 8 Credit-based funding is allocated only to part-time and postgraduate provision. Funding is calculated using completed credit values associated with home and EU students eligible for HEFCW funding, returned on the HESES survey, and funded credit values allocated to the institution. For the calculation of 2013/14 funding, this will be HESES data and funded credit values for 2012/13. In addition, funding and funded credits for performance element provision at University of Glamorgan are calculated outside the teaching model.
- 9 After the grant announcement is made in spring each year, an individualised Excel workbook is sent to each institution showing how the funded credits were calculated in the teaching model. An example of the workbook and details of each of the steps taken in the model are available on the HEFCW website.

### **Premium and per capita funding**

- 10 Data used to calculate premium and per capita funding are extracted from the HESA student record and the LLWR, and for FEIs, for the disability, expensive subjects, priority subjects and Welsh medium premiums, data collected directly from FEIs. In addition, WG ALG data are used in the calculation of the access and retention premium.
- 11 If a student is following more than one course and has two or more records fitting the criteria to be included in the calculation of the per capita or a premium allocation, the student is counted only once. On the HESA student record and the LLWR, this means that only one instance of each student is kept, all other instances for the student are excluded. This exclusion is carried out after applying all other criteria to the data, by keeping only one instance per student identifier INSTANCE.HUSID on the HESA student record, or the first occurrence only of LEARN\_ID (LP02/LA02) on the LLWR.
- 12 Prior to keeping the first instance or occurrence, the data are sorted by mode (full-time first) and level (postgraduate first), so that if a student has multiple instances with different modes and levels, a full-time instance is kept in the dataset over a part-time instance and a postgraduate instance is kept over an undergraduate instance. In addition, for the access and retention premium, if a student has more than one instance with different postcodes in the entry profile, and the postcodes are in different areas, the instance with a postcode in a Communities First area will be used in the calculation of any postcode related aspects of the premium (i.e. any instance with a Communities First postcode will be kept in preference to any other instance). Similarly, for the disability premium, if there are multiple instances with not all being in receipt of DSA, the

instance in receipt of DSA is given priority. For the expensive and priority subjects premiums, if a student has two instances fitting the criteria to be included, the instance with the earliest commencement date is kept in preference.

- 13 If a student is taking a course which contains years of study which do not follow the standard academic year of 1 August to 31 July, then the student will be counted once in each year of study only, and not in each academic year in which they are active. This will be done by excluding the student from the data extract for the final academic year in which they are active. For example, if a student is following a full-time three year degree course which starts in January 2011 and finishes in December 2013, the student will be active in four academic years, but will only be counted three times for the purposes of inclusion in the calculation of the premium and per capita funding allocations. They will be counted in the first three academic years in which they are active and excluded in the final academic year in which they are active.
- 14 In excluding those on a non-standard academic year in their final year of study, the date the student left is compared to their date of commencement. If they leave within the anniversary of date of commencement plus two weeks then they are excluded in that academic year, unless the two week period is identifiable as a separate year of study.
- 15 In each of the per capita and premium funding allocations, subject to the criteria for being counted in paragraphs 11 to 13, students must be:
  - home and EU fundable;
  - not incoming exchange; and,
  - active within the reporting period.
- 16 Additional criteria apply for each of the funding allocations and these are detailed below.
- 17 The extraction of data from the HESA and LLWR records is carried out using a SAS program. Algorithms for 2013/14 funding allocations, based on the SAS program for each of the funding allocations will be available on the HEFCW website under 'Working with Higher Education Providers', 'Data Collection, Surveys and Allocations', 'Funding Calculations' in January 2013.
- 18 The criteria show the name of the relevant HESA field in the form of ENTITY.FIELDNAME.

### **Per capita funding**

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

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

Home and EU HEFCW fundable	INSTANCE.FUNDCODE = 1
At least 10 credit values	MODULE.CRDTPTS ≥ 10 (summed over all modules the student is taking)
Not incoming exchange	INSTANCE.EXCHANGE ≠ 2, 4, 8, 9, A
Active 1/8/11 to 31/7/12 and not in the final academic year of a non-standard academic year course	INSTANCE.TYPEYR = 1 and INSTANCE.COMDATE ≤ 31/07/12 and INSTANCE.ENDDATE ≥ 01/08/11 or blank OR INSTANCE.TYPEYR = 2 and INSTANCE.ENDDATE ≤ 31/07/12 and INSTANCE.ENDDATE ≠ blank and INSTANCE.ENDDATE > anniversary of INSTANCE.COMDATE in 2011/12 + 14 days OR INSTANCE.TYPEYR = 2 and INSTANCE.ENDDATE ≤ 31/07/12 and INSTANCE.ENDDATE ≠ blank and INSTANCE.ENDDATE ≤ anniversary of INSTANCE.COMDATE in 2011/12 + 14 days and INSTANCE.UNITLGTH = 3 and INSTANCE.SPLENGTH = 01, 02 or INSTANCE.UNITLGTH = 4 and INSTANCE.SPLENGTH = 01-14 or INSTANCE.UNITLGTH = 5 and INSTANCE.SPLENGTH = 01-42 OR INSTANCE.TYPEYR = 2 and INSTANCE.COMDATE ≤ 31/07/12 and INSTANCE.ENDDATE = blank
Active mode of study	INSTANCE.MODE = 01, 02, 23, 24, 25, 31, 52, 53
Undergraduate or postgraduate taught	COURSE.COURSEAIM = all C, E, H, I, J, M codes, excluding C99, H99, I99, J99, M99

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

Home and EU HEFCW fundable Learning Activity	MAIN_STR (LA11) = 2
HE level Learning Programme	TYPE_LPG (LP17) = 51, 52, 53, 54, 55, 56, 57, 58, 59 or COURSEAIM (HE14) = all E, M, C, H, I, J codes, excluding M99, H99, I99, J99, C99
Learning Activity Active 1/8/11 to 31/7/12	STARTDTE (LA09) ≤ 31/07/2012 and TERMDATE (LA30) ≥ 01/08/2011 or = blank

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

## Access and retention premium

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

- Undergraduate
- studying for at least 10 credit values
- in any year of study if part-time
- in their third or higher year of study if full-time

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

Home and EU HEFCW fundable	INSTANCE.FUNDCODE = 1
At least 10 credit values	MODULE.CRDTPTS ≥ 10 (summed over all modules the student is taking)
Not incoming exchange	INSTANCE.EXCHANGE ≠ 2, 4, 8, 9, A
Active 1/8/11 to 31/7/12 and not in the final academic year of a non-standard academic year course	INSTANCE.TYPEYR = 1 and INSTANCE.COMDATE ≤ 31/07/12 and INSTANCE.ENDDATE ≥ 01/08/11 or blank OR INSTANCE.TYPEYR = 2 and INSTANCE.ENDDATE ≤ 31/07/12 and INSTANCE.ENDDATE ≠ blank and INSTANCE.ENDDATE > anniversary of INSTANCE.COMDATE in 2011/12 + 14 days OR INSTANCE.TYPEYR = 2 and INSTANCE.ENDDATE ≤ 31/07/12 and INSTANCE.ENDDATE ≠ blank and INSTANCE.ENDDATE ≤ anniversary of INSTANCE.COMDATE in 2011/12 + 14 days and INSTANCE.UNITLGTH = 3 and INSTANCE.SPLENGTH = 01, 02 or INSTANCE.UNITLGTH = 4 and INSTANCE.SPLENGTH = 01-14 or INSTANCE.UNITLGTH = 5 and INSTANCE.SPLENGTH = 01-42 OR INSTANCE.TYPEYR = 2 and INSTANCE.COMDATE ≤ 31/07/12 and INSTANCE.ENDDATE = blank
Active mode of study	INSTANCE.MODE = 01, 02, 23, 24, 25, 31, 52, 53
Undergraduate	COURSE.COURSEAIM = all C, H, I, J codes (excluding C99, H99, I99, J99) M22, M26 or COURSE.COURSEAIM = M71 and TTCID ≠ 1
In their third or further year of study if full-time	INSTANCE.COMDATE < 01/08/10 or COURSE.COURSEAIM = H24

