

Cylchlythyr | Circular

Higher Education Data Requirements 2019/20

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To: Heads of higher education institutions in Wales
Principals of directly-funded further education institutions
in Wales
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This circular informs higher education providers of the higher education data used to calculate funding allocations; to monitor National Measures; to monitor equality and diversity; for publication; for provision to Coleg Cymraeg Cenedlaethol; for the HESA student record data quality analysis; to monitor part-time fee waivers, degree apprenticeships and PGT Masters interim support and to inform policy.

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Introduction

1. This circular informs higher education providers (HEPs) of the higher education (HE) data used for the following purposes:
 - the calculation of funding allocations;
 - monitoring National Measures;
 - monitoring equality and diversity;
 - providing data to Coleg Cymraeg Cenedlaethol about Welsh medium provision;
 - publication;
 - analysing HESA student record data quality;
 - monitoring part-time fee waivers;
 - monitoring degree apprenticeships;
 - monitoring PGT Masters interim support, and,
 - informing policy.

In this circular, HEPs comprise further education institutions (FEIs) providing higher education and higher education institutions (HEIs).

A description of the data extracted from the Higher Education Statistics Agency (HESA) student record via the HESA Information Reporting Interface Service (IRIS) for end of year monitoring (EYM) is not included in this circular. Instead Annex K of the circular [W19/19HE: End of Year Monitoring of Higher Education Enrolments 2018/19](#) should be referred to for details of the data extracted.

2. Funding methods for 2020/21 are not final at the time of publication of this circular. Therefore it should be noted that any assumptions about data and methods used to allocate funding set out in this circular are based on those used for 2019/20 funding which may change for 2020/21.

Main changes for 2019/20

3. The main changes included in this circular compared to [W18/20HE: Higher Education Data Requirements 2018/19](#) are the addition of the higher cost subjects premium to the teaching funding annex and new annexes for national measures, monitoring degree apprenticeships, and monitoring PGT Masters interim support.

Sources of Data

4. The Higher Education Funding Council for Wales (HEFCW) uses data from its own surveys, data collected by HESA, data provided by the Student Loans Company (SLC) and data from the National Student Survey (NSS) in carrying out the purposes described in paragraph 1 above. Other data such as Universities and Colleges Admissions Service (UCAS) data are also used to inform policy and provide information about the HE sector in Wales.

5. HEFCW collects data from HEPs in Wales through:
 - the higher education students early statistics (HESES) survey; and
 - the student and finance forecasts requests (HEIs only).
6. HESA collects data from all HEIs in the UK on:
 - student activity, including graduate outcomes;
 - information for students through the Unistats return
 - finance;
 - higher education business and community interaction (HEBCI);
 - staff; and,
 - estates management.
7. Since the 2016/17 academic year, HESA collects the following data from Welsh FEIs providing HE directly funded by HEFCW:
 - student activity, including graduate outcomes;
 - information for students through the Unistats return
8. Prior to 2016/17, data from Welsh FEIs providing HE directly funded by HEFCW was collected on the Welsh Government (WG) Lifelong Learning Wales Record (LLWR). Any data analysis relating to the 2015/16 academic year and before for FEIs is based on LLWR data.
9. Readers of this circular are assumed to be familiar with the HESES and EYM surveys, the HESA records and surveys, and the 2014 Research Excellence Framework (REF) (HEIs only). The latest HESES, EYM and forecasts circulars are available on the [HEFCW website](#); the latest HESA data manuals are available on the [HESA website](#) and REF circulars are available on the [REF website](#). 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 data

10. HESA data used in the allocation of teaching (HEIs and FEIs) and postgraduate research (PGR) training (HEIs only) funding are subject to confirmation by HEPs that HEFCW have correctly extracted the data from the HESA records. In general, HEPs are not permitted to make amendments to data during the confirmation process if their HESA data are incorrect. The exception to this is when there are changes to the methods of extraction or the data used in funding, or where a different source of data is used. In these cases, it is likely that we will allow amendments in the first year of the changes. The funding methods and data to be used for 2020/21 funding are not yet final so it is possible there will be changes to methods and data. HEPs will be informed once methods and data being used are finalised whether or not amendments to data will be allowed during the confirmation process.

