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November 2012/10

HEFCE
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Guidance

This document sets out the information we need from institutions for our annual monitoring of access agreements and widening participation strategic assessments (WPSAs) for 2011-12, and for in-year monitoring of the National Scholarship Programme (NSP) for 2012-13.

All institutions with 2011-12 access agreements and/or WPSAs and/or 2012-13 NSP funding must submit a monitoring return to us by Thursday 10 January 2013.

How to complete your monitoring return

Access agreements and WPSAs 2011-12, and NSP 2012-13 (in-year)

Alternative formats

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How to complete your monitoring return

Access agreements and WPSAs 2011-12, and NSP 2012-13 (in-year)

To	Heads of higher education institutions in England Heads of further education colleges in England
Of interest to those responsible for	Implementation of access agreements, widening participation, National Scholarship Programme, Heads of Finance
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Introduction

What this document is about

1. This document sets out the information that OFFA and HEFCE need from institutions for our annual monitoring of access agreements and widening participation strategic assessments (WPSAs) for 2011-12, and for in-year monitoring of the National Scholarship Programme (NSP) for 2012-13.

2. All institutions with an OFFA-approved access agreement for 2011-12, and/or a WPSA for 2009-12, and/or an NSP allocation for 2012-13, must send us a monitoring return using the relevant workbooks via the HEFCE extranet.

How we will use the information you give us

3. OFFA will use your return to consider your institution's access performance, and the extent to which it has broadly met the commitments set out in its access agreement. We will also use it to understand trends in access agreement expenditure and outcomes across the sector.

4. HEFCE will use your return to better understand institutional expenditure on WP activity, what this expenditure is achieving, the extent of institutional evaluative activity, and the evidence available on the impact of WP activity and funding. This will help us continue to build an evidence base on the impact of WP activity, and to understand what HEFCE funds are used for.

5. HEFCE institutional teams and OFFA policy advisers use information from monitoring returns to inform discussions during institutional visits and dialogue with institutions.

6. Information relating to the NSP is required by the Department for Business, Innovation and Skills (BIS), to enable it to report on the progress of the programme to the Secretary of State and other Ministers.

7. As in previous returns, the data from some of the tables and commentary in the return will be published on the OFFA website. The guidance for each table makes it clear where this is the case.

8. We will publish a report on the outcomes of this monitoring by mid-2013. OFFA's annual report to Parliament also includes an overview of progress with access agreements.

Deadline for action

9. Returns must be submitted via the HEFCE extranet at <https://data.hefce.ac.uk> by **Thursday 10 January 2013**.

What has changed since the previous monitoring return?

Separate workbooks

10. This year, the monitoring return is divided into separate Excel workbooks for each area of information required (that is, on access agreements, WPSAs and NSP). This is to help streamline our processes and to make it clearer to you which sections you need to complete.

Changes to access agreement monitoring

11. For access agreement monitoring, our guiding principle has been to change as little as possible from the 2010-11 monitoring guidance. The limited changes we have made aim to simplify and/or clarify the return.

12. To capture bursary spend for students on courses that last longer than five years, we will collect data for six cohorts of students (academic years 2006-07 to 2011-12).

13. There is a new table (Table 5) to record information on your institution's equality and diversity activity within access agreements.

14. Table 6, which is a pre-populated table showing higher education institutions' (HEIs') Higher Education Statistics Agency (HESA) WP performance indicators (PIs) using HESA Table T1b, now shows your institution's progress between 2006-07 and 2010-11 and includes a marker to indicate how well an HEI is performing in the higher education sector. These changes aim to provide more context.

Changes to WPSA monitoring

15. We have not made any changes to the information requested on WP expenditure.
16. In response to feedback from institutions, we have extended the guidance on reporting against the pre-determined categories, and particularly on how to report staffing expenditure.
17. We have changed the specific information requested on evaluation of WP commitments. For 2010-11 monitoring, we asked for a brief assessment of the findings of your evaluation of WP activities, based on the three to five WP activities/initiatives/achievements that you identified as most successful. For 2011-12, we ask some specific yes/no questions on your evaluative activity, and ask for a brief commentary on your activity and plans. This should include: your most important findings from evaluation; how your outcomes from evaluation helped you in meeting your objectives and plans for WP; and your plans to improve evaluation.
18. In response to feedback from institutions, we have expanded our guidance and examples on what information we expect to see from institutions regarding evaluation, and have included advice on other resources for developing plans for evaluation.
19. We may make further changes for 2012-13 monitoring to reflect the changes to fees and funding from that date, and the fact that we requested interim widening participation strategic statements for 2012-13 to replace and update the WPSAs submitted in 2009.

Introduction of in-year NSP monitoring

20. We are required by BIS to provide in-year data on the NSP to enable it to report on the progress of the programme to the Secretary of State and other Ministers. To minimise burden on institutions, we have incorporated in-year NSP monitoring into this broader monitoring process.
21. Please note that the information we require for in-year NSP monitoring relates to the academic year 2012-13, while the rest of the return relates to 2011-12.

Advance information about 2012-13 NSP monitoring

22. In Annex B and Appendix 1 of this guidance we also provide information on what to expect in the 2012-13 final monitoring return for NSP, which will need to be submitted in early 2014. We are providing this provisional information now so that institutions can start to prepare their systems for NSP monitoring.
23. Further guidance on the final NSP monitoring return will be provided in OFFA and HEFCE's request for monitoring of 2012-13 access agreements, WPSAs and NSP which will be issued in autumn 2013.

What is the future for widening participation strategic statements?

24. The WPSAs submitted in 2009 ran until July 2012. We originally intended to request new three-year statements in 2012, but recognised that the changes in the higher education system and to HEFCE's method for funding teaching from 2012-13 and 2013-14 meant that institutions will be better able to produce three-year strategic statements at a later date.
25. In the meantime, we requested interim widening participation strategic statements for 2012-13 which institutions submitted in June 2012 (see HEFCE circular letter 11/2012, *Interim widening participation strategic statements for 2012-13*¹). We will issue further guidance on strategic statements in due course.

¹Available at www.hefce.ac.uk/pubs.

Getting started

Do you need to complete a monitoring return?

26. All HEIs and further education colleges (FECs) with an access agreement in 2011-12 and/or a WPSA covering 2009-12 and/or an NSP allocation for 2012-13, must complete one or more parts of this monitoring return.

- **If you had an access agreement in 2011-12**, you must complete part one of the monitoring return. See paragraphs 39-93 of this guidance.
- **If you submitted a WPSA in 2009**, you must complete part two of the monitoring return. See paragraphs 94-132 of this guidance.
- **If you have an NSP allocation for 2012-13**, you must complete part three of the monitoring return. Please see paragraphs 133-159 of this guidance.

27. You only need to complete those parts of the monitoring return that relate to your institution.

28. If your institution did not have an access agreement for 2011-12 **and** did not submit a WPSA in 2009 **and** did not receive an NSP allocation for 2012-13, you do not need to complete any part of this return and do not need to respond.

Why do we ask you to do this?

Access agreements

29. There is a statutory requirement for institutions to report to OFFA on the extent to which they have met the obligations set out in their access agreements, and on the progress they have made against their milestones and targets.

30. OFFA needs sufficient information to:

- monitor that institutions are meeting their commitments, including those to individual students, and are moving towards the targets set out in their access agreements
- provide an annual report to Parliament containing an overview of progress with access agreements.

Widening participation strategic assessments

31. The WPSA annual report enables institutions to:

- be accountable for the HEFCE WP allocation
- demonstrate the full extent of their expenditure on WP
- show how their WP approaches/activities are informed by evidence of impact and effectiveness.

32. This will improve HEFCE's understanding of where institutions are spending money on WP outside of their access agreements and which WP activities deliver the most impact.

33. The information you provide on expenditure and activity will complement the broader and more forward-looking information on WP priorities requested from institutions in the interim widening participation strategic statements for 2012-13.

NSP in-year monitoring

34. This early monitoring return is required by BIS, to enable it to report on the programme's progress to the Secretary of State and other Ministers. For further information see HEFCE publication 2012/09, *National Scholarship Programme 2013-14: Provisional allocations and guidance for institutions*².

Where are the monitoring return tables?

35. We have included copies of the monitoring return tables at Annex A, for reference only. The actual tables for you to fill in will be available to download from the HEFCE extranet at <https://data.hefce.ac.uk> from November.

36. In order to download the tables you must register for the HEFCE extranet. To register, you will need a 'group key' (a code that identifies your institution's specific monitoring return). We will send group keys by post to all registered OFFA contacts in November, once the HEFCE extranet opens for submissions. For institutions without access agreements, we will send the keys to the named contact for WPSA or NSP.

² Available at www.hefce.ac.uk/pubs.

37. OFFA will also use the extranet to give you information to help you complete your monitoring return (see paragraph 50).

38. Any technical queries relating to the use of the HEFCE extranet should be directed to Hannah Partridge (email: h.partridge@hefce.ac.uk, tel: 0117 931 7051).