(intercalated year students assumed to be in their third or further year)	
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24 For FEIs, the following coding applied to the LLWR is used to extract the data:

Home and EU HEFCW fundable Learning Activity	MAIN_STR (LA11) = 2
HE level Learning Programme	TYPE_LPG (LP17) = 51, 52, 53, 55, 56, 57, 58, 59 or COURSEAIM (HE14) = all C, H, I, J codes (excluding C99, H99, I99, J99), M22, M26, M71
Learning Activity Active 1/8/11 to 31/7/12	STARTDTE (LA09) ≤ 31/07/2012 and TERMDATE (LA30) ≥ 01/08/2011 or = blank
In their third or higher year of study if full-time	STARTDTE (LA09) ≤ 1/08/2010

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

25 A retention element, which applies to part-time students only as all years of study are included in the calculations for them, is included in the premium. This requires students to be categorised by year of course and length of course, and for those on one year courses, whether they were retained or not. The following coding is used to categorise students in HEIs.

Determine year of course:

First year	INSTANCE.COMDATE ≥ 01/08/11 and INSTANCE.COMDATE ≤ 31/07/12
Second year or above	Otherwise

Determine length of course:

One year	INSTANCE.UNITLGTH = 1 and 52*INSTANCE.SPLENGTH ≤ 52 OR INSTANCE.UNITLGTH = 2 and integer(INSTANCE.SPLENGTH /12)*52 +remainder(INSTANCE.SPLENGTH,12)*4 ≤ 52 OR INSTANCE.UNITLGTH = 3 and INSTANCE.SPLENGTH ≤ 52 OR INSTANCE.UNITLGTH = 4 and integer(INSTANCE.SPLENGTH /5) ≤ 52 OR INSTANCE.UNITLGTH = 5 OR INSTANCE.COMDATE ≥ 01/08/11 and INSTANCE.COMDATE ≤ 31/07/12 and INSTANCE.SPLENGTH = blank or INSTANCE.UNITLGTH = 9 and INSTANCE.ENDDATE ≥ 01/08/11 and INSTANCE.ENDDATE ≤ 31/07/12 and
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	INSTANCE.ENDDATE ≠ blank
Two or more years	INSTANCE.UNITLGTH = 1 and 52*INSTANCE.SPLENGTH > 52 OR INSTANCE.UNITLGTH = 2 and integer(INSTANCE.SPLENGTH/12)*52 + remainder(INSTANCE.SPLENGTH,12)*4 > 52 OR INSTANCE.UNITLGTH = 3 and INSTANCE.SPLENGTH > 52 OR INSTANCE.UNITLGTH = 4 and integer(INSTANCE.SPLENGTH /5) > 52 OR INSTANCE.COMDATE ≥ 01/08/11 and INSTANCE.COMDATE ≤ 31/07/12 and INSTANCE.SPLENGTH = blank or INSTANCE.UNITLGTH = 9 and INSTANCE.ENDDATE = blank and INSTANCE.TYPEYR = 1
Unknown	INSTANCE.SPLENGTH = blank or INSTANCE.UNITLGTH = 9 (and not already categorised)

Determine retention status:

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

- 26 Students are then categorised into the following four categories for funding, plus an unknown category.
- First year on one year course - retained
  - First year on one year course - not retained
  - First year of two years or more course
  - Second or further year of two years or more course
- 27 Those students in the unknown category are either first years on a one year course who have unknown retention status or are first years on an unknown length course with unknown retention status. Estimation has to be used to categorise these two types of students.
- 28 For the first type of unknowns, for those already categorised as first year students on a one year course with a known retention status, the proportion in each of the two retention categories is calculated by INSTANCE.TYPEYR. These proportions are then applied to first years on a one year course with unknown retention status. If there are no data in a particular INSTANCE.TYPEYR, then the overall PT proportions are calculated and applied.
- 29 A similar method is used for the second type of unknowns. For those already categorised as first year students (either on a one year course and retained, on a one year course and not retained or on a two years or more course), the proportion in each of the three categories is calculated by INSTANCE.TYPEYR. These proportions are then applied to first years on an unknown length course with unknown retention status. If there are no data in a particular

INSTANCE.TYPEYR then the overall PT proportions are calculated and applied.

- 30 In calculating proportions, data for instances not included in the population, but which finished in 2011/12 after a one year non-standard academic year course starting in 2010/11 are included. These are only included in order to estimate the retention status of first years on one year courses.
- 31 For FEIs, the following coding is used to categorise students:

First year of one year course - retained	Earliest STARTDTE (LA09) $\geq$ 01/08/11 and TERMD_LP (LP55) $\geq$ 01/08/11 and TERMD_LP (LP55) $\leq$ 31/07/12 and not all values of COMPSTAT (LA31) = 3
First year of one year course - not retained	Earliest STARTDTE (LA09) $\geq$ 01/08/11 and TERMD_LP (LP55) $\geq$ 01/08/11 and TERMD_LP (LP55) $\leq$ 31/07/12 and all values of COMPSTAT (LA31) = 3
First year of two years or more course	Earliest STARTDTE (LA09) $\geq$ 01/08/11 and TERMD_LP (LP55) $\geq$ 31/07/12 or = blank
Second or further year of two years or more course	Earliest STARTDTE (LA09) $<$ 01/08/11

- 32 For both HEIs and FEIs, eligible students are further categorised in order to calculate two elements of the access and retention premium. The first element is based on students domiciled in Communities First areas and the second element is based on students from low participation areas. Each element is calculated separately and students can be included in the calculation of more than one element. The third element of the premium uses aggregate data provided by SLC about the number of students eligible for a full Assembly Learning Grant at each HEI and FEI, for full-time students in their third or further year of study in 2011/12.
- 33 For the Communities First element, eligible students are categorised, using the home postcode of the student (HESA record field ENTRYPROFILE.POSTCODE for HEIs and LLWR Learning Programme postcode field POST\_SLP (LP09) for FEIs), into those that come from Communities First areas that correspond to the 100 most deprived electoral divisions according to the Welsh index of multiple deprivation 2000, the pockets of deprivation, imaginative proposals and new areas as identified by the Welsh Government, and those that are from other areas. Those in the Communities First areas are included in the calculation of the Communities First element of the access and retention premium.
- 34 For the low participation element, eligible students are categorised as either young full-time students domiciled in areas of low participation in HE as defined in the updated Participation of Local Areas mapping (POLAR3), or mature full-time and all part-time students domiciled in areas where there is a low proportion of working age adults with HE level qualifications as defined in the 2001 Census. The home postcode of the student (HESA record field

ENTRYPROFILE.POSTCODE for HEIs and LLWR Learning Programme postcode field POST\_SLP (LP09) for FEIs) is used to determine whether the student is domiciled in an area of low participation.

