

## 2018/19 Fee and Access Plan Application Template

<b>Institution Applicant name:</b>	
<b>Applicant address:</b>	

	<b>Main contact</b>	<b>Alternate contact</b>
<b>Contact name:</b>		
<b>Job title:</b>		
<b>Telephone number:</b>		
<b>Email address:</b>		

### **Fee and access plan - Guidance note**

HEFCW requires fee and access plan applicants to provide relevant, recent information and verifiable data. If the information and data provided are not sufficiently clear, or it is difficult for HEFCW to reconcile with other information it holds, HEFCW may need to contact applicants for further information and/or clarification to enable us to understand the application more fully.

<b>Institution Applicant name:</b>	
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Please insert the fee and access applicant institution name here

# **2018/19 Fee and Access Plan Application Template**

**Information to be provided to  
HEFCW for entry into the regulated  
system**

Please insert the fee and access applicant institution name here

### **Regulatory information to be provided to HEFCW - Guidance note**

1. HEFCW will not publish individual applicant's fee and access plan regulatory information provided in this section. High-level, summary information relating to all fee and access plan applications will be published by HEFCW in outcomes reports and good practice reports, including reports to the Welsh Government.
2. The Welsh Government expects fee and access plans to make a significant and lasting contribution to widening access to higher education in Wales. HEFCW's functions of approval, monitoring and evaluation of plans under [Higher Education \(Wales\) Act 2015](#) (the 2015 Act) include identifying and disseminating good practice so that the effectiveness of fee and access plan measures and investments increases over time. In this context, HEFCW will make approved plans available to evaluators.
3. Applicants must provide a full account of their eligibility to apply for a fee and access plan and their ability to meet the requirement of being a regulated institution. Where HEFCW has information and/or data already submitted to us, which we can use to evidence the applicant's ability to meet the fee and access plan regulatory requirements, we will use the most up-to-date information we have, where we have the permission of applicants' governing bodies to do so. We have indicated in the application template the information we propose to use for currently regulated institutions. The application template includes a set of statements, which applicants' governing bodies should sign up to in submitting applications, including confirming HEFCW's use of currently held information. Additionally, applicants can submit new, additional or more recent information to inform HEFCW's assessment of the fee and access plan. Working with regulated institutions and other interested parties, HEFCW has reconsidered information and data requirements for fee and access applications in 2018/19 following its review of the 2017/18 fee and access plan process and they remain largely as in 2017/18.
4. HEFCW will approve a fee and access plan only if the applicant meets all criteria relating to being an institution in Wales that provides higher education and is a charity and that there is sufficient evidence of the applicant's financial viability, organisation and management of financial affairs and quality of the education provided by it or on its behalf.

Please insert the fee and access applicant institution name here

**Table 1: Criteria for being an institution**

Examples of organisations HEFCW regards as institutions include: universities formed by Royal Charter, Higher Education Corporations and Further Education Corporations and bodies that train members of the education workforce. A provider which is a charity providing HE in Wales but which is not otherwise regarded as an institution must apply to the Welsh Government to be designated as an institution before it submits a fee and access plan application to HEFCW and it must provide evidence to HEFCW of Welsh Government's confirmation of its status as an institution.

An applicant must provide the following information:

*Evidence of the organisation's status, as outlined in the paragraph above and, where appropriate, evidence of the Welsh Government's confirmation of the organisation's status as an institution.*

[Regulated institutions with approved fee and access plans do not have to provide this information. Evidence of the Welsh Government's confirmation of the applicant's status as an institution is required where HEFCW does not already have this.]

Please insert the fee and access applicant institution name here

**Table 2: Criteria for being an institution in Wales**

HEFCW will regard an institution as being in Wales by taking account of a range of information, including the extent to which its learning and teaching activities are either wholly or principally carried out in Wales and where its full-time equivalent (FTE) student numbers are located: see Section 57(3) (a) of the 2015 Act.

An applicant must provide the following information:

<i>Applicant's name</i>	
<i>Principal address and legal address where different</i>	[for regulated institutions with approved fee and access plans this should be provided only where addresses are different from information provided in 2017/18 approved plans]
<i>UK provider registration number</i>	[for regulated institutions with approved fee and access plans this information should be provided only where information is different from that provided in the 2017/18 approved plans]
<i>Any other names under which the applicant operates</i>	[for regulated institutions with approved fee and access plans this information should be provided only where information is different from that provided in the 2017/18 approved plans]
<i>Where the learning and teaching activities are located<sup>1</sup> (see information provided in HEFCW</i>	[For institutions that subscribe to HESA, we will use data returned to <a href="#">HESA.</a> ]

<sup>1</sup> We will determine the location of the student as follows. For students recorded on the HESA student record: if a student is distance learning, they will be counted at the location of their home address; if they are franchised to another institution, they will be counted at the location of the other institution; if they are attending a subsidiary, they will be counted at the location of the subsidiary; otherwise they will be counted at the location of the campus they are recorded as attending. The counting will be done in the order listed. This means that a distance learner who is franchised out will be counted at the location of their home address, not the location of the franchise. All students returned on the HESA aggregate overseas record (AOR) will be counted as being outside Wales. For information on the AOR see footnote 3 below. This definition is consistent with where distance learning students are counted for the purposes of determining fundability status in the [HESES survey, Annex C.](#)