How to complete part one: 2011-12 monitoring return for OFFA access agreements

If you had an access agreement for the academic year 2011-12, you must submit information for your institution on:

- ✓ **higher fee income and how many students paid fees above the basic level, by fee amount and year of entry (Table 1, for guidance see paragraphs 39-47)**
- ✓ **expenditure on bursaries and scholarships to students from lower-income and other under-represented groups, by income band and year of entry (Table 2a, for guidance see paragraphs 48-57)**
- ✓ **how many students from lower-income and other under-represented groups received a bursary or scholarship, by income band and year of entry (Table 2b, for guidance see paragraphs 58-64)**
- ✓ **actual expenditure on additional outreach activities and an explanation where spend varies substantially from your original estimates (Table 3, for guidance see paragraphs 65-71)**
- ✓ **a report and commentary on progress against the milestones and targets you set in your access agreement (Tables 7 and 8, for guidance see paragraphs 83-92).**

We are also collecting information on equality and diversity activity (Table 5, for guidance see paragraphs 73-77).

If you did not have an access agreement for 2011-12, you do not need to complete part one.

Table 1 – Higher fee income, by fee amount and year of entry

Action

39. Please indicate the variable fee you charged, and how many current-system students studying in 2011-12 were charged this fee, broken down by year of entry. Include all regulated home/EU full-time undergraduates, including full-time initial teacher training (ITT) and full-time undergraduate social work students.

40. Where there are different fees for different courses, please disaggregate the number of students in Table 1a. You should also include fees charged and student

numbers from all full-time undergraduate franchised courses.

41. If the total number of students charged above the basic fee has substantially changed between your 2010-11 return and this return, please provide an explanation below Table 1a.

42. Where the formulas in Table 1a mean that the figures provided aren't an accurate reflection of your total higher fee income – for example, where some of your students have withdrawn from their courses or intercalated and not paid the full fee – you should make any negative adjustments to higher fee income in Table 1b. You should also briefly explain this adjustment in the commentary section. For example, where a student paying the maximum fee of £3,375

withdrew and paid fees of £2,150, you would include them in your student count in Table 1a but also record a negative adjustment in Table 1b of £1,225. If the student received a full refund you don't need to record them.

43. If you do not hold data on higher fee income or the number of students by year of entry, and have had to make estimates, you should record this in Table 1b, and provide a brief explanation in the commentary section.

44. Table 1c calculates automatically, using the data you've provided in Tables 1a and 1b. You should check that the total higher fee income figure in Table 1c reflects your actual higher fee income for 2011-12.

Explanatory notes for Table 1

45. The 'higher fee income per student' column in Table 1a is calculated automatically and is equal to the variable fee charged minus the basic fee (£1,345 in 2011-12). For example, if you've charged the maximum fee of £3,375 for 2011-12, the 'higher fee income per student' is £2,030 (£3,375 - £1,345). The total rows at the bottom of Table 1a are also calculated automatically.

46. For students on sandwich courses, courses provided in conjunction with an overseas institution, and others on the final academic year of a course, where their academic year is less than 15 weeks' attendance, the maximum fee for 2011-12 was £1,680 and the basic fee was £665³. Table 1a contains a separate section for recording these students.

47. The following should **not** be recorded in Table 1:

- fee income from courses not covered under the Higher Education Act 2004, such as old-system⁴ students, part-time courses or courses provided under NHS contracts – for example, nursing, midwifery, allied health professions and medicine (year five onwards)

- students on part-time courses or flexible ITT courses. These were not regulated in 2011-12
- students who were no longer studying in 2011-12. Tables 1a and 1b represent a 'snapshot' of the students still paying a fee in the 2011-12 academic year, so we would not normally expect large numbers of students on courses which started before 2009-10 (unless, for example, you have substantial numbers on four or five year courses).

Table 2a – Expenditure on bursaries and scholarships to under-represented groups

Action

48. Please state your actual expenditure on bursaries and scholarships for students from under-represented groups⁵ between 1 August 2011 and 31 July 2012. You should split your expenditure into the following groups, and only record these students in your return:

- Students in receipt of full state support.
- Other students with residual household incomes up to £50,020.
- Students from other under-represented groups where either:
 - household income is unknown and you can't make estimates, or
 - household income is above £50,020.

49. You should include:

- expenditure that relates to previous academic years but was paid in 2011-12
- 'in-kind' awards such as discounts on accommodation and provision of laptops⁶
- bursaries and scholarships for students at franchise institutions.

³ See The Student Fees (Amounts) (England) Regulations 2004 SI2004/1932, Regulation 5 (a), (b), and (d).

⁴ See the glossary for a full definition of 'old system' for the purposes of this monitoring.

⁵ Sometimes also referred to as 'OFFA-countable' groups. See the glossary for full definition.

⁶ Note that some awards, such as laptops, are one-off payments. You should ensure that these are only recorded once in your monitoring returns and aren't counted each year. For example, a laptop given to an eligible student in 2010-11, and recorded in your 2010-11 monitoring return, should not be recorded again in 2011-12.

We will give you data to help you complete this table

50. As in previous years, we will give you Student Loans Company (SLC) income distribution data for your institution to help you complete this table. This will set out the numbers/proportions of current-system students (UK-domiciled) at your institution who applied for state finance in 2011-12, broken down by household income bands as set out in paragraphs 53-54.

51. In addition, if your institution subscribes to the full administrative service offered by the Higher Education Bursary and Scholarship Scheme (HEBSS), we will also give you information about the number of bursary holders that your institution has paid through HEBSS, and your institution's overall HEBSS expenditure. Again, this will be broken down by household income bands.

52. This data will be available via the HEFCE extranet from November.

Explanatory notes for Table 2a

53. We wish to identify the amount of money being directed to the lowest income group (that is, students in receipt of full state support). The income threshold for full state support varies according to year of entry, so you should provide information as follows:

- for entrants in 2006-07 and 2007-08, those with a residual household income in 2011-12 of up to £18,360
- for entrants from 2008-09 onwards, those with a residual household income of up to £25,000.

54. The threshold for students in receipt of partial state support also varies according to year of entry. However, for the purposes of our monitoring, we are asking you to report on residual household income up to the 2011-12 threshold of £50,020. This will ensure that the expenditure on which we report is sufficiently targeted, and will enable us to make comparisons with expenditure in previous years. Please therefore provide information as follows:

- for entrants in 2006-07 and 2007-08, those with a residual household income in 2011-12 of between £18,361 and £50,020

- for entrants from 2008-09 onwards, those with a residual household income in 2011-12 of between £25,001 and £50,020.

55. For the purposes of our assessment we only count expenditure on bursaries and scholarships paid to students from the under-represented groups set out in paragraph 48. Where figures are based on estimates, you should declare this in your monitoring return and briefly explain your calculations. Wherever possible, we would like you to record bursary expenditure by the income group of the beneficiary, rather than as 'students from other under-represented groups'. Please record students as follows:

- where you know the household income of the beneficiary – whether it relates to a means-tested payment or a non-means tested payment – you should allocate expenditure to the relevant income bracket
- if you do not know the beneficiary's household income; if your institution provides bursaries or scholarships awarded on other measures of under-representation that are countable by OFFA; or if you award bursaries regardless of a student's income, you may still be able to calculate estimated expenditure. Use the SLC income distribution data to work out the proportion of students who are likely to fall into each income group. For example, if you award bursaries to students from low-participation neighbourhoods (LPNs), you may not necessarily have information on household income, but you may still be able to estimate expenditure for each income group. You may need to apply a weighting if your experience indicates that beneficiaries are unlikely to be evenly distributed across income groups
- expenditure should only be listed under 'students from other under-represented groups' where you know that the students are from an under-represented group but household income is unknown and you can't make reasonably confident estimates. In 2010-11, only around 1 per cent of all bursary and scholarship expenditure was listed under this heading.

56. In some cases, residual household income may have been reassessed during the academic year, or a student may have withdrawn from their studies or not completed a full year or programme of study. In these cases, a student may have received a particular bursary package even though their circumstances have subsequently changed. You may include these students in your return based on their household income at the time they were originally assessed for a bursary.

57. The following areas should **not** be included in Table 2a:

- ring-fenced funds that were unspent in 2011-12 and are to be carried forward to future years
- any payments reported to OFFA in previous monitoring returns – you should only count expenditure in the year in which the benefit was received
- expenditure on bursaries and scholarships for students above a household income of £50,020 who aren't from an under-represented group
- expenditure that isn't paid directly to students as an award with a financial benefit, for example expenditure on the overall improvement of services for students and broader retention measures
- ring-fenced funding received by all institutions from the Government (for example, relating to the Access to Learning Fund)
- expenditure on historic bursaries and scholarships where funding was established before the introduction of variable fees and has continued and which aren't funded through higher fee income or the institution's own fundraising
- expenditure to students not covered under the Higher Education Act 2004, such as students on part-time courses and courses provided under NHS contracts – for example, nursing, midwifery, allied health professions and medicine (year five onwards)
- expenditure on students on part-time ITT courses, because these were unregulated in 2011-12.

Table 2b – Number of students in receipt of bursaries and scholarships to under-represented groups

Action

58. Please indicate how many of your students received bursaries in 2011-12, disaggregated by year of entry.

59. Where possible, you should tell us how many bursary holders there are in each income band as specified in your monitoring return template. We are interested in the number of beneficiaries rather than the number of awards, so if you give a student more than one bursary, you should only count them once. Where a student receives a core bursary based on income and a non income-related award, you should record them only once based on their income-related bursary.