35 For HEIs the following code is also applied:

Young full-time	(INSTANCE.COMDATE-STUDENT.BIRTHDTE) / 365.25 < 21 AND INSTANCE.MODE = 01, 52, 53 or INSTANCE.MODE = 23, 24 and INSTANCE.SPECFEE ≠ 1 and INSTANCE.LOCSDY = D, E
Mature full-time	(INSTANCE.COMDATE-STUDENT.BIRTHDTE) / 365.25 ≥ 21 AND INSTANCE.MODE = 01, 52, 53 or INSTANCE.MODE = 23, 24 and INSTANCE.SPECFEE ≠ 1 and INSTANCE.LOCSDY = D, E
Part-time	Otherwise

36 For FEIs the following code is also applied:

Young full-time	(Student's earliest STARTDTE (LA09) - DATEBRTH (LN15)) / 365.25 < 21 AND MODE_ATT (LP07) = 07, 08 or MODE_ATT (HE13) = 01, 02
Mature full-time	(Student's earliest STARTDTE (LA09) - DATEBRTH (LN15)) / 365.25 ≥ 21 AND MODE_ATT (LP07) = 07, 08 or MODE_ATT (HE13) = 01, 02
Part-time	MODE_ATT (LP07) = 09 or MODE_ATT (HE13) = 03

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

37 Lists of postcodes in Communities First areas and low participation areas are available on the 'Working with Higher Education Providers', 'Data Collection, Surveys and Allocations' area of the HEFCW website. More information about POLAR3 can be found on the HEFCE website at [www.hefce.ac.uk/whatwedo/wp/ourresearch/polar](http://www.hefce.ac.uk/whatwedo/wp/ourresearch/polar).

38 Additionally, the number of Communities First students as a percentage of Welsh domiciled students is calculated in order to categorise institutions into two bands based on their proportion in Communities First areas. Welsh domiciled students are those whose home postcode (HESA record field ENTRYPROFILE.POSTCODE for HEIs and LLWR Learning Programme domicile field DOMICILE (LP08) for FEIs) is in Wales.

## Disability premium

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

- in receipt of DSA
- studying at any level of study
- studying for at least 10 credit values for HEIs (8.3% FTE for PGR students)
- in any year of study if part-time
- in their third or higher year of study if full-time.

40 For HEIs, the following coding applied to the HESA student record is used to extract the data:

Home and EU HEFCW fundable	INSTANCE.FUNDCODE = 1
At least 10 credit values (or 8.3% FTE for PGR students)	MODULE.CRDTPTS ≥ 10 (summed over all modules the student is taking) (INSTANCE.STULOAD ≥ 8.3)
Not incoming exchange	INSTANCE.EXCHANGE ≠ 2, 4, 8, 9, A
Active 1/8/11 to 31/7/12 and not in the final academic year of a non-standard academic year course	INSTANCE.TYPEYR = 1 and INSTANCE.COMDATE ≤ 31/07/11 and INSTANCE.ENDDATE ≥ 01/08/12 or blank OR INSTANCE.TYPEYR = 2 and INSTANCE.ENDDATE ≤ 31/07/12 and INSTANCE.ENDDATE ≠ blank and INSTANCE.ENDDATE > anniversary of INSTANCE.COMDATE in 2011/12 + 14 days OR INSTANCE.TYPEYR = 2 and INSTANCE.ENDDATE ≤ 31/07/12 and INSTANCE.ENDDATE ≠ blank and INSTANCE.ENDDATE ≤ anniversary of INSTANCE.COMDATE in 2011/12 + 14 days and INSTANCE.UNITLGTH = 3 and INSTANCE.SPLENGTH = 01, 02 or INSTANCE.UNITLGTH = 4 and INSTANCE.SPLENGTH = 01-14 or INSTANCE.UNITLGTH = 5 and INSTANCE.SPLENGTH = 01-42 OR INSTANCE.TYPEYR = 2 and INSTANCE.COMDATE ≤ 31/07/12 and INSTANCE.ENDDATE = blank
Active mode of study	INSTANCE.MODE = 01, 02, 23, 24, 25, 31, 52, 53
In receipt of DSA	INSTANCE.DISALL = 4
Undergraduate or	COURSE.COURSEAIM = all C, D, E, H, I, J, L, M codes, excluding

postgraduate	C99, H99, I99, J99, L99, M99
In their third or further year of study if full-time (intercalated year students assumed to be in their third or further year)	INSTANCE.COMDATE < 01/08/10 or COURSE.COURSEAIM = H24

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

### Welsh Medium Premium

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

Home and EU HEFCW fundable	INSTANCE.FUNDCODE = 1
Not incoming exchange	INSTANCE.EXCHANGE ≠ 2, 4, 8, 9, A
Active 1/8/11 to 31/7/12 and not in the final academic year of a non-standard academic year course	INSTANCE.TYPEYR = 1 and INSTANCE.COMDATE ≤ 31/07/12 and INSTANCE.ENDDATE ≥ 01/08/11 or blank OR INSTANCE.TYPEYR = 2 and INSTANCE.ENDDATE ≤ 31/07/12 and INSTANCE.ENDDATE ≠ blank and INSTANCE.ENDDATE > anniversary of INSTANCE.COMDATE in 2011/12 + 14 days OR INSTANCE.TYPEYR = 2 and INSTANCE.ENDDATE ≤ 31/07/12 and INSTANCE.ENDDATE ≠ blank and

	<p>INSTANCE.ENDDATE ≤ anniversary of INSTANCE.COMDATE in 2011/12 + 14 days and  INSTANCE.UNITLGTH = 3 and INSTANCE.SPLENGTH = 01, 02 or  INSTANCE.UNITLGTH = 4 and INSTANCE.SPLENGTH = 01-14 or  INSTANCE.UNITLGTH = 5 and INSTANCE.SPLENGTH = 01-42  OR  INSTANCE.TYPEYR = 2 and  INSTANCE.COMDATE ≤ 31/07/12 and  INSTANCE.ENDDATE = blank</p>
Active mode of study	INSTANCE.MODE = 01, 02, 23, 24, 25, 31, 52, 53
Undergraduate or postgraduate taught	COURSE.COURSEAIM = all C, E, H, I, J, M codes, excluding C99, H99, I99, J99, M99
In their third or further year of study if full-time (intercalated year students assumed to be in their third or further year)	INSTANCE.COMDATE < 01/08/10 or COURSE.COURSEAIM = H24
At least 2 credits of module are Welsh medium	MODULE.MODLANG = 1 and MODULE.LANGPCNT x MODULE.CRDTPTS ≥ 2
Not Welsh language or literature, unless on an ITT (QTS) course	MODULESUBJECT.MODSBJ ≠ Q560, Q561 or MODULESUBJECT.MODSBJ = Q560, Q561 and COURSE.TTCID = 1
Module started in the 2011/12 academic year	STUDENTONMODULE.MODSTAT = 2, 3

- 45 If modules are partly Welsh language or literature then only the part of the module that is not Welsh language or literature is counted. E.g. if a 10 credit module is 100% Welsh medium and the module subject is 50% Welsh language and 50% in another subject then only 5 credits would be counted as Welsh medium.
- 46 After eligible data have been extracted, they may be subject to further manual exclusions if the modules are considered to be Welsh language or literature but have not been coded as such. However, institutions will have the opportunity to see the exclusions during the confirmation process.
- 47 For FEIs, data relating to modules taught through the medium of Welsh are not currently available from the LLWR, therefore, data are collected directly from FEIs to use in calculating the premium.