11. It is important that HEPs are confident that all their HESA data are correct before final returns are made to HESA and the data are signed off. HEPs 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 HEPs' own scrutiny of the summaries output by IRIS, problems that HESA or HEFCW have brought to their attention, and issues and errors found through internal or external audits. In particular, HEPs should ensure that they study in detail the reports produced by HESA when they commit their data and make any necessary amendments as a result before signing off the data to ensure their data are credible.
12. A number of confirmation reports are made available in the IRIS system and are expected to be signed off and returned to HEFCW after the HESA student record submission has been signed off. For the 2018/19 HESA student record these include:
 - EYM
 - Part-time fee waiver
 - National measures
 - Degree apprenticeships monitoring
 - PGT Masters interim support arrangements monitoring

More information on what is required will be communicated separately and made available on the [IRIS web page](#) at the end of August.

13. For those data confirmations where amendments are not accepted, if there is an error in an HEP's HESA data, and this error would lead to the HEP being allocated funding greater than that to which it is entitled, the HEP will be expected to notify HEFCW so that the funding can be adjusted accordingly.

Data used in Funding Allocations

14. The credit-based teaching funding allocations for part-time (PT) undergraduate (UG) provision for 2019/20 were based on 2017/18 EYM data extracted from the HESA student record or 2018/19 credit value data collected on a supplementary table to the HESES 2018/19 survey, dependent on the preference of the HEP. Per capita funding was allocated for all modes and taught levels of study. Premium funding was allocated as follows:
 - Access and retention premium (PT UG only);
 - Disability premium (PT UG and FT and PT PGR);
 - Welsh medium premium (PT UG only);
 - Expensive subjects premium (clinical medicine and dentistry and Conservatoire Performance Element, FT UG only)
 - Higher cost subjects (FT UG only)

This circular assumes:

- that the credit-based teaching funding allocations for PT UG provision for 2020/21 will be based on 2019/20 HESES credit value data and,
- that per capita funding and the same premiums are being allocated with respect to the same groups of students for 2020/21 as in 2019/20.

It should be noted that this may change pending any changes made to funding methods for 2020/21 (see paragraph 2).

15. The access and retention, disability, Welsh medium, expensive subjects and higher cost subjects premiums and the per capita allocation are based on retrospective data taken from the HESA student record.
16. End of year data extracted from the HESA student record are used to calculate any adjustment to teaching funding at the end of the academic year to which the funding relates. For example, EYM data relating to the 2020/21 academic year will be used to calculate any adjustment required to the 2020/21 credit based funding. Details of the end of year data extracted from the HESA record are contained within Annex K of the EYM circular (see paragraph 1) and are not reproduced here.
17. More information on data used in teaching funding, including the premium and per capita elements, is set out in Annex A.
18. The Quality Research (QR) funding allocation has remained unchanged between 2015/16 and 2019/20 and is based on data returned to the 2014 REF and data extracted from the HESA 2013/14 student and staff records. This circular sets out the QR funding method as for 2015/16 in Annex B. However, the QR funding allocation method for 2020/21 is yet to be finalised as indicated in paragraph 2, so it should be noted that the method set out in Annex B may change.
19. The PGR training allocation for 2019/20 was based on retrospective data taken from the HESA student record. Further information on the HESA fields used is provided in Annex C.

Data used to monitor targets from HEFCW's previous Corporate Strategy

20. HEFCW has a new Corporate Strategy and a set of national measures which are now being monitored, refer to paragraph 32. Therefore 2017/18 was the last year of data for which HEFCW monitored the targets from the [previous Corporate Strategy](#). However, for 2018/19 data, for HEPs own use, we continue to include the HESA student record based targets in IRIS.
21. Data used to monitor progress towards the targets in our previous Corporate Strategy are taken from the HESA student and finance records; the HESA DLHE survey; the published UK HE PIs; and the HESA HEBCI survey. Other sources, such as the National Student Survey (NSS), the Quality Assurance Agency (QAA) institutional review outcomes, the 2014 REF outcomes and the HEFCW institutional risk review process are also used. Data for FEIs are included in a subset of the targets and, prior to 2016/17, were either taken

from the EYM or collected directly from the FEIs; for 2016/17 onwards these data are taken from HESA.

The targets monitored using these data are:

- Widening access;
- Participation;
- Retention;
- Part-time;
- National Student Survey;
- Welsh medium;
- Overseas students;
- Quality;
- Initial Teacher Training;
- Employment;
- Employability;
- Continuing Professional Development;
- Collaborative Research Income;
- Research Council income;
- REF;
- Reconfiguration and collaboration; and,
- Governance.