60. For our assessment we will count all students in receipt of bursaries and scholarships from the under-represented groups set out in paragraph 48. As with Table 2a, you should attempt to allocate students to household income brackets, using estimates where necessary in the same way as set out in paragraph 55. Where figures are based on estimates, you should declare this and briefly explain your calculations.

Explanatory notes for Table 2b

61. The data in this table will help us to monitor that you have met your commitments to individual students.

62. We will publish the number of 'OFFA-countable' beneficiaries at individual institutions in our monitoring outcomes report, alongside the proportion of higher fee-paying students this number represents. It is therefore important to base your estimates on a reasonable rationale. We may need to contact you if a rationale isn't provided or is unclear. We may indicate in the monitoring outcomes report where figures are based on estimates rather than known.

63. The same areas set down in paragraph 57 should also not be included in Table 2b.

Tables 2c and 2d

Action

64. Tables 2c and 2d show your expenditure on bursaries and scholarships as a proportion of higher fee income and the proportion of your students in receipt of bursaries and scholarships. These tables calculate automatically, using the data you've provided in Tables 2a and 2b. Please check that the figures shown are in line with your expectations because we will use the data from these tables in our monitoring outcomes report.

Table 3 – OFFA-countable outreach spend – actual and expected

Action

65. Please tell us how much you spent on additional outreach in 2011-12, together with the commitments that were set out in your 2011-12 access agreement. Where your commitment was expressed in your access agreement as a percentage of your higher fee income, please indicate this as an amount (£).

66. Where we hold data for your institution on predicted outreach spend, we have pre-populated a figure in Table 3b based on the financial predictions you gave us in relation to your 2011-12 access agreement. Where no

figure is provided in Table 3b, this is because we do not hold data on your institution's predicted spend. We recognise this pre-populated figure may have changed and may no longer represent the intended expenditure for your institution. If there are substantial differences between the outreach spend you committed to in your access agreement and your actual expenditure, please give us an explanation focusing on the broad reasons for any difference. For example, your higher fee income may have been substantially less than forecast, or you may have met your additional outreach aims at a lower cost.

67. Where actual expenditure on outreach is more than 10 per cent below or 20 per cent above the estimate set out in your 2011-12 access agreement, please use Table 3c to explain this difference. For example, if you estimated that your expenditure on additional outreach would be £1,000,000, we would need an explanation from you if actual expenditure was below £900,000. Where your expenditure is considerably above your estimate (in this example, £1,200,000 or more) it is helpful for us to understand why. Where no figure is provided in Table 3b, you do not need to provide an explanation in Table 3c.

Explanatory notes for Table 3

68. The data in this table will enable us to monitor that your additional outreach expenditure is consistent with the commitments set out in your 2011-12 access agreement.

69. The expenditure you report on outreach should only relate to funds committed from higher fee income and other new and additional (post-2006) sources of funding. It should relate to additional outreach activities, or a continuation of existing activities where previous funding may have been reduced or discontinued. This may include relevant staffing and overhead costs.

70. If your access agreement did not include a commitment to spend part of your higher fee income on additional outreach activity, but additional expenditure has been incurred, you may report on this.

71. We are aware that outreach is embedded in the core activities of many institutions, including marketing, and that it can be difficult to separate out the money from higher fee income that is specifically used on additional outreach. Where this is the case, you may compare year on year budgets for activities that fall within our definition of outreach and include any above-inflationary increases as expenditure. The actual additional outreach expenditure provided in Table 3a will be used to populate the OFFA financial outcomes summary in Table 4. We will report on progress against these commitments in our monitoring outcomes report.

Table 4 – OFFA financial outcomes summary

Action

72. Table 4 shows the institutional-level data that we will include in our monitoring outcomes report, based on the data you've given us. This table calculates automatically, and includes your higher fee income, your expenditure on access measures, and the proportion of students in receipt of bursaries and scholarships. Please check that the figures shown are in line with your expectations.

Table 5 – Equality and diversity activity in 2011-12

Action

73. Table 5 provides an opportunity for you to write a brief commentary (up to 500 words) on equality and diversity activities delivered as part of your 2011-12 access

agreement. This is separate from any reporting against equality and diversity-related milestones or targets that you included in your access agreement, which will be included in Table 7.

74. Completing this table will provide a useful starting point and benchmark for subsequent years' reporting and may particularly benefit institutions who haven't yet included equality and diversity-specific targets and milestones in their access agreement.

75. Any OFFA-countable expenditure you describe should also be included in Tables 2 and 3 as appropriate.

Explanatory notes for Table 5

76. Both OFFA and HEFCE are taking an enhanced interest in supporting equal access and fair treatment for all students. Although it wasn't a specific requirement in our guidance on drawing up 2011-12 access agreements, we are keen to better understand institutional focus on equality and diversity activities. We hope this will give us a sector-wide indication of institutional commitment to equality and diversity at this time, and help identify examples of good practice that will aid us in developing future guidance and policy in this area.

77. We expect that you're investing in activity in this area to address issues impacting on students with specific protected characteristics as part of your obligations under the Equality Act 2010, and some of that spend will be countable under your access agreement. For example, you may wish to tell us about funding spent on initiatives to attract and support students from under-represented groups. You may also wish to address issues linked to retention rates for different groups of students and issues linked to attainment and employment gaps between different groups of students.

78. In future access agreements and monitoring returns, we will require greater evidence of commitment and impact of work on equality and diversity.

Table 6 – HESA WP performance indicators

Action

79. For HEIs, Table 6 will be pre-populated with your institution's HESA PI data⁷. You may wish to check the figures.

80. For FECs, there will be no data in the table because only one year of data has been published so no trend data is currently available⁸. Therefore no action is required of FECs here.

Explanatory notes for Table 6

81. For HEIs, we have provided data from Table T1b of the HESA PIs (the percentage of state school, NS-SEC and LPN young entrants) to give a context for your institution's overall performance. Please note that the 2011-12 data is not given, because it won't have been finalised before the submission deadline for the returns. You may, however, wish to consider indicative HESA figures, where available.

82. For HEIs, we have included the location-adjusted benchmark, and a '+' or '-' marker to establish how well an HEI is performing in the higher education sector. This is the same marker that is used in the published HESA PI tables.

Table 7 – Access agreement milestones and targets

Action

83. Please use Table 7 to provide a report on progress against the milestones and targets set out in your 2011-12 access agreement. You should only report on targets found in

your access agreement, not any WPSA targets you may have (unless these are identical).

84. Like last year, we will publish the information you provide on the OFFA website. You can see what we published last year at www.offa.org.uk/universities-and-colleges/monitoring/2010-11-monitoring-institutions-commentaries.

85. Please use Table 7a to report against statistical milestones/targets relating to your applicants, entrants or student body – for example, those based on HESA, Ucas or similar data that you use to measure the outcomes of your WP work. For each statistical milestone/target, you should:

- choose a milestone type from the drop down list
- give a brief description of the milestone/target
- provide baseline and target figures showing your progress against the target for each academic year from 2007-08 to 2011-12
- select a statement that clearly reflects your actual progress against each milestone, from the available classifications:
 - target met/exceeded
 - progress made – on course to meet target (please use this category if the target relates to a future year and you are on course to meet the target)
 - progress made – but less than anticipated
 - no progress made against baseline data
 - N/A

⁷ More information about the HESA PIs is available at www.hesa.ac.uk/pi.

⁸ FECs may wish to see HEFCE publication 2012/20, *Widening participation and non-continuation indicators for further education colleges: Overview of trends*, which shows the profile of students from LPNs for young full-time higher education entrants registered at FECs in 2009-10. This publication is available at www.hefce.ac.uk/pubs/.

- use the Table 8 commentary to explain any apparent discrepancies between your classification and progress.

86. Please use Table 7b to report against other milestones and targets, for example, those relating to outreach, lifelong learning, or institutional management and mission. Where there are a number of similar milestones/targets, you may wish to amalgamate these for the purposes of your monitoring return. As with Table 7a, you should set out a brief description of the milestone or target along with data for the baseline year (where applicable), the target itself, and then set out your current position and the progress you've made towards each milestone or target. Note that although Table 7a requires numerical or percentage targets, Table 7b does not have these restrictions.

Explanatory notes for Table 7

87. This table is primarily intended as a self-assessment of your institution's progress against its milestones and targets. The classifications provided should clearly reflect your actual position for each target.

88. Many institutions have subsequently updated 2011-12 access agreement milestones and targets in a more recent access agreement. If this is the case, you may wish to refer to this in the Table 8 commentary. However, you should still report on the milestones and targets relating to your 2011-12 access agreement.

89. We recognise that you might meet all your financial commitments and outreach plans under your access agreement but not achieve your milestones and targets. When we are analysing your progress, we will consider whether you've met your commitments and if you have made progress towards your milestones. We will also take into account any contextual information you provide in Table 8, as well as the position of the higher education sector as a whole.

Table 8 – Commentary on progress against access agreement milestones and targets

Action

90. You should use Table 8 to:

- comment on the level of progress made against the targets
- set the figures in some context, for example if they may have been influenced by external factors
- provide any explanations where you haven't met targets or where progress has been less than anticipated
- provide comment on key factors that have led to successful outcomes.

Please limit this commentary to 750 words.

Explanatory notes for Table 8

91. Your commentary must include all targets that aren't being met or where progress has been less than anticipated, but may also cover those targets where you have performed well. Where progress has been significantly less than expected, or there has been movement away from milestones, you should include a brief explanation of what plans and strategies are in place to review the arrangements under your access agreements and what changes might be necessary in order to make progress.