Please insert the fee and access applicant institution name here

<p><i>2018/19 fee and access plan guidance: Criteria on being an institution in Wales)</i></p>		
<p><i>A link to the applicant's webpages relating to the applicant's learning and teaching activities;</i></p>		
<p><i>Where the majority of full-time equivalent (FTE) students are located. Applicants must state the total number of <u>all</u> FTE students attending courses delivered in Wales compared to the total number of</i></p>	<p>The FTE total number of <u>all</u> students attending courses delivered in Wales:</p>	<p>[For institutions that subscribe to <a href="#">HESA</a> we will use the student record and the aggregate offshore record (AOR)<sup>3</sup> 2015/16 to calculate FTE by location. For those</p>

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<sup>3</sup> The HESA AOR data provide student number counts, not FTE, and do not provide details of mode of study. In using the AOR data, we will assume the headcount number is equivalent to the FTE number. Where a provider has part-time transnational education (TNE) provision, this will lead to an inflated FTE outside Wales. Therefore, if using AOR data brings the percentage outside Wales to 50% or more, we will use data from other sources, such as the in-year collection of TNE data carried out by HEFCW in 2015, or an average FTE per student taken from the HESA student record, to supplement the calculation, to provide a more realistic estimate of the FTE outside Wales. For example, we will use the supplementary data to estimate the proportion of provision returned on the AOR that is part-time. We will consult with any provider where the revised calculation also results in a percentage outside Wales of 50% or more.

Please insert the fee and access applicant institution name here

<p><i>all<sup>2</sup> FTE students including those attending courses delivered outside Wales.</i></p> <p>Where data are provided in this section, HEFCW reserves the right to undertake a visit to the applicant to examine and understand the data and information provided.</p>	<p>The FTE total number of <u>all</u> students including those attending courses delivered outside Wales:</p>	<p>institutions that subscribe to HESA but that do not complete the full set of HESA returns, information not available from the HESA data should be returned in this section.</p>
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**Criteria for being an institution in Wales providing higher education (HE) – Guidance note**

- Applicants with provision located in Wales validated by another body should list their qualifications in Wales, student numbers in Wales, locations in Wales and provide a list of higher education courses delivered in Wales as set out in their prospectus, with an electronic link to these courses whether in Wales or elsewhere.

**Table 3: Criteria for being an institution in Wales providing higher education (HE)**

HEFCW will regard an institution in Wales as providing higher education if the provision includes a higher education course/s regardless of mode, listed in in [Schedule 6 of the Education Reform Act 1988](#) and set out in the Welsh Government guidance to HEFCW on Fee and Access Plans, paragraph 3.12.

<sup>2</sup> 'All FTE students' includes all Welsh, home, EU and overseas students. 'Outside Wales' includes all students located in the rest of the UK, the EU and overseas.

Please insert the fee and access applicant institution name here

An applicant must provide the following information:	
<i>A description of the higher education provided by the applicant in Wales including the awards provided (see Welsh Government guidance 3.12 and 3.13).</i>	[For institutions that subscribe to and return data to HESA or return data to the LLWR, we will use that data]
<i>The full-time equivalent (FTE) numbers of students in Wales that may be taking the higher education courses at the date of application and for three years previously.</i>	[For institutions that subscribe to and return data to HESA or return data to LLWR, we will use that data]
<i>A list of the location/s of the higher education provision in Wales.</i>	[Provide: (i) information about the locations of provision provided by the applicant here; and (ii) information about the location of partnership provision provided on behalf of the applicant in the Excel application in template Annex A ii]

<b>Table 4: Criteria on being an institution in Wales that is a charity providing higher education</b>	
All Higher Education Corporations and Chartered Universities in Wales, which receive funding from HEFCW, are registered with the Charity Commission for England and Wales.	
An applicant must provide the following information:	
<i>The applicant's charity registration number and the name and address of the charity regulator registering the applicant.</i>	[ Regulated institutions with approved fee and access plans are charities and therefore no further information is required from them]

Please insert the fee and access applicant institution name here

*Where the applicant is not registered with a charity regulator, please provide the reasons for this together with a copy of any governing document*

Please insert the fee and access applicant institution name here

### Information on meeting the requirements of a regulated institution – Guidance note

6. Applicants must provide information about their financial viability, the arrangements for the organisation and management of financial affairs, and the quality of education provided by, or on behalf of the applicant. For further information on the detail required, refer to the following sections within HEFCW's 2018/19 fee and access plan guidance: *requirements of a regulated institution; currency and sufficiency of information to be provided to HEFCW; evidence to be provided to HEFCW; financial viability; the organisation and management of financial affairs; and the quality of education provided by, or on behalf of the applicant.*
7. Where HEFCW holds sufficient, up-to date, financial and/or quality information about currently regulated applicants, HEFCW will use it, subject to permissions being given. Since the data proposed were originally provided for purposes other than regulation under the 2015 Act, we will require confirmation by applicants' governing bodies that it is acceptable for HEFCW to use them for these purposes. We have provided examples of the information we propose to use for currently regulated institutions. Alternatively, applicants are welcome to submit new, additional or more recent information to inform HEFCW's assessment.
8. Applicants should include their current strategic plan or provide a web reference to it, where HEFCW has not already received it plus full financial forecasts for the current year and future three years. Further information on the required format of the forecast information is provided in the *financial viability* section of the HEFCW fee and access plan guidance. The evidence should include a commentary on the assumptions.