## Expensive subjects and priority subjects premiums

- 48 The expensive and priority subjects premiums are calculated using the number of credits in expensive and priority subjects for modules associated with full-time undergraduate students that fit the criteria for inclusion. If a module is returned more than once for a student, then the module is counted only once.
- 49 In addition to the criteria described in paragraph 15, students eligible to be included in the calculation of the expensive and priority subjects premiums are those who are:
- full-time and sandwich
  - undergraduate
  - in their third or higher year of study for those modules not eligible for the clinical or Performance Element rates of expensive premium funding
  - in all years of study for those modules eligible for the clinical or Performance Element rates of expensive premium funding
- 50 For HEIs, the following coding applied to the HESA student record is used to extract the data:

Home and EU HEFCW fundable	INSTANCE.FUNDCODE = 1
Not incoming exchange	INSTANCE.EXCHANGE ≠ 2, 4, 8, 9, A
Active 1/8/11 to 31/7/12 and not in the final academic year of a non-standard academic year course	INSTANCE.TYPEYR = 1 and INSTANCE.COMDATE ≤ 31/07/12 and INSTANCE.ENDDATE ≥ 01/08/11 or blank OR INSTANCE.TYPEYR = 2 and INSTANCE.ENDDATE ≤ 31/07/12 and INSTANCE.ENDDATE ≠ blank and INSTANCE.ENDDATE > anniversary of INSTANCE.COMDATE in 2011/12 + 14 days OR INSTANCE.TYPEYR = 2 and INSTANCE.ENDDATE ≤ 31/07/12 and INSTANCE.ENDDATE ≠ blank and INSTANCE.ENDDATE ≤ anniversary of INSTANCE.COMDATE in 2011/12 + 14 days and INSTANCE.UNITLGTH = 3 and INSTANCE.SPLENGTH = 01, 02 or INSTANCE.UNITLGTH = 4 and INSTANCE.SPLENGTH = 01-14 or INSTANCE.UNITLGTH = 5 and INSTANCE.SPLENGTH = 01-42 OR INSTANCE.TYPEYR = 2 and INSTANCE.COMDATE ≤ 31/07/12 and INSTANCE.ENDDATE = blank
Full-time and sandwich	INSTANCE.MODE = 01, 23, 24, 52, 53

Undergraduate	COURSE.COURSEAIM = all C, H, I, J codes (excluding C99, H99, I99, J99) M22, M26 or COURSE.COURSEAIM = M71 and TTCID ≠ 1
Completed countable modules that started in the 2011/12 academic year	STUDENTONMODULE.MODOUT = 1, 2, 3 and STUDENTONMODULE.MODCOUNT = 2 and STUDENTONMODULE.MODSTAT = 2, 3
Count of credits reduced for sandwich year out and partial completions	If INSTANCE.MODE = 23, 24 and INSTANCE.SPECFEE = 1 and INSTANCE.LOCSDY = D, E <b>OR</b> STUDENTONMODULE.MODOUT = 3 then MODULE.CRDTPTS = 0.5 x MODULE.CRDTPTS  If INSTANCE.MODE = 23, 24 and INSTANCE.SPECFEE = 1 and INSTANCE.LOCSDY = D, E <b>AND</b> STUDENTONMODULE.MODOUT = 3 then MODULE.CRDTPTS = 0.25 x MODULE.CRDTPTS

- 51 Modules are then further categorised into subject groups using MODULESUBJECT.MODSBJ to determine which are eligible for the expensive and priority subjects premiums. MODULESUBJECT.MODSBJP is used to split modules where the module is in more than one subject. Modules associated with ITT (QTS) courses are **not** included in the premium.

Expensive subject premium:	
Clinical medicine and dentistry	MODULESUBJECT.MODSBJ = A3, A4
Performance Element provision	INSTITUTION.UKPRN = 10007793 and INSTANCE.CAMPID = B
Non-clinical medicine and dentistry and STEM	MODULESUBJECT.MODSBJ = A1, A2, all C, D, F, B2, H, J codes
Priority subjects premium:	
Mathematics and computer science	MODULESUBJECT.MODSBJ = all G codes, L140
Modern foreign languages	MODULESUBJECT.MODSBJ = all R, T codes

- 52 Credits classified by subject are then grouped into those in their first and second years of study at the institution and those in their third or further year of study. For the expensive subjects premium, credits associated with all years of study are counted in the allocation of the premium for clinical medicine and dentistry and Performance Element provision. For other expensive subjects and for all the priority subjects, only credits associated with students in their third or further year of study are counted in the allocation of the premium.

Students in their first or second year of study (intercalated year)	INSTANCE.COMDATE ≥ 01/08/10 and COURSE.COURSEAIM ≠ H24
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students assumed to be in their third or further year)	
Students in their third or further year of study or intercalated students	INSTANCE.COMDATE < 01/08/10 or COURSE.COURSEAIM = H24

## Data used in research funding allocations

- 1 Only HEIs are eligible for research funding.

### QR funding

- 2 QR funding for 2013/14 will be calculated using data returned on the 2011/12 and 2012/13 external research income from UK-based charities surveys, the 2009/10 and 2010/11 RAS and the 2008 RAE. Definitions used in the collection of data for the 2008 RAE can be found in circular RAE 03/2005, available from the RAE website, [www.rae.ac.uk/pubs](http://www.rae.ac.uk/pubs).
- 3 QR funding is allocated only to those HEIs with units of assessment (UoAs) submitted to the 2008 RAE where the UoA has 3 or more classified FTE Category A staff and meets a combined volume and quality threshold. QR funding is allocated by UoA and calculated in four parts. The first part is allocated as research volume multiplied by a unit of funding. The units of funding are weighted for subject cost and quality profile.
- 4 Research volume is calculated using a major volume measure of FTE of Category A research active academic staff, weighted at 1, taken from the RAE 2008 and minor volume measures of FTE research fellows, FTE research assistants, FTE research students and external charity income converted to FTE. For 2013/14 funding, the minor volume measures were taken from the 2009/10 and 2010/11 RAS and the 2011/12 and 2012/13 external research income from UK-based charities survey. Both the RAS and charity income survey data are averaged over two years and weighted; research fellows and research assistants at 0.1, research students at 0.15 and charity income, converted to FTE by dividing by £25,000, at 0.25.
- 5 The second part of QR funding is a fixed amount of funding allocated pro rata to external charity income, which is taken from the 2011/12 and 2012/13 external research income from UK-based charities surveys and averaged over two years. UoAs reaching the Category A staff FTE and the volume and quality thresholds are included in the allocation.
- 6 The third part is a rewarding excellence element which is allocated pro rata to subject weighted volume in the 4\* quality classification. The fourth part is a distribution of funding which was previously allocated to the Universities of Wales Press, with a set amount being allocated to eligible institutions pro rata to their total allocation of parts two, three and four.
- 7 Further details of the QR funding method can be found on the About Higher Education in Wales', 'Funding Higher Education in Wales' area of the website.