92. We may wish to contact you to gain a better understanding of the situation if the information you give us isn't sufficient to allow us to gauge your progress.

93. Like last year, we will publish your commentary on the OFFA website, alongside the data given in Tables 6 and 7. You can see what we published last year at www.offa.org.uk/universities-and-colleges/monitoring/2010-11-monitoring-institutions-commentaries.

How to complete part two: 2011-12 monitoring return for HEFCE widening participation strategic assessment

If you submitted a WPSA in 2009, you must submit information for your institution on:

- ✓ **how much you spent on WP commitments in 2011-12**
- ✓ **your evaluative activity and plans in 2011-12.**

If you did not submit a WPSA in 2009, you do not need to complete part two.

Table 9 – Expenditure on WP commitments 2011-12

Action

94. Please report on all of your WP expenditure in 2011-12. Include expenditure on additional outreach that is funded from higher fee income under your access agreement (if applicable) but not expenditure on OFFA-countable bursaries.

95. Please select one of the pre-determined categories for each of your WP activities/areas of work:

- outreach work with schools and/or young people
- outreach work with communities/adults
- support for current students (academic and pastoral)
- support for progression from higher education (into employment or postgraduate study)
- support for disabled students
- WP staffing and administration
- other.

96. Table 9b will automatically calculate your total expenditure on WP commitments in 2011-12, based on your expenditure on each activity/area of work that you report in Table 9a. Please check that the figure is in line with your expectations.

Explanatory notes for Table 9

97. Table 9 provides an opportunity for you to demonstrate and take credit for the full range of WP activities in which you invest, across the student lifecycle from pre-admission through to graduation and progression into further study or employment, and that are funded by a range of funding sources. These sources will include HEFCE's WP and Teaching Enhancement and Student Success allocations, as well as non-HEFCE funds.

98. Table 9a asks you to report on total expenditure on WP commitments in 2011-12, by activity or area of work. You should list the WP activities/areas of work you undertook in 2011-12, report the expenditure for each activity/area of work and select a category for each activity/area of work using the drop-down menu.

99. We ask you to use the pre-determined categories for each of your WP activities/areas of work so we have consistent information across the sector. This will enable us to assess the overall investment in WP, and to understand the areas in which investment is made and the impact of any reduction in funding.

100. You should aggregate your WP activity at an appropriate level, depending on the information available and the degree of reliability with which you can assign expenditure to each area. For some institutions this may mean listing a large number of separate activities, if you are reliably able to report expenditure on each. For example, you may choose to list summer schools, taster days and compact programmes with schools as separate activities. Other institutions may choose to report on broader

areas of WP work, for example reporting expenditure against your overall programme of outreach with schools.

101. We would expect most institutions to be undertaking WP activity under all categories. However, we understand that some institutions, in particular smaller ones, may not carry out work which falls under every category. We also expect that many institutions will list several different areas of work which fall under the same category. These should each be listed separately in Table 9, and the relevant category selected each time. Please see the sample Table 9 in Annex A of this guidance document for an example of reporting against categories.

102. Examples of activities/areas of work which could be included under each category are as follows:

a. **Outreach work with schools and/or young people**

Mentoring programmes with schools/young people; summer schools, campus visits, taster days and masterclasses; compact programmes and progression agreements with schools/colleges; formal agreements with/sponsorship of schools/academies/colleges; work with looked-after children/care leavers.

b. **Outreach work with communities/adults**

Taster days/visits for adults; community projects; progression agreements aimed at adults progressing from further education; work with employers.

c. **Support for current students (academic and pastoral)**

Activity to improve retention and equality of outcomes for different groups; induction and transition programmes; student services expenditure on WP target groups; peer mentoring programmes; developing inclusive curricula and learning resources.

d. **Support for progression from higher education (into employment or postgraduate study)**

Support with internships for students from WP target groups; mentoring programmes

designed to facilitate entry into employment or postgraduate study.

e. **Support for disabled students**

Provision of advice and support to disabled students, including staffing; developing accessible learning resources and inclusive learning and teaching environments.

f. **WP staffing and administration**

Staffing costs for WP units that cannot be allocated to directly delivering a particular activity; monitoring costs; partnership support costs.

Please note that the above examples are not exhaustive.

103. Some institutions have asked for more guidance on how WP staffing and administration costs should be allocated. Expenditure on staffing in central WP units/departments, and/or on staff which spend all or a fixed proportion of their time on WP work, and which cannot be allocated to directly delivering a particular activity, should be listed separately and categorised under the WP staffing and administration category. Expenditure on staff working directly on a particular activity, such as student ambassadors, mentors or summer school staff, and staff delivering outreach events or carrying out work designed to improve student retention and success, should be included within expenditure against that activity, which will be categorised under the appropriate category.

104. This may mean that costs for some members of staff are split between different categories, where some but not all of their work involves directly delivering particular activities. We recognise that in these cases, you may not keep a detailed breakdown of the proportion of staff costs attributable to particular activities, so we suggest you make a judgement of the percentage of staff time allocated to activities. Expenditure on staff who support disabled students should fall under the 'Support for disabled students' category.

105. Other expenditure under 'WP staffing and administration' might include:

- non-staffing costs of running central WP units/departments

- staff development for staff in such units/departments
- costs related to supporting collaborative partnerships following the end of Aimhigher funding
- costs of evaluation and monitoring activity.

We are interested in gaining a clearer picture of the costs of providing the infrastructure to deliver your WP commitments. We would expect most institutions to report expenditure under 'WP staffing and administration', although we realise that a few smaller institutions may only have staffing costs for the direct delivery of activities, which will be included under other categories.

106. We would normally expect all institutions to report expenditure under 'Support for disabled students'. This is an important area of work, which is recognised by the provision of a specific HEFCE funding stream to widen access and improve provision for disabled students. We realise that this work may be delivered separately from other WP work in institutions, in terms of staffing and infrastructure, but request that you collect the relevant information on expenditure for the purposes of this monitoring return. This will enable us to gain a full picture of all WP expenditure.

107. Please note that you should only use the 'Other' category in rare circumstances, because in the vast majority of cases, the predetermined categories should be broad enough to allow institutions to record all of their WP activity and expenditure. If you wish to use this category, please contact Siân Griffiths (email: s.griffiths@hefce.ac.uk, tel: 0117 931 7153) to discuss before submitting your return.

108. Some institutions may have undertaken activities that could legitimately fall under more than one of the pre-determined categories, e.g. an outreach programme that targets both young people and adults. In such cases, you should make a judgement on which category is most appropriate, and ensure that the activity is consistently placed

under this category in all future monitoring returns. It is important that the activity is not double-counted.

109. You should report your **actual** expenditure on WP during 2011-12. We understand that this may not be the same as the amount which you reported or predicted in your WPSA in 2009, and that you may have indicated changes in your WP priorities in your interim widening participation strategic statement for 2012-13. You may however still find it helpful, when considering which activities/areas of work contribute to WP, to refer to the method you used to calculate WP expenditure for your WPSA. We issued additional guidance on calculating your investment in WP prior to the submission of WPSAs in 2009 which you may find useful: HEFCE electronic publication 03/2009, *Widening participation strategic assessments: Further guidance*⁹.

110. However, if you've improved your method of calculating WP expenditure since submitting your WPSA, then you should use your new method. What is important is that you report your actual WP expenditure based on the activities and areas of work that you've carried out. You should also note the guidance in paragraphs 105-106 on areas which we would normally expect to see included, and the more detailed guidance we have provided in paragraphs 103-105 on allocating staff costs. This detailed annual financial reporting complements the information provided in interim widening participation strategic statements for 2012-13, on how HEFCE funding for WP helps to deliver institutions' WP priorities.

111. It is important that you clearly report on WP expenditure, particularly with regards to demonstrating the value for money achieved through the WP allocation. As HEFCE funding for teaching reduces, and what remains is directed to activity that protects the student and public interest, there will be increasing pressure to demonstrate that WP funding is being used effectively, and for institutions to be accountable for this targeted funding.

112. We are aware that there are some difficulties with disaggregating WP expenditure, and that many institutions spend significantly more than they receive through the HEFCE widening access and improving

⁹ Available at www.hefce.ac.uk/pubs.

retention allocations. There is no requirement in this monitoring return for you to identify the different funding streams that are used to support WP activity. However, we will contact you if we have any concerns over the total amount reported compared to the amount received in 2011-12 through the HEFCE WP allocation (including the funding for disabled students), and the retention element of the Teaching Enhancement and Student Success allocation.

113. You may be aware that HEFCE recently commissioned CFE to conduct research in order to provide further, systematic evidence of the way in which our funding for WP is deployed within institutions, and the impact that those institutions believe the funding has on the outcomes of their activity. This research complements the expenditure information collected in this monitoring return. The WP expenditure reported in this monitoring return should include activity funded from both HEFCE WP funding and from other sources.

Table 10 – Report on institutional evaluative activity and plans

Action

114. Please answer yes or no to the following questions on your evaluative activity and plans in 2011-12, by selecting from the drop-down menus in Table 10:

1. Did your institution carry out any evaluation of WP activity during 2011-12?
2.
 - a. Did your institution have a formal evaluation plan for your WP strategy in 2011-12?
 - b. If so, did you carry out evaluation in line with your plan for 2011-12?
3. Did the evaluation you carried out in 2011-12 broadly show that your activities were meeting your aims and objectives?
4. Did the evaluation you carried out in 2011-12 help you in meeting your aims and objectives, e.g. by focusing resource?