22. A description of each of these targets and the data used to monitor them is included in Annex D.

Data provided to Coleg Cymraeg Cenedlaethol

23. HEFCW provide data each year, under a data sharing agreement, to Coleg Cymraeg Cenedlaethol. The fields and criteria used to extract the data are detailed in Annex E.

Data used to monitor equality and diversity

24. HEFCW currently use HESA data to monitor the ethnicity, disability status, gender and age of students at Welsh HEPs 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 for publication

25. HEFCW publish statistical reports on an ad hoc basis. Details of the data used in any statistical reports will be included with the report. Publications can be accessed from the ['About Higher Education in Wales', 'Statistics'](#) area of the HEFCW website.

HESA student record data quality analysis

26. HEFCW provides a summary (referred to as the 'HESA data quality analysis') to each HEP of its data compared with the sector's data for a variety of fields which are used for funding, analysis and monitoring, which is designed to aid improvement of the quality of the student record and to be useful to both HEFCW and HEPs.
27. These summaries are intended to complement the reports which are provided by HESA when HEPs submit their student record and to allow HEPs to compare their data with that for the sector.
28. The summaries produced by HEFCW, are included in the IRIS output so HEPs can see their own data for the current year and historic data for both their HEP and for the sector. Summaries with sector data for the latest year are issued to HEPs later in the year after sector data have been signed off and provided to HEFCW by HESA.
29. Further information on the fields used in the HESA data quality analysis can be found in Annex G.

Part-time fee waiver

30. Data used to monitor the actual value of part-time fee waivers claimed by HEPs under the HEFCW scheme are extracted from the HESA student record via the IRIS system. Data extracted via the IRIS system will be signed off by HEPs to confirm the data are correct. The process for last year can be found in [W18/27HE: The HEFCW part-time undergraduate fee waiver scheme](#). The equivalent circular for this year is due to be published in August 2019. Details of the data extracted for HEPs to sign off can be found in Annex H.

Income analysis

31. As part of the work carried out to monitor income at Welsh HEPs, data relating to student numbers and FTE at Welsh HEPs were used. A summary of the data is included in the IRIS output. Details of the criteria used to extract the data can be found in Annex I.

National measures

32. A set of [national measures](#) for higher education performance was published in response to the following objective in HEFCW's [current Corporate Strategy](#) which covers the period 2017 to 2020:
 - develop measures by which to monitor the performance and delivery of higher education providers including publication where appropriate.

33. Data used to monitor national measures are taken from the HESA student, staff, finance and aggregate offshore records; the HESA DLHE and graduate outcomes surveys; the published UK HE PIs; and the HESA HEBCI survey. Other sources, such as the National Student Survey (NSS), the Quality Assurance Agency (QAA) and the Office of the Independent Adjudicator (OIA) are also used. Data for FEIs are included in a subset of the targets and these data are taken from the HESA student record, the HESA DLHE and graduate outcomes surveys; the published UK HE PIs, the NSS, the QAA and the OIA.

The measures monitored using these data are:

- Widening access;
 - Participation;
 - Retention;
 - Part-time;
 - National Student Survey;
 - Welsh medium;
 - Student mobility;
 - Quality;
 - Complaints
 - Employment;
 - Graduate employment;
 - Continuing Professional Development;
 - Total HE-BCI income per FTE of academic staff
 - Spin off activity;
 - Start - up activity (graduate);
 - Research Staff;
 - PGR students;
 - PhDs awarded;
 - Research income;
 - EU/Overseas students;
 - EU/ Overseas staff;
 - Transnational education
34. A description of each of these measures and the data used to monitor them is included in Annex J.
35. Other areas which are monitored and included in the list of national measures include
- Diversity of the student population;
 - REF impact outcomes;
 - REF outcomes;
 - Financial health;
 - Estates;
 - Senior staff pay and gender pay gap;
 - Equality and diversity staff data

but individual measures are not specified, instead these are areas which are already analysed more widely and published by HEFCW. Information on where to find these analyses can also be found in Annex J.

36. The HESA student record based measures are extracted via the IRIS system and will be signed off by HEPs to confirm the data are correct.