Please insert the fee and access applicant institution name here

**Table 5: Financial Viability**

An applicant must provide information to HEFCW about its financial viability and sustainability, including evidence that it has a low risk of failure on financial grounds over the medium to long-term. In addition, HEFCW will expect an applicant to confirm formally that it is at low risk of failure on financial grounds over the medium to long-term.

An applicant must provide information to illustrate:

*The applicant's corporate group structure, including details of all group companies or organisations (including subsidiaries, parent/holding companies and associate or joint ventures).*

**Financial viability** – historical performance information: applicants should provide evidence of, or reference to information previously submitted to HEFCW relating to, annual reports and externally audited financial statements for the three years prior to the application.

[For universities which are regulated institutions with an approved fee and access plan, we will use the following data:

- Last 3 years' audited financial statements
- Last 3 years' external audit annual reports]

Please insert the fee and access applicant institution name here

<p><b>Financial viability - financial strategy information:</b> applicants should include a financial strategy, or reference to information previously submitted to HEFCW relating to the overall strategic plan and/or information which sets appropriate benchmarks and performance indicators, shows how resources are to be used and how activities and infrastructure will be financed. Information should include how applicants assess and review their sustainability, including the use of sustainability assessments.</p>	<p>[For universities with an approved fee and access plan, we will use (subject to confirmation) the financial forecast submitted in July 2016. (Where applicants have confirmed that we can use the financial forecast submitted in July 2016, applicants will need to either:</p> <ul style="list-style-type: none"> <li>• confirm that their financial strategy remains unchanged;</li> <li>• or provide a detailed explanation of the changes in financial strategy since the forecasts were submitted).</li> </ul> <p>Plus: Regulated institutions will still need to submit evidence relating to the areas stated here. Regulated institutions, which have prepared an ASSUR report, may satisfy the requirement for sustainability by submitting such a report, should they wish.]</p>
<p><b>Financial viability – forecast information:</b> applicants should provide evidence (if necessary with the support of a parent company guarantee) or reference to evidence previously submitted to HEFCW demonstrating that they have:</p> <ul style="list-style-type: none"> <li>• an adequate cash flow to remain solvent, that is, sufficient liquidity to pay debts as they fall due; and</li> <li>• an adequate balance sheet, that is, that they maintain a net total assets position and would not incur deficits if these would result in a net total liabilities position</li> </ul>	<p>[For universities with an approved fee and access plan, we will use (subject to confirmation) the financial forecast submitted in July 2016. (Where applicants have confirmed that we can use the financial forecast submitted in July 2016, applicants will need to either:</p> <ul style="list-style-type: none"> <li>• confirm that their financial forecast assumptions remain unchanged;</li> <li>• or provide a detailed explanation of the changes since the forecasts were submitted, including the headline figures relating to the changes)].</li> </ul>

Please insert the fee and access applicant institution name here

**Table 6: The organisation and management of financial affairs**

An applicant will need to provide evidence that is well-managed with sound management practices in place and the capacity to develop in line with its strategic plan and the financial strategy that supports its fee and access plan.

An applicant must provide information to illustrate that it:

<ul style="list-style-type: none"> <li>• <i>has financial management processes that are well governed and controlled adequately and effectively.</i></li> </ul>	<p>[For universities which are regulated institutions, we will (subject to your confirmation) use the following data:</p> <ul style="list-style-type: none"> <li>• Last 3 years' internal audit annual reports, giving assurance levels over core financial controls</li> <li>• Last 3 years' financial forecasts</li> <li>• Information obtained from our assurance processes relating to governance structures including audit committee, finance committee or equivalent]</li> </ul>
<ul style="list-style-type: none"> <li>• <i>plans and manages activities to remain viable.</i></li> </ul>	<p>[For regulated institutions, we will use (subject to your confirmation) the financial forecast submitted in July 2016. Plus: In addition to financial forecast information, regulated institutions will still need to provide information on the institution's budget setting and monitoring process, and the process for the production, distribution and monitoring of management accounts]</p>
<ul style="list-style-type: none"> <li>• <i>has robust and comprehensive systems of risk management and internal control.</i></li> </ul>	<p>[For universities which are regulated institutions, we will (subject to your confirmation) use the following data:</p> <ul style="list-style-type: none"> <li>• Last 3 years' internal audit annual reports, giving assurance levels over risk management processes</li> <li>• Last 3 years' internal audit annual reports, giving overall internal control opinion]</li> </ul>