115. Please then provide a brief commentary (maximum 500 words) on your activity and plans. This should include:

- a) Your most important findings from evaluation of your WP activities in 2011-12, and what the impact was of your work.
- b) How the outcomes of your evaluation helped you in meeting your objectives for WP, for example by focusing resource by demonstrating the most effective activities.
- c) Planned actions to improve evaluation in the future, including the development of a formal evaluation plan from 2012-13 if you did not have this in 2011-12.
- d) If you answered 'No' to any of questions 1 to 4, then please provide a brief explanation of the reasons for this.

Please structure your response using sections a to d.

Explanatory notes for Table 10

116. Our assessment of the original WPSAs in 2009 indicated that for most institutions, evaluation of WP commitments needed to be further developed. We therefore provided guidance on how to do this in HEFCE circular letter 24/2010, *Widening participation strategic assessments: guidance on developing evaluative approaches to widening participation activities and commitments*¹⁰, and asked for information on evaluation of WP commitments in monitoring returns. In the 2009-10 monitoring return, we asked institutions to update us on their progress in developing effective evaluation approaches, and in 2010-11, we asked institutions to report findings from evaluation.

117. In this 2011-12 monitoring return, we are including some simple questions requiring yes/no answers to help us gain a clearer picture of the extent of evaluative activity, including formal evaluation plans; to gain institutions' opinions on

¹⁰ Available at www.hefce.ac.uk/pubs.

whether evaluation is broadly showing that activities are meeting their aims and objectives; and to gain institutions' opinions on whether evaluation helped in meeting aims and objectives. We are then asking for a brief (up to 500 words) commentary, which should highlight both your most important findings from evaluation, and your plans to improve evaluation.

118. For institutions which did not have an evaluation plan in 2011-12, it is important to indicate how you have put in place plans during 2012-13. It is also essential, if you answered 'no' to any of questions 1 to 4, to provide a brief explanation of the reasons for this. We are interested in hearing about both your successes and any challenges which you faced in 2011-12, and encourage you to use the opportunity to reflect on your evaluative work and improvements that could be made.

119. We are interested in learning how the outcomes of your evaluation help you meet your WP aims and objectives, develop your WP strategy and make improvements. For example, they might:

- demonstrate the most effective activities and thus inform your priorities and resourcing, e.g. extending a particular outreach scheme, perhaps in preference to another initiative, in response to strong evidence from evaluation
- help you to improve activities and initiatives to better meet your objectives, e.g. by extending a retention initiative to all students rather than just a particular group
- help you to ensure that activities are appropriately targeted for the greatest impact and value for money.

You might also point to instances where you've decided to undertake a particular activity as a result of evidence from evaluation collected elsewhere or at a national level.

120. When discussing findings from evaluation, there is no requirement to describe extensively the activities involved. You should concentrate on briefly presenting evidence of impact from the work.

121. It is important to provide specific evidence to show that activities are achieving their aims, rather than simply describing activities as successful. In the 2010-11 monitoring returns, some institutions

reported on numbers of events undertaken and numbers taking part, but did not offer much evidence of the impact of these events. Many institutions reported on evidence from pre- and post-event questionnaires; while feedback from events is essential for institutions in planning, its use is more limited in demonstrating impact, particularly when used for one-off events.

122. When reporting on findings from evaluation, we encourage you to concentrate on providing evidence of long-term impact, such as:

- the improved attainment of participants
- evidence of long-term impact on attitudes and aspirations
- the tracking of participants to higher education.

For example, you might include evidence of the impact on academic attainment of outreach programmes in partner schools; evidence of progression of learners from participation in outreach programmes to enrolment at an institution; evidence of how retention rates for students from disadvantaged backgrounds compare to rates for all students at an institution, or how retention rates for students taking part in a particular scheme compare to rates for the student body as a whole.

123. If you do not yet have such evidence of longer-term impact, you should briefly discuss how you plan to put in place processes to collect it in future.

124. We understand that institutions undertake work that doesn't have a direct impact on recruitment to their own institution. We would not wish institutions to base their work only on that which can be measured most easily, and expect you will use a range of evaluative methods, both qualitative and quantitative, to demonstrate the impact of such work. Evidence might include improved academic attainment in partner schools, or increased applications to higher education in general from such schools.

125. Some of the strongest evidence of impact presented in the 2010-11 monitoring returns came from nationally funded programmes or research by external partners, often involving collaboration

between institutions. We encourage institutions to include any evidence resulting from collaborative work, and are especially interested in any work resulting from 'post-Aimhigher' partnerships, or plans for such work.

126. We understand that for most FECs, WP is based more on internal progression than on specific activities, so they may place less emphasis on evaluation. However, we are interested in understanding the specific contribution that FECs make to WP and how you most successfully support internal progression; we would like any information or evidence that you have on the impact of your WP work, including from the perspective of internal progression.

127. In the 2010-11 monitoring returns, a number of FECs reported on progression rates from their own Level 3 provision to higher education, and we encourage all colleges to consider how to include this data in your monitoring return, where relevant. Other appropriate evidence of the impact of your work could include, for example, progression and retention rates for groups of students who have received extra support for the transition from further to higher education, or the improvement in progression and retention rates over time after such support has been put in place. You should also include brief details of plans to put into place more extensive evaluation processes, where these aren't currently in place.

128. We are aware that postgraduate institutions work in a different context compared to institutions with extensive undergraduate provision and that their approaches to evaluation may still be developing. Indeed, approaches to widening participation to postgraduate study in all institutions are generally still at a developmental stage. However, there is an increasing focus on access to postgraduate education in relation to social mobility and access to the professions. We therefore encourage postgraduate institutions to provide any findings and evidence from institutional evaluation of WP activities which they currently have. This could include activity designed to establish data on progression to postgraduate study, and retention rates. You should also include brief

details of plans to improve evaluation. We would also be interested in evidence from any institution on work they have undertaken in relation to widening participation to postgraduate study.

129. We encourage all institutions to read the joint report from HEFCE and OFFA on 2010-11 monitoring outcomes (OFFA publication 2012/05, HEFCE publication 2012/13, *Access agreement and widening participation strategic assessment monitoring: outcomes for 2010-11*¹¹). This includes analysis of the strengths and weaknesses, at a sector level, of institutions' responses on evaluation, and examples, taken directly from monitoring returns, to show how different institutions are approaching evaluation and to highlight good practice. This may assist you in preparing this year's monitoring return.

130. There are a number of resources available to help you in developing your evaluation plans and activities, in particular HEFCE circular letter 24/2010, and the Higher Education Academy's online archive of materials from major national programmes, including Aimhigher, involved in WP and promoting successful student progression. This includes resources on evaluation, and is at www.heacademy.ac.uk/retention-archives.

131. A series of toolkits for outreach using the experience of national WP programmes, including one on evaluation will be available from www.heacademy.ac.uk by December. They draw on the best resources created by Aimhigher and the Lifelong Learning Networks and re-contextualise the materials for the current climate. The toolkits were commissioned by HEFCE and created by the International Centre for Guidance Studies at the University of Derby and The Progression Trust.

132. HEFCE and OFFA have been asked by Ministers to develop a shared strategy for widening participation and promoting fair access to higher education, and have been asked to ensure that this is based on evidence of what works, both nationally and internationally. Information from these monitoring returns will feed into this strategy, and will help to demonstrate the impact of WP funding.

¹¹ Available at www.hefce.ac.uk/pubs.

How to complete part three: 2012-13 in-year monitoring return for National Scholarship Programme

If you are in receipt of an NSP allocation in 2012-13, you must submit information for your institution on:

- ✓ **NSP allocations including any additional match funding planned**
- ✓ **how many 2012-13 entrants are receiving awards**
- ✓ **delivery of your NSP awards**
- ✓ **NSP expenditure**
- ✓ **institutional criteria used in addition to the national criteria.**

If you are not in receipt of an NSP allocation, you do not need to complete part three.

Table 11 – NSP allocations

Action

133. Table 11 is mainly prefilled with information from your institution's final NSP allocation for 2012-13, the minimum number of full-time equivalent (FTE) scholarships expected to be delivered and the minimum required match funding. If your institution is committing more than the minimum required match funding, please report this under the additional matched funding pledge. If you are not committing more than the minimum required match funding, please enter zero here.

134. Table 11 will automatically calculate the total spend for NSP 2012-13. If you have a 2012-13 access agreement, you should check that the figures in Table 11 reflect those you provided to OFFA in your 2012-13 access agreement and accompanying financial annex.

135. Please also check the validation sheet to ensure that validation checks have been passed and the table has been completed correctly.

Explanatory notes for Table 11

136. OFFA will expect that in completing this table, the figures you provide in this table reflect the estimates you included in the financial annex you submitted alongside your 2012-13 access agreement.

Table 12 – Number of 2012-13 entrants receiving awards

Action

137. Please report the headcount and FTE of students that have received or are forecast to receive an NSP award in 2012-13.

138. Once you've completed this table, please check the validation sheet to ensure that validation checks have been passed and the table has been completed correctly.