### Data used in the PGR training funding allocation

- 1 Only HEIs are eligible for PGR training funding. Data used in the calculation of PGR training funding are taken from the HESA student record. The description below refers to HESA student record data collected in 2011/12 that will be used in 2013/14 funding calculations.
- 2 Students eligible to be included in the calculation of PGR funding are those in 2008 RAE UoAs that will be included in the QR funding model for 2013/14. For 2013/14 funding, this is where the UoA has 3 or more classified FTE Category A staff and meets a combined volume and quality threshold.
- 3 The students must be:
  - home and EU fundable
  - studying for PGR qualifications
  - not incoming exchange
  - active within the reporting period and
  - on the first three years full-time or full-time equivalent of the postgraduate research programme of study (note however that MPhil students are only fundable for the first two years full-time or full-time equivalent study).
- 4 If a student is following more than one course and has two or more records fitting the criteria to be included in the calculation of the PGR allocations, the student is counted only once. On the HESA student record, this means that only one instance of each student is kept, all other instances for the student are excluded. This exclusion is carried out after applying all other criteria to the data. If there are multiple instances with different course aims the instance with the highest level of course aim will be kept in the dataset.
- 5 If a student is taking a course which contains years of study which do not follow the standard academic year of 1 August to 31 July, then the student will be counted once in each year of study, and not in each academic year in which they are active. For example, if a student is following a full-time three year PhD course which starts in January 2011 and finishes in December 2013, the student will be active in four academic years, but will only be counted three times for the purposes of inclusion in the calculation of the PGR funding allocations. They will be counted in the first three academic years in which they are active and excluded in the final academic year in which they are active.
- 6 In excluding those on a non-standard academic year in their final year of study, the date the student left is compared to their date of commencement. If they leave within the anniversary of date of commencement plus two weeks then they are excluded in that academic year, unless the two week period is identifiable as a separate year of study.

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

Home and EU HEFCW fundable	INSTANCE.FUNDCODE = 1
Not incoming exchange	INSTANCE.EXCHANGE ≠ 2, 4, 8, 9, A
Active 1/8/11 to 31/7/12 and not in the final academic year of a non-standard academic year course	INSTANCE.TYPEYR = 1 and INSTANCE.COMDATE ≤ 31/07/12 and INSTANCE.ENDDATE ≥ 01/08/11 or blank OR INSTANCE.TYPEYR = 2 and INSTANCE.ENDDATE ≤ 31/07/12 and INSTANCE.ENDDATE ≠ blank and INSTANCE.ENDDATE > anniversary of INSTANCE.COMDATE in 2011/12 + 14 days OR INSTANCE.TYPEYR = 2 and INSTANCE.ENDDATE ≤ 31/07/12 and INSTANCE.ENDDATE ≠ blank and INSTANCE.ENDDATE ≤ anniversary of INSTANCE.COMDATE in 2011/12 + 14 days and INSTANCE.UNITLGTH = 3 and INSTANCE.SPLENGTH = 01, 02 or INSTANCE.UNITLGTH = 4 and INSTANCE.SPLENGTH = 01-14 or INSTANCE.UNITLGTH = 5 and INSTANCE.SPLENGTH = 01-42 OR INSTANCE.TYPEYR = 2 and INSTANCE.COMDATE ≤ 31/07/12 and INSTANCE.ENDDATE = blank
Active mode of study	INSTANCE.MODE = 01, 02, 31 and INSTANCE.STULOAD ≠ 0
Postgraduate research	COURSE.COURSEAIM = all D codes, all L codes, excluding L99
First 3 years if full-time, first 6 years if part-time (2 years full-time, 4 years part-time if MPhil)	INSTANCE.YEARSTU = 1, 2, 3, (full-time) INSTANCE.YEARSTU = 1, 2, 3, 4, 5, 6 (part-time) (MPhil taken to be where COURSE.COURSEAIM = L codes)

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

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

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

## Data used in Innovation and Engagement funding allocations

- 1 Only HEIs are eligible for Innovation and Engagement funding. Data used in the calculation of Innovation and Engagement funding are taken from the HEBCI survey, the HESA staff and student records and other sources. The descriptions below refer to the data that was used in the calculation of allocations for 2012/13 and may differ to that used for 2013/14 which has not yet been finalised.
- 2 The following items of data were taken from the 2010/11 HEBCI survey returns:

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

- 3 Staff FTE were included in the calculation of the allocation. The data used were extracted from the 2010/11 HESA staff record using the following criteria:

A member of staff on the person table has an active contract at some point during the academic year on the contract table	CONFTE (C09) > 0 and STARTCON (C22) ≤ 31/07/11 or STARTCON (C22) = 99991231 and ENDCON (C23) ≥ 01/08/10 or ENDCON (C23) = 99991231
Contract is not atypical	TERMS ≠ 3
The amount of contract FTE that is managerial, academic, professional, technical or administrative is counted	CONFTE (C09) x CCPROP1 (C26) (where ACT1 (C24) = 1, 2A, 2B, 3A, 3B, 3C, 4A) plus CONFTE (C09) x CCPROP2 (C29) (where ACT2 (C27) = 1, 2A, 2B, 3A, 3B, 3C, 4A) plus CONFTE (C09) x CCPROP3 (C32) (where ACT3 (C30) = 1, 2A, 2B, 3A, 3B, 3C, 4A)

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

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

Not incoming exchange	INSTANCE.EXCHANGE ≠ 2, 4, 8, 9, A
Active 1/8/10 to 31/7/11 and not in the final academic year of a non-standard academic year course	INSTANCE.TYPEYR = 1 and INSTANCE.COMDATE ≤ 31/07/11 and INSTANCE.ENDDATE ≥ 01/08/10 or blank OR INSTANCE.TYPEYR = 2 and INSTANCE.ENDDATE ≤ 31/07/11 and INSTANCE.ENDDATE ≠ blank and INSTANCE.ENDDATE > anniversary of INSTANCE.COMDATE in 2010/11 + 14 days OR INSTANCE.TYPEYR = 2 and INSTANCE.ENDDATE ≤ 31/07/11 and INSTANCE.ENDDATE ≠ blank and INSTANCE.ENDDATE ≤ anniversary of INSTANCE.COMDATE in 2010/11 + 14 days and INSTANCE.UNITLGTH = 3 and INSTANCE.SPLENGTH = 01, 02 or INSTANCE.UNITLGTH = 4 and INSTANCE.SPLENGTH = 01-14 or INSTANCE.UNITLGTH = 5 and INSTANCE.SPLENGTH = 01-42 OR INSTANCE.TYPEYR = 2 and INSTANCE.COMDATE ≤ 31/07/11 and