Please insert the fee and access applicant institution name here

<ul style="list-style-type: none"> <li>• <i>has effective arrangements for the management and quality of data and for the assurance of data used for internal decision making.</i></li> </ul>	<p>[For universities which are currently regulated institutions, we will (subject to your confirmation) use the following data:</p> <ul style="list-style-type: none"> <li>• Last 3 years' internal audit reports of HE data systems and processes</li> <li>• The latest external data audit]</li> </ul>
<ul style="list-style-type: none"> <li>• <i>has regular, reliable, timely and adequate management accounts or equally robust information to monitor operational and financial performance.</i></li> </ul>	<p>[Applicants should provide a brief overview of the information typically contained within their management accounts, how often these are produced and with whom they are shared. If the applicant does not prepare management accounts, describe any other relevant processes]</p>
<ul style="list-style-type: none"> <li>• <i>reports information regularly, comprehensively and correctly to appropriate senior management and those charged with governance.</i></li> </ul>	<p>[For universities which are regulated institutions, HEFCW will (subject to your confirmation) use the following data:</p> <ul style="list-style-type: none"> <li>• Last 3 years' internal audit annual reports, giving assurance levels over governance processes</li> <li>• Last governance effectiveness review, if undertaken externally]</li> </ul>
<ul style="list-style-type: none"> <li>• <i>manages its estate in a sustainable way in line with an estates strategy.</i></li> </ul>	<p>[An estates strategy or equivalent, as well as information on the monitoring of estates performance would help to provide evidence of managing the estate in a sustainable way]</p>
<ul style="list-style-type: none"> <li>• <i>is able to meet all the necessary data capture and reporting requirements for HEFCW including those administered by the Higher Education Statistics Agency (HESA) and other bodies as required by HEFCW.</i></li> </ul>	<p>[For regulated institutions, we will use (subject to confirmation) the following data:</p> <ul style="list-style-type: none"> <li>• Last 3 years' internal audit reports of HE data systems and processes</li> <li>• The latest external data audit</li> <li>• The annual HESES survey</li> <li>• Data provided to the LLWR</li> <li>• Student, student destination, staff, estates, finance and business and community interaction data provided to HESA; and</li> </ul>

Please insert the fee and access applicant institution name here

	<ul style="list-style-type: none"> <li>The annual assurance return.]</li> </ul>
<ul style="list-style-type: none"> <li><i>can comply with the principles of the Higher Education Code of Governance (Committee of University Chairs, December 2014) unless adherence to alternative, equally robust arrangements can be evidenced.</i></li> </ul>	<p>[<b>Amend/delete</b> the following statements <u>and</u> provide additional information, under (ii) below, where appropriate:</p> <p>(i) The applicant confirms that it complies/does not comply with the principles of the Higher Education Code of Governance (Committee of University Chairs (December 2014).</p> <p>(ii) The applicant adheres to alternative, equally robust governance arrangements and the following information sets out these arrangements.</p> <p>(iii) The applicant cannot demonstrate adherence to robust governance arrangements.]</p>
<ul style="list-style-type: none"> <li><i>complies with the statutory requirements relating to external audit; and is owned, managed and run by 'fit and proper persons' by providing:</i> <ul style="list-style-type: none"> <li><i>evidence of the institution's identity and that of key individuals (for example, the Governing Body, Vice Chancellor, Principal, directors, shareholders, trustees), along with their skills and experience; and</i></li> <li><i>confirmation that directors (if a company) or trustees (if a charity) are eligible to act as either directors or trustees and have not been disqualified from acting as directors or trustees.</i></li> </ul> </li> </ul>	<p>[For regulated institutions, we do not require this information</p> <p>In respect of the institution's identity other applicants should provide, for example a charter, certificate of incorporation, etc.</p> <p>In respect of individuals, other applicants should provide sufficient information on key individuals to allow searches to be made of both Companies House and Charity Commission records, including lists of disqualified directors/trustees.]</p>

Please insert the fee and access applicant institution name here

**Quality of education provided by, or on behalf of, an institution – Guidance note**

9. The applicant should provide information relating to the quality of provision, or provision that is made on its behalf, regardless of the level and location of provision.

<p><b>Table 7: Quality of education provided by, or on behalf of, an institution</b></p> <p>HEFCW is responsible for the assessment of the quality of all education provided in Wales, both by applicants and on behalf of applicant institutions.</p> <p>An applicant must provide:</p>	
<p><i>Confirmation that it has internal quality assurance procedures in place for <u>all</u> of its education provision. Confirmation from the applicant that it has quality assessment procedures in place for <u>all</u> of its education provision in Wales – whether such provision is by the applicant itself or on its behalf. This means higher education provision, and non-higher education provision, eg school, further or professional education. It also covers education the applicant provides directly or via other providers. The applicant will need to confirm that all of its provision, as described above, is quality assured by an appropriate body.</i></p>	<p><b>[Delete as appropriate:</b> Confirmation that there are internal quality assurance procedures in place for all education provision]</p>
<p><i>Confirmation and evidence that its higher education provision, and any higher education provided on its behalf (eg franchise provision), has successfully undergone an external quality assurance review, Higher Education Review: Wales (<a href="#">HERW</a>) or equivalent <a href="#">Quality Assurance Agency</a> process within the past six years. Applicants that need to undergo a Higher Education Review: Wales should contact the Quality Assurance Agency. (If an existing regulated institution is in the process of working through review outcomes to address issues identified, in</i></p>	<p>[A statement confirming that the organisation has successfully undergone a review of higher education (including higher education provided on its behalf). Include link to the report(s). If an organisation is working through review outcomes to address issues identified, please state this.]</p>