Explanatory notes for Table 12

139. 'Students that have received an NSP award' means those who have been awarded an NSP and have started to receive NSP payments on or before 1 January 2013.

140. 'Students forecast to receive NSP awards' means those expected to receive their awards between 2 January 2013 and 31 July 2013 inclusive.

141. The information provided on FTEs will indicate the balance of awards to full-time and part-time students.

Table 13 – Delivery of your NSP awards

Action

142. Please answer the questions about the delivery of your NSP awards by selecting one of the pre-determined categories from the drop down menu.

143. After answering the three questions please check the validation sheet to ensure that validation checks have been passed and the table has been completed correctly.

Explanatory notes for Table 13

144. We have pre-determined categories for each question to enable us to have comparable information and understand how the NSP is being delivered across the sector.

145. For the first question 'How are you delivering the NSP (both the HEFCE allocation and institution's match funding) over the duration of the course?', please select one of the pre-determined categories:

1. NSP delivered to recipient in first year of study only.
2. NSP payments spread equally over first two years of study.
3. NSP payments spread disproportionately over first two years of study.
4. NSP payments spread equally across all years of study.
5. NSP payments spread disproportionately across all years of study.
6. Other – please give details.

146. For the second question 'How are you allocating your match funding (we understand that this will be a pro-rata amount for part-time students)?', please select one of the pre-determined categories:

1. Top up individual NSP awards to £6,000 (if your match funding requirement is 100 per cent).
2. Top up individual NSP awards to £4,500 (if your match funding requirement is 50 per cent).
3. Increase the number of individual NSP awards at £3,000 for all students.
4. Increase the number of individual awards above £3,000 for all students.
5. Range of awards (different students receive different amounts or combinations of award type e.g. they can choose either child care voucher or fee waiver).
6. Other – please give details.

147. For the third question 'How are you using criteria to select NSP recipients?', please select one of the pre-determined categories:

1. National criteria only (this may mean that the institution is prepared to over match and the fund is uncapped).
2. Criteria in priority order with a fixed NSP fund.
3. Fixed criteria with guaranteed eligibility, institution tops up fund in excess of match funding if necessary.
4. Other – please give details.

Table 14 – Breakdown of NSP expenditure

Action

148. Please break down your NSP expenditure across the menu of options for the HEFCE NSP allocation and the institutional match funding for 2012-13.

149. Please enter in the appropriate columns the HEFCE NSP allocation and match funding delivered in year one on or before 1 January 2013, and the HEFCE NSP allocation and

match funding expected to be delivered in year one between 2 January 2013 and 31 July 2013. For both columns, report the combined HEFCE NSP allocation and match funding, and break down this spending across the categories:

- fee waivers or discounts
- discounted accommodation or other similar institutional service
- financial scholarships/bursaries (cash award no more than £1,000 per scholarship)
- free or discounted foundation years
- student choice (where funding is yet to have been allocated).

150. Where the match funding is being delivered in subsequent years, you should report this in the far right-hand column, again broken down across the menu of options.

151. Table 14 will automatically calculate the total NSP expenditure for NSP 2012-13. Please check this matches the total on Table 11.

152. Once you've completed Table 14, please check the validation sheet to ensure that validation checks have been passed and the table has been completed correctly.

156. If your institution prioritises one criterion over another, please state the order in which they are ranked.

157. If you are only using the national criteria to select NSP recipients, you do not need to complete this table: if the institutional criteria fields are left blank, we will assume you've used the national criteria only.

158. You should check the validation sheet to ensure that validation checks have been passed and that the table has been completed correctly.

Explanatory notes for Table 15

159. The information in Table 15 will enable us to see whether institutions are seeking to encourage and support particular target groups of students.

Explanatory notes for Table 14

153. The information you submit in Table 14 will help us understand how the sector has allocated the NSP.

Table 15 – Institutional criteria

Action

154. Please report the criteria that your institution has used to select eligible students for an NSP, in addition to the national criteria.

155. Please provide a description of the additional criteria and state whether each criterion is mandatory.

How to submit your return

Validating your monitoring return

160. Each completed part of this year's monitoring return must be approved by an appropriate senior manager before submission, to provide assurance that the information has been validated independently by someone other than the person responsible for compiling the return. For example, this could be your Vice-Chancellor/Principal, Deputy Vice-Chancellor or Finance Director. Please state who has approved this monitoring return in the final section of each workbook. It is up to each institution to determine its own process for checking the accuracy of the information it provides. This could be through internal audit, a report to the head of the institution, a governors' group or a steering committee. All information is subject to audit and you should ensure that the way you validate your information meets your own internal audit requirements.

161. We do not require you to submit a signed paper copy.

Submitting your return

162. Download your monitoring return template from the HEFCE extranet at <https://data.hefce.ac.uk>. In order to download the tables you must register for the HEFCE extranet. To register, you will need a 'group key' that identifies your institution's specific monitoring return. We will send this group key by post to all of our registered OFFA contacts in November, once the HEFCE extranet opens for submissions. For institutions without access agreements, we will send the keys to the named contact for WPSA or NSP.

163. Complete all relevant parts of your monitoring return, checking it carefully against this guidance. If in doubt, ask us for clarification (for contact details, see the front of this document).

164. Submit your completed monitoring return via the HEFCE extranet <https://data.hefce.ac.uk> by **Thursday 10 January 2013**.

165. If you have any technical queries relating to the use of the HEFCE extranet please contact Hannah Partridge (email: h.partridge@hefce.ac.uk, tel: 0117 931 7051).

Late returns

166. Please note that it is a statutory obligation to report on progress with your access agreement and it is important to submit your return by the deadline. If your return is late we cannot guarantee that we will be able to include your data in the monitoring outcomes report published by OFFA. Providing accurate data to report on progress against your access agreement is a statutory requirement, and the Director of Fair Access to Higher Education can impose sanctions where these requirements have not been met.

167. If your monitoring return needs to be approved at a meeting of your governing body or other relevant committee after the deadline of 10 January 2013 you may submit a draft electronic copy of your monitoring return with a request for a limited extension to the deadline for your final version.

What happens once you've submitted your return

How we will assess your monitoring return

168. When you've successfully uploaded your return, you will see an automated message on the extranet confirming that your return has uploaded successfully.

Assessing your access agreement return and milestones and targets

169. As in previous years, OFFA will look to see that you have broadly met your bursary and outreach commitments and, where you haven't done so, that there is a reasonable explanation and/or appropriate review and re-adjustment of plans.

170. OFFA will look at the progress you've made towards your milestones and targets. We are more concerned with trends rather than single data points. If the trend indicated by central or institutional returns shows that your institution has made no progress or regressed, we will want to discuss this with you to understand the issues and investigate possible solutions. The approval of new access agreements takes into account current

performance and whether your access agreement plans are addressing sufficiently any areas of concern. We may also contact you if we have any questions about the data used to monitor your targets.

Assessing your WPSA return

171. HEFCE will seek to understand institutional expenditure on WP, and will contact you if we have any major concerns about expenditure compared to previous years. We will also contact you if we have any concerns over the amount reported compared to the amount received in 2011-12 through the HEFCE WP allocation, and the retention element of the Teaching Enhancement and Student Success allocation.

172. We will expect to see evidence that you are evaluating the impact of your WP commitments, and are able to report on findings from institutional evaluation and your plans for improvement. For some institutions, notably FECs and postgraduate institutions, this may be at a developmental stage.

173. We will write to you once we have finished our assessment to confirm that we are satisfied with the information provided, but won't give individual feedback unless we have particular questions or concerns. You are welcome to contact us to discuss your return in more detail or to request a meeting.

Assessing your NSP return

174. HEFCE will use the in-year data to report to BIS and Ministers on the number of NSP awards made and the way in which awards have been constituted and delivered. This data may be anonymised and published by HEFCE and BIS.

175. We will seek to establish that institutional spend is broadly in line with the plans set out in the programme outline you submitted in April 2011. We will write to you once we have finished our assessment to confirm that we are satisfied with the information provided, but won't give individual feedback unless we have particular questions or concerns. We will contact institutions who have deviated significantly from their original plans, or have failed to deliver a significant number of awards.

We will collect and share some information centrally

176. In order to inform our monitoring, OFFA will ask the SLC for information on the number of students from lower-income backgrounds at each institution. We will also use sector data from HESA, Ucas and others to monitor progress across the sector and identify any emerging patterns over time.

177. OFFA and HEFCE will work together closely in assessing returns and, where relevant, may share information with other partners, such as BIS.

We may need to contact you for further information

178. We may need to ask you for further information about your return if, for example, some of the information or data:

- is unclear
- does not seem to make sense from our knowledge of your access agreement, WPSA, NSP allocation and institution
- is inconsistent with centrally collected data.

We may audit your monitoring return

179. OFFA reserves the right to audit the access agreement element of your monitoring return and how you are implementing your commitments. If, before taking this step, we identify significant concerns with delivery or progress towards milestones, we will invite you to discuss any emerging issues with us and, where necessary, ask you to provide further information.

We will publish the results of the monitoring process

180. We will publish a report on the outcomes of this monitoring by mid-2013. For access agreement monitoring, this will include the amount spent on additional outreach, the proportions of fee income spent on bursaries and scholarships to lower-income students, and the proportion of students receiving a bursary at each institution. For WPSA monitoring it will include a simple analysis and comment on the main areas reported on, including overall investment in WP at an aggregated level across the sector.