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

- 5 The extraction of part-time credit data used in the allocation of I&E funding for 2012/13 was based on the definitions used in the Graham Funding allocations and uses HESA student record data.
- 6 If a student is following more than one course and has two or more records fitting the criteria to be included in the calculation the student is counted only once. On the HESA student record, this means that only one instance of each student is kept, all other instances for the student are excluded. This exclusion is carried out after applying all other criteria to the data, by keeping only one instance per student identifier INSTANCE.HUSID on the HESA student record.
- 7 If a student is taking a course which contains years of study which do not follow the standard academic year of 1 August to 31 July, then the student will be counted once in each year of study only, and not in each academic year in which they are active. This will be done by excluding the student from the data extract for the final academic year in which they are active. For example, if a student is following a part-time two year HE certificate course which starts in January 2010 and finishes in December 2011, the student will be active in three academic years, but will only be counted twice. They will be counted in the first two academic years in which they are active and excluded in the final academic year in which they are active.
- 8 In excluding those on a non-standard academic year in their final year of study, the date the student left is compared to their date of commencement. If they leave within the anniversary of date of commencement plus two weeks then they are excluded in that academic year, unless the two week period is identifiable as a separate year of study.
- 9 If a module is returned more than once per student, credits associated with the module are counted only once. This exclusion is carried out after applying all other criteria to the data, by keeping only one occurrence of each module identifier MODULE.MODID on the HESA student record.
- 10 The following criteria are used to extract part-time credit data from the HESA student record to use in the allocation of I&E funding:

Home and EU HEFCW fundable	INSTANCE.FUNDCODE = 1
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At least 10 credit values	MODULE.CRDTPTS ≥ 10 (summed over all modules the student is taking)
Not incoming exchange	INSTANCE.EXCHANGE ≠ 2, 4, 8, 9, A
Active 1/8/10 to 31/7/11 and not in the final academic year of a non-standard academic year course	<p>INSTANCE.TYPEYR = 1 and  INSTANCE.COMDATE ≤ 31/07/11 and  INSTANCE.ENDDATE ≥ 01/08/10 or blank  OR  INSTANCE.TYPEYR = 2 and  INSTANCE.ENDDATE ≤ 31/07/11 and INSTANCE.ENDDATE ≠ blank and  INSTANCE.ENDDATE &gt; anniversary of INSTANCE.COMDATE in 2010/11 + 14 days  OR  INSTANCE.TYPEYR = 2 and  INSTANCE.ENDDATE ≤ 31/07/11 and INSTANCE.ENDDATE ≠ blank and  INSTANCE.ENDDATE ≤ anniversary of INSTANCE.COMDATE in 2010/11 + 14 days and  INSTANCE.UNITLGTH = 3 and INSTANCE.SPLENGTH = 01, 02 or  INSTANCE.UNITLGTH = 4 and INSTANCE.SPLENGTH = 01-14 or  INSTANCE.UNITLGTH = 5 and INSTANCE.SPLENGTH = 01-42  OR  INSTANCE.TYPEYR = 2 and  INSTANCE.COMDATE ≤ 31/07/11 and  INSTANCE.ENDDATE = blank</p>
Part-time mode of study	<p>INSTANCE.MODE = 31 or  INSTANCE.MODE = 02, 25 and number of weeks &lt; 24 (based on INSTANCE.UNITLGTH and INSTANCE.SPLENGTH)  and  student does not also have an instance which is full-time and sandwich (INSTANCE.MODE = 01, 23, 24, 52, 53 or  INSTANCE.MODE = 02, 25 and number of weeks ≥ 24)</p>
Undergraduate	COURSE.COURSEAIM = all C, H, I, J codes, M22, M26

### Data used to monitor the For our Future indicators

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

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

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

Not incoming visiting or exchange	INSTANCE.EXCHANGE ≠ 2, 4, 8, 9, A
Not dormant, on sabbatical or writing up	INSTANCE.MODE ≠ 43, 44, 51, 63, 64
Studying at HE level	COURSE.COURSEAIM = all C, D, E, H, I, J, L, M codes
Active 1/8/11 to 31/7/12 and not in the final academic year of a non-standard academic year course	INSTANCE.ENDDATE ≥ 01/08/11 or blank and INSTANCE.COMDATE ≤ 31/07/12 AND INSTANCE.ENDDATE = blank and INSTANCE.TYPEYR = blank, 1(+ 3, 4 for UK HEIs) OR INSTANCE.ENDDATE = blank and INSTANCE.TYPEYR = 2 and INSTANCE.NOTACT = blank OR INSTANCE.ENDDATE > anniversary of INSTANCE.COMDATE in 2011/12 + 14 days OR INSTANCE.ENDDATE ≤ anniversary of INSTANCE.COMDATE in 2011/12 + 14 days and (INSTANCE.UNITLGTH = 3 and INSTANCE.SPLENGTH = 01, 02) or (INSTANCE.UNITLGTH = 4 and INSTANCE.SPLENGTH = 01-14) or (INSTANCE.UNITLGTH = 5 and INSTANCE.SPLENGTH = 01-42)
Not Teacher Agency (TA) Subject Knowledge Enhancement (UK HEIs only)	Course.TTCID ≠ F
Not students primarily studying abroad	Instance.LOCSY ≠ S

### Communities First

- 3 The Communities First target is defined as follows:

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

The Welsh Communities First areas correspond to the 100 most deprived electoral divisions according to the Welsh Index of Multiple Deprivation 2000, plus pockets of deprivation, imaginative proposals and new areas identified by WG.

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

Welsh domiciled	ENTRYPROFILE.POSTCODE is a valid postcode mappable to a ward in Wales
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- 6 The following coding is applied to the LLWR to extract the data for Welsh FEIs:

HE level Learning Programme	LAIM_REF (LA06) begins with L and LEV_LEAR (LA22) = 04, 05, 06, 07, 08 or National NVQ level on the qualification aims database = 4, 5, H
Learning Activity Active 1/8/11 to 31/7/12	STARTDTE (LA09) ≤ 31/07/2012 and TERMDATE (LA30) ≥ 01/08/2011 or = 31/12/9999
Undergraduate	LAIM_REF (LA06) begins with L and LEV_LEAR (LA22) = 04, 05, 06, 07, 08 or LAIM_REF (LA06) does not begin with L and qualification aim on the qualification aims database is an undergraduate HE qualification
Welsh domiciled	POST_SLP (LP09) is a valid postcode mappable to a ward in Wales

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

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

### **Module Completion Rates**

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

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

- 9 If a student is recorded as taking the same module more than once, then the module is counted only once, with a module completion kept in preference to a module that is not completed.
- 10 The following coding is applied to the HESA record to extract the data for Welsh HEIs:

Undergraduate	COURSE.COURSEAIM = all C, H, I, J codes, M22, M26
Module continuing from previous reporting year or contained within reporting year (i.e. expected to have an outcome)	STUDENTONMODULE.MODSTAT = 1, 2
Module taken on a for credit basis	STUDENTONMODULE .MODOUT ≠ 5

- 11 Completed modules are identified using:

Module completed	STUDENTONMODULE .MODOUT = 1, 2, C
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### **Student's overall satisfaction with the quality of their course**

- 12 The student satisfaction target is defined as follows:

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

This target is measured using data taken from the NSS.

### **Students studying through the medium of Welsh**

- 13 The Welsh medium target is defined as follows:

The number of Welsh domiciled students in Welsh HEIs and FEIs undertaking some element of their HE course through the medium of Welsh will rise from 4,586 in 2008/09 to 5,509 in 2012/13.

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

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

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

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

Taking a module through Welsh	MODULE.MODLANG = 1 and MODULE.LANGPCNT > 0
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- 17 For FEIs in Wales, data collected directly about Welsh medium provision are used in this target, as equivalent information to that available on the HESA record is not currently available on the LLWR.