Please insert the fee and access applicant institution name here

<p><i>accordance with normal procedures, they may apply for a fee and access plan);</i></p>	
<p><i>Confirmation and evidence that its non-higher education provision, and any non-higher education provided on its behalf, has successfully undergone a review/inspection by the appropriate body responsible for the quality standards of that provision. (If an existing regulated institution is in the process of working through review/inspection outcomes to address issues identified, in accordance with normal procedures, they may apply for a fee and access plan);</i></p>	<p>[A statement confirming that the organisation has successfully undergone a review/inspection(s) of its non-higher education (including higher education provided on its behalf). Include link to the report(s) and information on the date of the review/inspection. If an organisation is working through review/inspection outcomes to address issues identified, please state this.]</p>
<p><i>A list of external provider agreements together with partnership course information, date of each agreement (ie to confirm that the agreement has been re-signed since 1 September 2015, or alternatively date of an addendum added to confirm that the provision is agreed to come under the 2015 Act), and duration of the partnership arrangement. For a regulated institution that provides higher education under validation arrangements, please provide evidence that a validation arrangement is in place, regardless of its level and location (See Excel Table E provided separately in Annex Aii)</i></p>	<p>[The applicant will have set out this information in Application template tables D, E and F.]</p>

Please insert the fee and access applicant institution name here

<b>Institution applicant name:</b>	
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# 2018/19 Fee and Access Plan Application Template

## Fee and access plan: focus and contents

The information provided in this section is for HEFCW, students, prospective students and other interested parties and, once approved by HEFCW, it should be published on the institution's website within one week of publication.

*Applicants may replace this cover sheet and format the headings provided, to reflect their own branding at an early stage in developing their plans and prior to submitting them to HEFCW for approval. The published text must not vary from the text in this section of the plan as approved by HEFCW.*

Published fee and access plans must be easily accessible to students, prospective students and other interested parties.

Please insert the fee and access applicant institution name here

## The focus and contents of fee and access plans

### Guidance note

10. Applicants should provide relevant, recent information and verifiable data for HEFCW, students and potential students and other interested parties.
11. The fee and access plan application should include the following information:
12. **An executive summary:** Applicants must provide an executive summary setting out the focus and contents of its fee and access plan. Please limit the executive summary to around 500 words.
13. **The student voice:** Information should include:
  - the extent of applicants' engagement with their student body in developing, assessing and finalising the fee and access plan, including information about engagement with the study body where higher education is provided on behalf of applicants;
  - the contribution of the student voice, and partnership working, to governance and quality;
  - how proposed fee levels, including aggregate fee levels, are communicated to students;
  - the extent to which fee and access plan applications reflects the principles of the [Wise Wales statement on Partnership](#) for higher education; [Breaking down the barriers to student opportunities and youth social action](#); and the [Guide to providing information to prospective undergraduate students](#).
14. **The rationale, including the strategic approach, of plans.** Information should set out:
  - the rationale for fee and access plans' focus and contents. Where applicants' have had fee plans in place previously, a critical review of the outcomes and lessons learnt from those plans should clearly inform the rationale;
  - how the rationale informs the fee and access plan objectives, provision and targets;
  - the objectives of fee and access plans;
  - the rationale for the level of investment in categories of provision;
  - how the plans are embedded at a strategic level across the institution;
  - how the plans align with applicants' institutional strategic objectives;
  - how the plans align with strategic and other similar documents;
  - how the plans align with strategic equality plans or similar documents.
  - how the plans align with Welsh language strategies or similar strategic commitments, Welsh language standards and/or Welsh language commitments;
  - whether/how the plans support collaborative and/or regional coherence agendas, including, for example the Reaching Wider Programme;

Please insert the fee and access applicant institution name here

15. **Groups under-represented in higher education:** Information should include:
- the groups regarded by applicants as under-represented in higher education to be supported by fee and access plans and the evidence for this position. Groups under-represented in higher education may be under-represented in higher education in general or specifically in individual applicants' institutions.
16. **Objectives:** Applicants must set out their plans' objectives, the provision to meet their objectives and their targets. They must specify the level of fee income to be invested against the categories provided in **Annex Aii** (2018/19 *fee and access plan income forecast expenditure*: Excel Table B).
17. **Provision:** Applicants must describe clearly the extent to which fee and access plan provision will support equality of opportunity and the promotion of higher education. The following provision **must** be included:
- i. attract applications from groups under-represented in higher education;
  - ii. retain individuals from groups under-represented in higher education;
  - iii. provide financial assistance to students
  - iv. make available to students or prospective students information on financial assistance;
  - v. inform prospective students of the aggregate amount of fees to be charged for the completion of the course;
  - vi. monitor compliance with the provision of the plan;
  - vii. monitor progress in achieving the objectives set out in the fee and access plan application.
18. Provision supporting equality of opportunity and groups under-represented in higher education should be clearly distinguished from provision supporting the promotion of higher education. Targets should be similarly clear.
19. **Categories of provision:** Provision should be grouped into categories, as set out below. It is for applicants to decide under how to categorise their provision. Applicants' provision might not include investment in all categories nor be invested equally across all chosen categories. The categories of provision are:

Equality of opportunity measures which support groups under-represented in higher education:

- i. promoting and safeguarding fair access to higher education, including identifying individuals with the greatest potential from disadvantaged backgrounds;
- ii. attracting and retaining students and prospective students from under-represented groups, which may include students from less advantaged backgrounds and students with protected characteristics;
- iii. raising educational aspirations and develop skills which prepare students from under-represented groups for higher education;
- iv. supporting and increasing student retention and completion, particularly those from low participation neighbourhoods, looked after children, care leavers and carers;

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- v. improving the experience of higher education of students from under-represented groups including activities to promote an international experience;
- vi. providing effective information to students from under-represented groups before and during their courses;
- vii. providing high quality academic and welfare support to students from under-represented groups;
- viii. supporting students from under-represented groups to progress to employment or further study; and
- ix. other measures to support groups under-represented in higher education such as evaluating fee and access plans' effectiveness (please specify these measures).

Promotion of higher education measures to deliver:

- i. more effective engagement with private, public or voluntary bodies and communities in Wales;
- ii. investments in improving the quality of learning and teaching, with reference to the quality of the student experience;
- iii. activities which strengthen the employability of Welsh graduates;
- iv. actions which promote Welsh higher education more effectively internationally;
- v. actions which improve delivery of sustainable higher education;
- vi. activities which raise awareness of higher education amongst potential learners; and
- vii. other measures to support the promotion of higher education such as evaluating fee and access plans' effectiveness (please specify these measures).

Please insert the fee and access applicant institution name here

<b>Institution Applicant name:</b>	
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## **2018/19 Fee and Access Plan Application Template**

### **Authorisation of 2018/19 fee and access plan application**

**Information provided in this section is for HEFCW and not intended for publication.**

Please insert the fee and access applicant institution name here

## **Authorisation of a fee and access plan submission to HEFCW**

### **Guidance note**

20. 2018/19 fee and access plan applications require approval by applicants' governing bodies, following a process of engagement with student bodies, before being submitted to HEFCW.
21. HEFCW may not recommend for approval fee and access plan applications that have not been finally approved by a governing body. Applicants should ensure that their governing body has agreed appropriate delegation of authority arrangements for fee and access plans in advance of submitting fee and access plans, or revisions to these plans.
22. 2018/19 fee and access plan applications must comprise
  - Section 1: regulatory information not for publication;
  - Section 2: the focus and content which may be in applicants' own format; and
  - Section 3: the governing body's approval document and this application template which includes the Word document and Excel tables.

## **Authorisation of the 2018/19 fee and access plan application for submission to HEFCW**

In authorising fee and access plan applications to be submitted to HEFCW, governing bodies:

- i. confirm that the information provided in this 2018/19 fee and access plan application is accurate at the time of writing, and is based on verifiable data.
- ii. confirm that: **[delete one or more statements, as appropriate]**
  - a. it is acceptable for HEFCW to use financial, quality and/or other information/data that it holds about a currently regulated applicant, regardless of whether the information/data was originally provided for purposes of regulation under the 2015 Act;
  - b. it is not acceptable for HEFCW to use financial, quality and/or other information/data that it holds about a currently regulated applicant for purposes of regulation under the 2015 Act; and
  - c. it is submitting new, up-to-date, more recent information/data to inform HEFCW's assessment.
- iii. understand that HEFCW reserves the right to undertake a visit to applicants to better understand eligibility related to the organisation and management of financial affairs, the data submitted on fee and access plans and the quality of education provided on, or on behalf of, applicants.

Please insert the fee and access applicant institution name here

- iv. understand that it must provide HEFCW and/or HEFCW's agent, with information, assistance and access to its facilities and the facilities of other bodies providing higher education on its behalf.
- v. understand that HEFCW may carry out, or arrange for an agent to carry out, a review relating to the quality of education provided by, or on behalf of the applicants, and governing bodies must take into account any advice given to it by HEFCW or the body appointed by HEFCW for this purpose.
- vi. confirm that all education provided by, or on its behalf, regardless of the level or location of the provision has been taken into account in fee and access plan applications.
- vii. confirm that the institution is at a low risk of failure on financial grounds over the medium to long term.
- viii. confirms that the accounts are audited each year by a registered auditor and that the registered auditor is not the same firm and/or individual that prepared the accounts.
- ix. understand that the institution must comply with Competition and Markets Authority (CMA) guidelines for higher education.
- x. understand that any financial commitments to students made in the original 2017/18 fee and access plan, as approved by HEFCW, must be honoured.

<b>2018/19 fee and access plan submission to HEFCW<sup>4</sup></b>	
Date of governing body approval:	
Governing body authorised signature:	
Date:	
<b>Updated/Final 2018/19 fee and access plan submission (where applicable)</b>	
Date of Governing Body approval:	
Governing body authorised signature:	
Date:	

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<sup>4</sup> Fee and access plans published on institutions' websites can include only the date of the final version submitted by the governing body and approved by HEFCW.