181. For institutions with access agreements, OFFA will publish your institution's report on your progress against targets and milestones.

182. Information provided to BIS and Ministers in relation to the NSP may be published in various ways by BIS.

How the Freedom of Information Act affects monitoring returns

183. OFFA and HEFCE are subject to the Freedom of Information (FOI) Act 2000, which gives the public a right of access to any information we hold. We have a responsibility to decide whether the information in individual monitoring returns should be disclosed on request, or treated as confidential. We can refuse to disclose information only in exceptional circumstances. The exemptions are outlined in the legislation.

184. This means individual monitoring returns are unlikely to be treated as confidential except in very particular circumstances. If you consider any part of your return to be confidential, please alert us to this and the reasons why.

185. Where we consider it to be appropriate and practicable, we may seek the institution's views before disclosing information in response to an FOI request.

186. Further information about the FOI Act is available at www.ico.gov.uk.

Annex A

Sample monitoring return template

This annex is for reference only. The template for you to complete will be available in November from the HEFCE extranet at <https://data.hefce.ac.uk> (see paragraphs 35-38 of the monitoring guidance). Please note that some of the tables have been completed for illustrative purposes.

Institution name:

Institution UKPRN:

Please provide contact details for up to two people in case we have any questions about your monitoring return:

	Contact 1	Contact 2
Name		
Post		
Telephone		
Email		

Your access agreement financial monitoring return

Tables 1 and 2 cover your higher fee income, expenditure on bursaries and scholarships, and the numbers of students in receipt of awards at your institution. Table 3 covers your OFFA-countable outreach spend. The data from Tables 1-3 will be used to populate your individual OFFA outcomes section in Table 4. Table 5 is a new table to record your equality and diversity activity in 2011-12.

Notes

Definitions of current system students, higher fee income, under-represented groups and outreach can be found in our monitoring guidance in the glossary.

Cells that you can complete are highlighted in yellow on the HEFCE extranet.

You should include data for franchise partners in Tables 1 and 2 of this return. Please list the relevant partners.

Table 1 – Higher fee income, by fee amount and year of entry (see paragraphs 39-47 of monitoring guidance)

a) Fees charged above the basic fee

Courses with a basic fee of £1,345		Higher fee income per student (£)	Number of students charged above the basic fee in the 2011-12 academic year (per fee charged). This table should record all students studying at the institution in the 2011-12 academic year (i.e. a 'snapshot' of your student population).					
Course type	Fee (£)		2006-07 entrants	2007-08 entrants	2008-09 entrants	2009-10 entrants	2010-11 entrants	2011-12 entrants
First degree	3,375	2,030	5	20	600	2,500	2,980	5,095
Foundation degree	3,375	2,030					10	50
HNC/HND	3,375	2,030						200
First degree	2,600	1,255			20	135	106	358
Foundation degree	2,200	855					13	15
CertHE/DipHE	2,000	655						10
Postgraduate ITT	2,000	655						15
Courses with a basic fee of £665 (students on sandwich courses, placement years abroad and others on the final academic year of a course, where their academic year is less than 15 weeks' attendance. See The Student Fees (Amounts) (England) Regulations 2004 SI2004/1932, Regulation 5 (a), (b), and (d))								
Sandwich course	£1,680	£1,015						21
Year abroad	£1,680	£1,015						150
Sandwich course	£1,000	£335						10
Year abroad	£850	£185						50
Total number of students charged above the basic fee			5	20	620	2,635	3,340	5,743
Higher fee income from students above the basic fee			£10,150	£40,600	£1,243,100	£5,244,425	£6,400,010	£11,328,840

Please provide an explanation where the total number of students charged above the basic fee has changed substantially compared with your 2010-11 access agreement monitoring submission.

b) Negative adjustments to higher fee income

Where the formulas in Table 1a mean that the figures provided are not an accurate reflection of your total higher fee income – for example, where students have withdrawn or intercalated – you should make any adjustments and provide a commentary below. Where figures are based on estimates, you should declare this with a brief explanation.	2006-07 entrants	2007-08 entrants	2008-09 entrants	2009-10 entrants	2010-11 entrants	2011-12 entrants
		-£1,000	-£1,050	-£1,400	-£15,000	-£22,000

Brief commentary on higher fee income adjustments

e.g. 14 entrants from 2009-10 withdrew before the year end and paid only a partial fee.
Two entrants from 2008-09 had fees reduced.

c) Total higher fee income

(This table calculates automatically, using the data you have provided in Tables 1a and b)

	2006-07 entrants	2007-08 entrants	2008-09 entrants	2009-10 entrants	2010-11 entrants	2011-12 entrants
Higher fee income from students above the basic fee (From Table 1a)	£10,150	£40,600	£1,243,100	£5,244,425	£6,400,010	£11,328,840
Negative adjustments (From Table 1b)	£0	-£1,000	-£1,050	-£1,400	-£15,000	-£22,000
Subtotal	£10,150	£39,600	£1,242,050	£5,243,025	£6,385,010	£11,306,840
Total higher fee income						£24,226,675

Table 2 – Expenditure on bursaries and scholarships to under-represented groups (see paragraphs 48-64 of monitoring guidance)

a) Expenditure on bursaries and scholarships to under-represented groups

Income threshold	2006-07 entrants	2007-08 entrants	2008-09 entrants	2009-10 entrants	2010-11 entrants	2011-12 entrants	Total
i. Students on full state support (1)	£1,500	£5,000	£500,000	£1,600,000	£1,900,000	£2,600,000	£6,605,000
ii. Other students with household residual incomes of up to £50,020 (2)	£0	£700	£170,000	£180,000	£200,000	£350,000	£900,700
iii. Students from other under-represented groups where either: a) household income is unknown and you can't make estimates, or b) household income is above £50,020 (3)	£0	£6,000	£5,000	£4,000	£4,000	£4,000	£23,000
Totals	£1,500	£11,700	£675,000	£1,784,000	£2,104,000	£2,954,000	£7,528,700

Where figures are based on estimates, you should declare this with a brief explanation of your calculations.

b) Number of students in receipt of bursaries and scholarships to under-represented groups

Income threshold	2006-07 entrants	2007-08 entrants	2008-09 entrants	2009-10 entrants	2010-11 entrants	2011-12 entrants	Total
i. Students on full state support (1)	1	7	180	1,400	1,500	2,000	5,088
ii. Other students with household residual incomes of up to £50,020 (2)	0	1	130	300	350	400	1,181
iii. Students from other under-represented groups where either: a) household income is unknown and you can't make estimates, or b) household income is above £50,020 (3)	0	1	8	40	140	180	369
Total OFFA-countable students	1	9	318	1,740	1,990	2,580	6,638
Total number of students paying a higher fee (from Table 1a)	5	20	620	2,635	3,340	5,743	12,363

Where figures are based on estimates, you should declare this with a brief explanation of your calculations.

Notes (see paragraphs 48-64 of monitoring guidance for full guidance)

- (1) Students on full state support: for entrants in 2006-07 and 2007-08 you should provide information for students with a residual household income in 2011-12 of up to £18,360. For entrants from 2008-09 onwards you should provide information for students with a residual household income of up to £25,000.
- (2) Other students with household incomes of up to £50,020: for entrants in 2006-07 and 2007-08 you should provide information for students with a residual household income in 2011-12 between £18,361 and £50,020. For entrants from 2008-09 onwards you should provide information for students with a residual household income between £25,001 and £50,020.
- (3) Wherever possible, we would like you to record bursary expenditure by the income group of the beneficiary rather than under this category.

c) Expenditure on bursaries and scholarships, as a proportion of higher fee income

(This table calculates automatically using the data you have provided in Table 2a – you should check that the figures are in line with your expectations)

Income threshold	2006-07 entrants %	2007-08 entrants %	2008-09 entrants %	2009-10 entrants %	2010-11 entrants %	2011-12 entrants %	Total %
i. Students on full state support (1)	14.8	12.6	40.3	30.5	29.8	23.0	27.3
ii. Other students with household residual incomes of up to £50,020 (2)	0.0	1.8	13.7	3.4	3.1	3.1	3.7
iii. Students from other under-represented groups where either: a) household income is unknown and you can't make estimates, or b) household income is above £50,020 (3)	0.0	15.2	0.4	0.1	0.1	0.0	0.1
Totals	14.8	29.5	54.3	34.0	33.0	26.1	31.1

d) Proportion of students in receipt of bursaries and scholarships

(This table calculates automatically using the data you have provided in Table 2b – you should check that the figures are in line with your expectations)

Income threshold	2006-07 entrants %	2007-08 entrants %	2008-09 entrants %	2009-10 entrants %	2010-11 entrants %	2011-12 entrants %	Total %
i. Students on full state support (1)	20.0	35.0	29.0	53.1	44.9	34.8	41.2
ii. Other students with household incomes of up to £50,020 (2)	0.0	5.0	21.0	11.4	10.5	7.0	9.6
iii. Students from other under-represented groups where either: a) household income is unknown and you can't make estimates, or b) household income is above £50,020 (3)	0.0	5.0	1.3	1.5	4.2	3.1	3.0
Totals	20.0	45.0	51.3	66.0	59.6	44.9	53.7

Table 3 – OFFA-countable outreach spend - actual and expected (see paragraphs 65-71 of monitoring guidance)

a) Actual expenditure on additional OFFA-countable outreach expenditure in 2011-12 (£) (This figure determines your total outreach figure in Table 4)	£150,000
b) Predicted or committed expenditure on additional OFFA-countable outreach expenditure in 2011-12 (£). This figure is based on the financial predictions you provided us in relation to your 2011-12 access agreement. Where no figure is included here, this is because we do not hold data for your institution on predicted spend.	£135,000
c) Please provide a brief explanation or comment where actual OFFA-countable outreach expenditure (in 3a above) is more than 10 per cent below or 20 per cent above your commitments or estimate set out in your access agreement (in 3b above). If no figure is provided in 3b above there is no need to complete this section.	