### Overseas Students

- 18 The overseas target is defined as follows:

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

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

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

Exclude London and the South East of England	Lookup tables derive county and region using ONS data based on the postcodes of institutional headquarters
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- 21 Of the students extracted using these criteria, those from overseas are identified using:

Overseas	ENTRYPROFILE.DOMICILE = a non-EU code (non-EU codes are all codes apart from: UK; other EU codes; and not known where INSTANCE.FEEELIG ≠ 2)
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- 22 For the purposes of this target, incoming exchange students are included, and the Channel Islands and the Isle of Man are considered to be part of the UK.
- 23 To measure whether the target has been met, the percentage change in the number of overseas students since the previous year for institutions in Wales is compared with the same figure for the whole of the UK, excluding institutions in London and the South East of England.

### **Leavers employed or studying six months after leaving**

- 24 The employment target is defined as:
- The proportion of leavers obtaining first degrees from full-time courses at Welsh HEIs who were employed, studying or both six months after leaving will be equal to, or greater than, the UK proportion by 2012/13.
- 25 The target is monitored using the PI in Table E1 of the HE PIs (published on the HESA website [www.hesa.ac.uk](http://www.hesa.ac.uk)) derived from data collected on the HESA Destination of Leavers from Higher Education (DLHE) survey. The base population is the set of all home-domiciled respondents to the survey who are classed as working and/or studying or as unemployed and seeking work. The reference dates for the DLHE survey are, for example, for a leaver in 2011/12: 16 April 2012 (if the leaver obtained the qualification between 1 August 2011 and 31 December 2011) and 14 January 2013 (if the leaver obtained the qualification between 1 January 2012 and 31 July 2012).

### **Participation Rates**

- 26 The participation rate target is defined as:
- The absolute participation rate within Welsh higher education providers of students from the five Universities of the Heads of the Valleys Institute (UHOVI) unitary authorities will rise by 8% to the current national average by 2012/13 (from 2.5% to 2.7%).
- 27 If a student is following more than one course and has two records fitting the criteria to be included in the monitoring of the target, the student is counted only once. On the HESA student record, this means that only one instance of each student is kept, all other instances for the student are excluded. This exclusion is carried out after applying all other criteria to the data, by keeping the first occurrence of each student identifier INSTANCE.HUSID on the HESA student record. If a student has multiple instances with different modes of study then a full-time instance is kept in the dataset over a part-time instance.

- 28 The population is based on 2001 Census data adjusted to locate students at their home postcode with growth factors derived from mid-year estimates of the population applied. This participation rate is calculated using data which includes Welsh domiciled HE students at Welsh HEIs and FEIs, and therefore excludes students from these unitary authorities who are studying at non-Welsh UK HEIs.
- 29 The methodology used in the calculation of participation rates can be found on the HEFCW website, under 'About HE in Wales', 'Statistics', 'Participation Rates', in 'Participation rates for Welsh students in HE within the UK during 2006/07'.

### Part-time Students

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

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

- 31 If a student is following more than one course and has two records fitting the criteria to be included in the monitoring of the target, the student is counted only once. On the HESA student record, this means that only one instance of each student is kept, all other instances for the student are excluded. This exclusion is carried out after applying all other criteria to the data, by keeping the first occurrence of each student identifier INSTANCE.HUSID on the HESA student record. If a student has multiple instances with different levels of study then a postgraduate instance is kept in the dataset over an undergraduate instance.
- 32 The following coding is applied to the HESA student record to extract the data for Welsh HEIs:

The student is part-time	INSTANCE.MODE = 31 OR INSTANCE.MODE = 02, 25 AND INSTANCE.UNITLGTH = 1 and $52 * \text{INSTANCE.SPLENGTH} < 24$ or INSTANCE.UNITLGTH = 2 and $(\text{integer}(\text{INSTANCE.SPLENGTH} / 12) * 52 + \text{remainder}(\text{INSTANCE.SPLENGTH}, 12) * 4) < 24$ or INSTANCE.UNITLGTH = 3 and $\text{INSTANCE.SPLENGTH} < 24$ or INSTANCE.UNITLGTH = 4 and $\text{integer}(\text{INSTANCE.SPLENGTH} / 5) < 24$ or INSTANCE.UNITLGTH = 5
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- 33 The following coding is applied to the LLWR to extract the data for Welsh FEIs:

HE level Learning Programme	LAIM_REF (LA06) begins with L and LEV_LEAR (LA22) = 04, 05, 06, 07, 08 or National NVQ level on the qualification aims database = 4, 5, H
Learning Activity Active 1/8/11 to 31/7/12	STARTDTE (LA09) ≤ 31/07/2012 and TERMDATE (LA30) ≥ 01/08/2011 or = 31/12/9999
Part-time	MODE_ATT (LP07) = 09 or MODE_ATT (HE13) = 03

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

- 34 The spin-out target is defined as:

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

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

### **Income from Research Councils**

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

The annual percentage growth in income from Research Councils, from its 2008/09 base of 4.8% of the UK total, will be equal to, or greater than, the comparable figure for UK higher education institutions (excluding the 'golden triangle' of Oxford, Cambridge and London).

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

### **Annual income of HEIs**

- 37 The annual income target is defined as:

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

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

### **Risk status of HEIs**

38 The risk status target is defined as:

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

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

### **Data used for publication**

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

### **Performance Indicators – HEIs only**

- 2 PIs are calculated and published by HESA on behalf of the funding councils of each of the countries of the UK. HESA and Universities and Colleges Admissions Service (UCAS) data are used in the calculation of the PIs. The PI publication is produced annually and published on the HESA website, [www.hesa.ac.uk](http://www.hesa.ac.uk), which also includes details of how the indicators are calculated. The latest publication is *Performance Indicators in Higher Education in the UK 2010/11*.

### **Statistics for Funding and Funding Enrolments**

- 3 *Statistics for 2009/10 Funding* is available electronically and contains summaries of the data collected on HESES 2008/09, HESA/LLWR data used in the calculation of premium, per capita and PGR training funding, and data used in the calculation of QR funding for 2009/10. The *Statistics for 2010/11 Funding* publication and subsequent publications will be available on the HEFCW website in 2012. The *Funding Enrolments* publications for 2006/07 to 2011/12 will be published on the HEFCW website in 2013 and contain summaries of data returned on the EYM surveys.

### **Equality and diversity monitoring**

- 4 HEFCW currently use HESA data to monitor the ethnicity, disability status, gender and age of students and staff at Welsh HEIs. A summary of the analysis is published on the HEFCW website. The following criteria and fields will be used to categorise the data for 2011/12.