Institutional fee and access plan 2018/19				
Table A: Fee levels and fee income and investment, 2018/19				
Institution name:				
Institution UKPRN: <input type="text"/>				
Data relating to FT UG and FT PGCE (QTS) courses that you have control of, that come under the post-2012/13 fee regime in 2018/19, are to be returned in this table.				
If you provide courses that have a year out, such as a year out on an industrial placement, or a year abroad, and different fee levels are charged for these years, then this should be taken account of in calculating the average fee and the total fee income returned on this table.				
For further guidance and definitions used in this table, please see <b>Annex B</b> of the guidance.				
a) What is your highest proposed fee rate for:				
				£
Full-time undergraduate				<input type="text"/>
Full-time PGCE (QTS)				<input type="text"/>
b) Will the proposed fees in a) (above) be charged for all full-time undergraduate higher education and PGCE (QTS) provision at your institution or provided on your behalf?				
				Enter Yes or No
Full-time undergraduate				<input type="text"/>
Full-time PGCE (QTS)				<input type="text"/>
c) If no, what is your average (mean) fee per full-time undergraduate and PGCE (QTS) student likely to be?				
				£
Full-time undergraduate				<input type="text"/>
Full-time PGCE (QTS)				<input type="text"/>
All FT UG/PGCE (QTS) students in plan				<input type="text"/>
d) What post-2012/13 fee regime income do you expect to receive in 2018/19? You should include all fee income received per full-time undergraduate and PGCE (QTS) student.				
				£
Full-time undergraduate				<input type="text"/>
Full-time PGCE (QTS)				<input type="text"/>
<b>Total</b>				<b>0</b>
e) Please provide details of how much fee income you expect to invest in relation to equality of opportunity and promotion of higher education. Where higher education providers had 2017/18 plans the proportion of total income invested in 2018/19 must be at least the proportion invested in 2017/18. For those applicants, HEFCW has provided below the 2017/18 amount and percentage of total income.				
Total amount to be invested in: Equality of opportunity Promotion of higher education <b>Total</b>	2018/19		2017/18	
	£	% of total income	£	% of total income
	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
	<b>0</b>		<b>0</b>	
If the proportion to be invested in 2018/19 is less than in 2017/18 please provide commentary below:				
<input type="text"/>				

**Institutional fee and access plan 2018/19****Table B: Fee and access plan income forecast expenditure, 2018/19**

Institution name:  
Institution UKPRN:

Forecast expenditure of the fee income returned in Table A, provided against the categories below, is to be returned in this table.

**Guidance note**

The categories take account of the Welsh Government (WG) guidance to HEFCW on fee and access plans found in Annex A part 2 of HEFCW circular W16/03HE\* (paragraphs 4.18 and 4.19). Applicants should refer to paragraph 4.15 of the WG guidance on fee plans in completing this table and categorise expenditure on fee and access plan objectives against the categories below.

The categories of Equality of opportunity expenditure relate specifically to individuals from groups under-represented in higher education. HEFCW recognises that each applicant may choose to include similar activities under different categories.

Student financial support activities will be a part of the applicant's total investment in categories of expenditure to support equality of opportunity and/or the promotion of higher education (as set out in Table B (a) and (b)). Table B (d) below asks applicants to separately identify forecast expenditure on student financial support activities **already included** in (a) and (b).

Applicants should set out their level of expenditure against each appropriate category. Not all categories will necessarily have expenditure returned against them.

Where expenditure is forecast in more than one category, it should be split between categories. Total expenditure against a) and b) should match the equivalent returned in Table A.

**\*Annex A Part 2 of HEFCW circular W16/03HE****2018/19 fee and access plan income forecast expenditure**

## a) Equality of opportunity

	2018/19 £	2017/18 £
Categories of expenditure to support individuals under represented in HE:		
1. Promote and safeguard fair access to higher education, including identifying individuals with the greatest potential from under-represented groups		
2. Attract and retain students and potential students from under-represented groups		
3. Raise the educational aspirations and skills of people from under-represented groups to support success in higher education		
4. Support and increase retention, progression and completion, particularly people from low participation neighbourhoods, looked after children, care leavers and carers		
5. Improve the higher education experience for groups under-represented in higher education		
6. Provide to under-represented groups effective information, before and during their studies		
7. Provide high quality academic and welfare support to groups under-represented in higher education		
8. Support the progress to employment or further study of groups under-represented in higher education		
9. Other, for example fee and access plan evaluation		
<b>Total</b>	<b>0</b>	<b>0</b>
Percentage of forecast expenditure to be spent on Equality of Opportunity	#DIV/0!	#DIV/0!

## b) Promotion of HE

	2018/19 £	2017/18 £
Categories of expenditure to deliver:		
1. More effective engagement with private, public or voluntary bodies and communities in Wales		
2. Improve the quality of learning and teaching, with reference to the quality of the student experience		
3. Strengthen the employability of Welsh graduates		
4. Promote Welsh higher education more effectively internationally		
5. Deliver sustainable higher education		
6. Raise awareness of the value of higher education to potential students		
7. Other, for example fee and access plan evaluation.		
<b>Total</b>	<b>0</b>	<b>0</b>
Percentage of forecast expenditure to be spent on Promotion of HE	#DIV/0!	#DIV/0!