Data used for monitoring degree apprenticeships

37. Circular [W18/13HE](#) announced funding arrangements for degree apprenticeships in Wales following confirmation from Welsh Government that degree apprenticeships were to be funded through HEFCW, and requested initial proposals for funding. Circular [W18/29HE](#) provided more information on funding arrangements and requested bids for funding. Circular [W18/32HE](#) invited HEPs to bid for additional numbers and outlined the collection of monitoring data within year which was used for the calculation of funding.
38. Data used to monitor the number of students enrolled on degree apprenticeships at HEPs are extracted from the HESA student record via the IRIS system and will be signed off by HEPs to confirm the data are correct. Details of the data extracted for HEPs to sign off can be found in Annex K.
39. The HESA data provided in the IRIS system will be used to verify the data that were collected manually earlier in the year which were used to allocate funding. It is possible that adjustments to funding will be required. If this is the case, information on how adjustments to funding will be implemented will be communicated with HEPs separately.

Data used for monitoring PGT Masters interim support arrangements

40. The PGT Masters interim support funding was allocated to HEPs to provide to Masters students entering study in 2018/19. It was a one-year allocation prior to student support funding being available through the SLC. The funding was announced in HEFCW circular [W18/01HE](#). We are monitoring the numbers included in the calculation of the funding through the IRIS system and will require sign off of the numbers to confirm the data have been correctly extracted and reflect the recruited number of Masters students. Details of the data extracted for HEPs to sign off can be found in Annex L.
41. The extracted data will be used to calculate adjustments to funding where the recruitment of Masters students is less than the estimated recruitment used in the calculation of funding.

Other uses of data

42. Any of the data described may be used to inform policy. In particular, data on students taught in whole or in 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. Data relating to students at directly funded FEIs or franchised to FEIs from HEIs will be used to inform policy on HE in FEIs. We also use data to monitor information submitted on the fee and access plans and annual monitoring returns.

43. HESA data are used in the calculation of the indicators contained within the annual [Performance Indicators in Higher Education in the UK](#) (PIs) publication. HESA produce PIs on behalf of all the HE funding and regulatory bodies of the UK. HEPs should be mindful of the fields used in the calculation of the PIs when returning HESA student data as errors could potentially lead to suppression of PIs in the published tables.
44. HESA are committed to publishing as much of the data they hold as possible by 2021. They have already made a start and have an [open data strategy](#) which sets out their plans. HEPs should therefore be mindful that any of their data that fits the criteria of open data could be published.
45. HESA operate a [fixed database facility](#) which provides HEPs with the opportunity to make post-collection amendments to a dataset following closure of the live data collection. This facility is separate to the main data collection process, is subject to a charge and is only available at the express authorisation of HEFCW to a HEP. The fixed database is open for some time after the corresponding live data collection has closed, therefore providers should be aware that data they submit to the fixed database may not be used immediately and may only appear in future analysis of time series.
46. 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.
47. Data relating to forecast student numbers are collected through the forecasts requests circular. These data are used for HEFCW's internal monitoring and planning processes and are not published at provider level.
48. It should be noted that although this circular details HESA fields used by HEFCW, any of the fields that HEPs return on the HESA records may be used in future for funding, for monitoring purposes, to inform policy or for publication, and are also used by other organisations. For example, in the calculation of the Teaching Excellence Framework (TEF) metrics. Therefore, it is important that all HESA fields are completed fully and accurately to show a fair picture of the provision and activity at the HEP.

Audit

49. All data used for funding and monitoring are potentially subject to audit. Details of the audit process for higher education data can be found in circular [W18/33HE: Audit of Higher Education Data 2018/19 to 2021/22](#).

Use of HESA derived fields

50. Where HESA derived fields have been used they are shown in the coding details in each relevant section of the Annexes that follow. All HESA derived fields are capitalised and begin with the letter X. HESA derived fields specifications for the 2018/19 [student record](#) and [staff record](#) are published on the HESA website. Where a derived field has been used, the algorithm used to derive the field from the original HESA record fields is also displayed.

Contents

51. 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 for monitoring the targets in HEFCW's previous Corporate Strategy
Annex E:	Data provided to Coleg Cymraeg Cenedlaethol
Annex F:	Data used for publication and monitoring
Annex G:	Data provided to higher education providers in the HESA student record data quality analysis
Annex H:	Data used for monitoring the part-time undergraduate fee waiver scheme
Annex I:	Data used in income analysis
Annex J:	Data used for monitoring national measures
Annex K:	Data used for monitoring and adjustment of degree apprenticeship funding
Annex L:	Data used for monitoring PGT Masters interim support

Further information

52. Any significant updates to the information contained in this circular prior to next year's publication of this circular, will be communicated to data contacts at HEPs. Any queries regarding this circular should be directed to Liz Heal (email hestats@hefcw.ac.uk, telephone 029 2085 9722).