## Students

Population at Welsh HEIs:

Not incoming exchange	INSTANCE.EXCHANGE ≠ 2, 4, 8, 9, A
Active 1/8/11 to 31/7/12	INSTANCE.COMDATE ≤ 31/07/12 INSTANCE.ENDDATE ≥ 01/08/11 or blank
Not dormant or on sabbatical	INSTANCE.MODE ≠ 51, 63, 64
Undergraduate or postgraduate	COURSE.COURSEAIM = all C, D, E, H, I, J, L, M codes
Not Teacher Agency (TA) Subject Knowledge Enhancement (UK HEIs only)	Course.TTCID ≠ F
Not students primarily studying abroad	Instance.LOCSDY ≠ S
UK domiciled (for ethnicity monitoring only)	ENTRYPROFILE.POSTCODE is a valid UK postcode
A full record is returned (for ethnicity and disability monitoring only)	INSTANCE.REDUCEDI = 00

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

## Staff

Population at Welsh HEIs:

A member of staff on the person table has an active contract at some point during the academic year on the contract table	CONFTE (C09) > 0 and STARTCON (C22) ≤ 31/07/12 and ENDCON (C23) ≥ 01/08/11 or STARTCON (C22) ≤ 31/07/12 and ENDCON (C23) is blank or STARTCON (C22) is blank and ENDCON (C23) ≥ 01/08/11
UK nationality (for ethnicity monitoring only)	NATION (P06) = GB, GG, JE, XL, IM

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

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

## Data used for analysis of ITT (QTS) provision

### Initial Teacher Training statistical information

- 1 ITT statistical information is published by HEFCW each year. Tables showing information for each HEI with ITT (QTS) provision are produced using data from the HESA student and DLHE records and are subject to verification by HEIs. Institutions are permitted to make changes to the data to be published if they find there are errors in the data they submitted to HESA. The following criteria will be used in extracting data from the 2011/12 HESA student record:

On an initial teacher training course	COURSE.TTCID = 1
Not incoming exchange	INSTANCE.EXCHANGE ≠ 2, 4, 8, 9, A
Enrolled on instance on 1 November 2011	INSTANCE.COMDATE ≤ 01/11/11 INSTANCE.ENDDATE > 01/11/11 or blank
Not dormant or on sabbatical	INSTANCE.MODE ≠ 51, 63, 64
Primary or Secondary phase	INSTANCE.ITTPHSC = 15, 16, 17, 18, 19, 24, 25, 26, 53, 55, 56, 57, 61, 62, 63, 64, 65

- 2 In addition, destination information relating to the ITT (QTS) students extracted from the HESA student record will be extracted from the 2011/12 HESA DLHE record using the following criteria:

UK or EU domiciled	ENTRYPROFILE.POSTCODE is a valid UK postcode or ENTRYPROFILE.DOMCILE is an EU domicile
Not deceased	INSTANCE.RSNEND ≠ 05
Left in the academic year	INSTANCE.ENDDATE > 31/07/11 and INSTANCE.ENDDATE < 01/08/12

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

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

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

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

## Data used to monitor recruitment against the maximum student number

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

### HESA data:

Home and EU HEFCW fundable	INSTANCE.FUNDCODE = 1
Not incoming exchange	INSTANCE.EXCHANGE ≠ 2, 4, 8, 9, A
Active 1/8/11 to 31/7/12 and not in the final academic year of a non-standard academic year course	INSTANCE.TYPEYR = 1 and INSTANCE.COMDATE ≤ 31/07/12 and INSTANCE.ENDDATE ≥ 01/08/11 or blank OR INSTANCE.TYPEYR = 2 and INSTANCE.ENDDATE ≤ 31/07/12 and INSTANCE.ENDDATE ≠ blank and INSTANCE.ENDDATE > anniversary of INSTANCE.COMDATE in 2011/12 + 14 days OR INSTANCE.TYPEYR = 2 and

	<p>INSTANCE.ENDDATE ≤ 31/07/12 and INSTANCE.ENDDATE ≠ blank and  INSTANCE.ENDDATE ≤ anniversary of INSTANCE.COMDATE in 2011/12 + 14 days and  INSTANCE.UNITLGTH = 3 and INSTANCE.SPLENGTH = 01, 02 or  INSTANCE.UNITLGTH = 4 and INSTANCE.SPLENGTH = 01-14 or  INSTANCE.UNITLGTH = 5 and INSTANCE.SPLENGTH = 01-42  OR  INSTANCE.TYPEYR = 2 and  INSTANCE.COMDATE ≤ 31/07/12 and  INSTANCE.ENDDATE = blank</p>
Full-time or sandwich mode of study	INSTANCE.MODE = 01, 23, 24, 52, 53 (sandwich year out counted as 0.5 where INSTANCE.MODE = 23, 24 and INSTANCE.LOCSDY = D, E and INSTANCE.SPECFEE = 1)
Studying for greater than 3% FTE	INSTANCE.STULOAD ≥ 3
Undergraduate or PGCE	<p>COURSE.COURSEAIM = all C, H, I, J codes except C99, H99, I99, J99  COURSE.COURSEAIM = M22, M26 or  COURSE.COURSEAIM = M71 and COURSE.TTCID ≠ 1 or  COURSE.TTCID = 1</p>
New entrants (intercalated year students assumed to not be new entrants)	<p>INSTANCE.YEARSTU = 1 and  COURSE.COURSEAIM ≠ H24</p>
Completions	<p>INSTANCE.FUNDCOMP = 1 or  INSTANCE.FUNDCOMP = 4 (partial completion counted as 0.5)</p>
Estimated completions	INSTANCE.FUNDCOMP = 3 multiplied by proportion of total new entrants with known completion status that are completed (count of INSTANCE.FUNDCOMP = 1 plus 0.5 of INSTANCE.FUNDCOMP = 4 divided by count of INSTANCE.FUNDCOMP = 1, 2, 3, 4)

**LLWR data:**

Home and EU HEFCW fundable	MAIN_STR (LA11) = 2
HE level Learning Programme	<p>TYPE_LPG (LP17) = 51, 52, 53, 54, 55, 56, 57, 58, 59  or  COURSEAIM (HE14) = all E, M, C, H, I, J codes, excluding M99, H99, I99, J99, C99</p>
Learning Activity Active 1/8/11 to 31/7/12	<p>STARTDTE (LA09) ≤ 31/07/12 and  TERMDATE (LA30) ≥ 01/08/11 or = 31/12/9999</p>
Full-time or sandwich mode of study	<p>MODE_ATT (LP07) = 07, 08 or MODE_ATT (HE13) = 01, 02  (sandwich year out counted as 0.5 where MODE_ATT (LP07) = 08 or MODE_ATT (HE13) = 02)</p>
Undergraduate or	LEV_LEAR (LA22) ≠ 04, 05, 06 or

PGCE	LAIM_REF (LA06) and TITLE_LA (LA08) not postgraduate
New entrants	STARTDTE (LA09) of earliest learning activity associated with learning programme $\geq$ 01/08/11
Completions	Credit completion rates are taken from the HESES or EYM survey and applied to the data extracted from the LLWR to reduce the figures to estimated number of completions.

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

### **Data used in the Widening Access Strategy funding allocation**

- 1 Widening Access Strategy funding is allocated to HEIs only. For 2012/13, for both full-time and part-time provision, undergraduate students eligible for the 2012/13 access and retention premium, in total, and who were from Communities First areas or who were from low participation areas, were included in the calculation of the widening access element of the allocation. SLC data relating to full-time students in receipt of a full Assembly Learning Grant were also used in the allocation. For part-time provision, credits for modules associated with part-time students that were eligible for the 2012/13 access and retention premium were used for the part-time student element of the allocation. The number of credits for all eligible students, students from Communities First areas and students in low participation areas were all included in the calculation of the part-time student element allocation. The data used in the allocation were subject to verification.
- 2 The method of calculating funding allocations for 2013/14 has not yet been finalised. Any HESA data used in funding calculations will be subject to verification.