## c) Total forecast expenditure of 2018/19 fee and access plan income, a) + b)

	2018/19 £	2017/18 £
	<b>0</b>	<b>0</b>

## d) Student financial support (already included in a) and b) above)

	2018/19		2017/18	
	£	Anticipated student numbers supported	£	Anticipated student numbers supported
Fee waivers				
Bursaries				
Scholarships				
Hardship funds				
Provision of financial management advice and skills				
Other financial support				
<b>Total</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>
Percentage of forecast expenditure to be spent on student financial support	#DIV/0!		#DIV/0!	

If the proportion to be invested in 2018/19 is less than in 2017/18 please provide commentary below:





**Institutional fee and access plan 2018/19****Table E: Partnership arrangements and fee income for students of all modes and levels, including further education and below, for partnership provision based in the UK that is not already included on Table D, 2018/19**

Institution name:  
Institution UKPRN:

This table should be completed by all providers who franchise out to other providers or are parents of subsidiaries that are not submitting their own fee and access plan or validate provision that is delivered by another provider which is not part of a franchise arrangement where the other provider has control of the provision.

The table should be completed for all modes and levels of study, including further education and below.

**Any provision that has already been reported on Table D**, i.e. provision franchised out to a charitable provider and provision delivered by a charitable subsidiary where you are the parent of that subsidiary and the subsidiary is not submitting their own fee and access plan, that is under the post-2012/13 fee regime, **should not be reported here**. Any provision that you only validate, that you do not provide, but that is under the post-2012/13 fee regime, and any FT UG/PGCE (QTS) provision that you franchise out to a non-charitable provider or that is not under the post-2012/13 fee regime, will be reported here.

The table should be completed only where the other provider or the subsidiary are in the UK and the students are based in the UK.

The guidance below gives the categories of courses for which information should and shouldn't be returned.

**Guidance note****Do include** information about courses:

- That you franchise out to another charitable or non-charitable provider.
- That are delivered by a charitable or non-charitable subsidiary, where you are the parent of that subsidiary, and the subsidiary is not submitting their own fee and access plan.
- That you do not provide and that you validate only, whether or not the provider is a charity.

**Do not include** information about courses:

- That you provide and control which are validated by another body but are not part of a franchise arrangement.
- That you provide, control and validate yourself.
- That you provide and control, that are validated by you, your parent or another body, where you are a subsidiary of that parent.
- That you provide on behalf of another provider via a franchise agreement.
- That are delivered by a subsidiary, where you are the parent of that subsidiary, and the subsidiary is submitting their own fee and access plan.

If FT UG/PGCE (QTS) provision under the post-2012/13 fee regime is covered by the same agreement as other provision that is not under the post-2012/13 fee regime, the partnership should be reported both on this table and Table D. The forecast numbers of students and income reported on this table should exclude any already reported on Table D.

Where partnership agreements have been signed before 1 September 2015 please confirm that they include an addendum confirming the provision is covered under the HE Act. **Where no such addendum exists, an explanation is required and should be submitted with the completed Annex Aii.**

For further guidance and definitions used in this table, please see **Annex B** of the guidance.

Row	Type of arrangement (please choose from drop down list)	Partner or subsidiary name	Partner or subsidiary address	Date of partnership agreement DD/MM/YYYY	Where date of partnership agreement is before 1 September 2015, there is an addendum that confirms the provision is covered under HE Act	Forecast total number of students	Forecast total income from the arrangement (£)
1							
2							
3							
4							
5							
6							
7							
8							
9							
10							

**Institutional fee and access plan 2018/19**

**Table F: Partnership and campus arrangements and fee income for students of all modes and levels, including further education and below, for partnership and campus provision based outside the UK, 2018/19**

Institution name:  
Institution UKPRN:

This table should be completed by all providers who have partnership arrangements or campuses that are based outside the UK, including the EU, for all modes and levels of study, including further education and below.

**Guidance note**

All types of partnership should be included in this table, including a physical presence (e.g. a campus of the provider), a local partnership (e.g. a franchise arrangement or a validation arrangement) and distance learning only where the student is based outside the UK and the course is provided in partnership with a non-UK partner.

Six types of partnership provision are included in the drop down list in the 'Type of partnership arrangement' column. The types match those used in the in-year TNE survey carried out by HEFCW in 2015. Guidance notes in Annex B contains a description of these categories.

Where partnership agreements have been signed before 1 September 2015 please confirm that they include an addendum confirming the provision is covered under the HE Act. **Where no such addendum exists, an explanation is required and should be submitted with the completed Annex Aii.**

For further guidance and definitions used in this table, please see **Annex B** of the guidance.

Row	Type of partnership/campus arrangement (please choose from drop down list)	Partner/campus name	Partner/campus address, including country	Date of partnership agreement/campus commencement DD/MM/YYYY	Where date of partnership agreement is before 1 September 2015, there is an addendum that confirms the provision is covered under HE Act (✓)	Forecast total number of students	Forecast total income from the arrangement (£)
1							
2							
3							
4							
5							
6							
7							
8							
9							
10							