Table 4 – OFFA financial outcomes summary (see paragraph 72 of monitoring guidance)

This table calculates automatically using the data you have provided in Tables 1-3. Once it has been verified, this is the data that OFFA will publish on your institution.

a) Financial data that will appear in our outcomes report

Higher fee income	Expenditure on bursaries and scholarships for students on full state support	Expenditure on bursaries and scholarships for other OFFA-countable groups	Total expenditure on bursaries and scholarships	Additional outreach expenditure	Total OFFA-countable expenditure
£24,226,675	£6,605,000	£923,700	£7,528,700	£150,000	£7,678,700
As a proportion of higher fee income (%)	27.3	3.8	31.1	0.6	31.7

b) Data on bursary recipients that will appear in our outcomes report

Total number of students paying higher fees	Number of students in receipt of bursaries and scholarships on full state support	Number of students in receipt of bursaries and scholarships in other OFFA-countable groups	Total number of bursary and scholarship recipients
12,363	5,088	1,550	6,638
As a proportion of students paying higher fees (%)	41.2	12.5	53.7

c) Year on year expenditure data

	2006-07	2007-08	2008-09	2009-10	2010-11	2011-12
OFFA-countable expenditure as a proportion of higher fee income (%)	19.9	21.1	24.5	22.9	22.0	31.7

Table 5 – Equality and diversity activity in 2011-12 (see paragraphs 73-78 of monitoring guidance)

Brief commentary on equality and diversity activities delivered as part of your 2011-12 access agreement

Milestones and targets

Table 6 shows your HEI's performance against HESA WP performance indicators (PIs). It is pre-populated and is for information only.

Table 7 covers the milestones from your access agreement only.

Table 6 – HESA WP performance indicators to 2010-11 for HEIs (from HESA table T1b) (see paragraphs 76-79 of monitoring guidance)

HESA PI category	Progress to date				
	2006-07	2007-08	2008-09	2009-10	2010-11
State school (%)	87.7	87.9	88.6	89.0	88.8
<i>Location adjusted benchmark</i>					
<i>Indicator significantly different from benchmark</i>					
NS-SEC 4-7 [socio-economic class] (%)	30.3	30.0	N/A	30.9	31.4
<i>Location adjusted benchmark</i>					
<i>Indicator significantly different from benchmark</i>					
Low participation neighbourhoods (young) (%)	10.1	10.3	10.6	10.9	11
<i>Location adjusted benchmark</i>					
<i>Indicator significantly different from benchmark</i>					

Table 7 – Access agreement milestones and targets (see paragraphs 83-89 of monitoring guidance)

a) Statistical milestones and targets relating to your applicants, entrants or student body (e.g. HESA, Ucas or internal targets)

Please select milestone/target type from drop-down menu	Description	Baseline data (number or percentage)	Baseline year (e.g. 2004-05)	Target (number or percentage)	Target year	Progress to date				Performance summary (please select from drop-down menu)	
						2007-08	2008-09	2009-10	2010-11		2011-12
e.g. State school (HESA Table 1a)	Proportion of entrants from state schools (three-year rolling average)	75.1	2005-06	80.0	2011-12	75.8	76.5	78.0	79.3	80.2	Target met/exceeded

b) Other milestones and targets

Please select milestone/target type from drop-down menu	Description	Baseline data (number or percentage)	Baseline year (e.g. 2004-05)	Target (number or percentage)	Target year	Progress to date				Performance summary (please select from drop-down menu)	
						2007-08	2008-09	2009-10	2010-11		2011-12

Table 8 – Commentary on progress against access agreement milestones and targets (see paragraphs 90-93 of monitoring guidance)

You should use Table 8 to:

- comment on the level of progress made against the targets
- set the figures in some context, for example if they may have been influenced by external factors
- provide any explanations where you haven't met targets or where progress has been less than anticipated
- provide comment on key factors that have led to successful outcomes.

Please limit this commentary to 750 words.

Your commentary must include all targets that aren't being met or where progress has been less than anticipated, but may also cover those targets where you have performed well.

Table 9 – Expenditure on widening participation commitments 2011-12 (see paragraphs 94-113 of monitoring guidance)

Please include all widening participation expenditure from all funding sources. If you have an access agreement, please include any OFFA-countable outreach expenditure from higher fee income which you reported in Table 3, but exclude OFFA-countable bursary expenditure. The examples below are for illustrative purposes only.

a) Total widening participation expenditure 2011-12, by activity

Activity – please aggregate at an appropriate level	Category	Expenditure (£)
Compact programme with local secondary schools and colleges	Outreach work with schools and/or young people	270,000
Summer schools programme	Outreach work with schools and/or young people	60,000
Programme of masterclasses and taster days for school students	Outreach work with schools and/or young people	40,000
Campus visits for local schools with low levels of progression to HE	Outreach work with schools and/or young people	15,000
Sponsorship of local Academy	Outreach work with schools and/or young people	350,000
Programme of taster days for adults	Outreach work with communities/adults	20,000
Creative writing project with local community for adults without an HE background	Outreach work with communities/adults	20,000
Costs of lifelong learning outreach programme (classes in community centres)	Outreach work with communities/adults	60,000
Peer mentoring scheme aimed at students from families with no HE background	Support for current students (academic and pastoral)	55,000
Proportion of student services expenditure spent on WP students	Support for current students (academic and pastoral)	300,000
Induction programme for local commuter students	Support for current students (academic and pastoral)	10,000
Disability support expenditure	Support for disabled students	100,000
Internships scheme for students who could not afford to carry out unpaid internships	Support for progression from HE (into employment or postgraduate study)	60,000
Central WP unit staffing and administration costs not otherwise allocated	WP staffing and administration	100,000
Administration costs contribution to local partnership working	WP staffing and administration	20,000
b) Total expenditure on widening participation commitments 2011-12 (autocalculated)		1,480,000

Table 10 – Report on institutional evaluative activity and plans (see paragraphs 114-132 of monitoring guidance)

1. Did your institution carry out any evaluation of WP activity during 2011-12?	
2. a) Did your institution have a formal evaluation plan for your WP strategy in 2011-12? b) If so, did you carry out evaluation in line with your plan for 2011-12?	
3. Did the evaluation you carried out in 2011-12 broadly show that your activities were meeting your aims and objectives?	
4. Did the evaluation you carried out in 2011-12 help you in meeting your aims and objectives, e.g. by focusing resource?	
<p>Please provide a brief commentary (up to 500 words) on your evaluative activity in 2011-12 and plans for the future. This should include:</p> <p>a) Your most important findings from evaluation of your WP activities in 2011-12, and what the impact was of your work.</p> <p>b) How the outcomes of your evaluation helped you in meeting your objectives for WP, for example by focusing resource by demonstrating the most effective activities.</p> <p>c) Planned actions to improve evaluation in the future, including the development of a formal evaluation plan from 2012-13 if you did not have this in 2011-12.</p> <p>d) If you answered 'No' to any of questions 1 to 4, then please provide a brief explanation of the reasons for this.</p> <p>Please structure your response using sections a to d.</p> <hr/>	

National Scholarship Programme (NSP) 2012-13 entrants

Tables 11-15 relate to 2012-13 entrants only.

Table 11 – NSP allocations

Final 2012-13 HEFCE allocation (£):	
Minimum number of full-time equivalent scholarships (£3,000) expected to be delivered:	
Minimum required match funding (£):	
Additional matched funding planned:	
Total spend	

Table 12 – Number of 2012-13 entrants receiving awards

Headcount		FTE	
Number of students that have received an award on or before 1 January 2013	Forecast of number of students expected to receive awards between 2 January 2013 and 31 July 2013 inclusive	FTE of students that have received an award on or before 1 January 2013	FTE of forecast of students expected to receive awards between 2 January 2013 and 31 July 2013 inclusive

Table 13 – Delivery of your NSP awards

How are you delivering the NSP (both the government allocation and institution's matched funding) over the duration of the course? Please select from the drop down list.	
– if "Other" please give details here	
How are you allocating your match funding (pro rata for part-time students)? Please select from the drop down list.	
– if "Other" please give details here	
How are you using criteria to select NSP recipients? Please select from the drop down list.	
– if "Other" please give details here	

Table 14 – Breakdown of NSP expenditure

	NSP government allocation and matched funding delivered in year 1 on or before 1 January 2013 (£)	NSP government allocation and matched funding expected to be delivered in year 1 between 2 January 2013 and 31 July 2013 (£)	NSP matched funding delivered in subsequent years (£)
Fee waivers or discounts	0	0	0
Discounted accommodation or other similar institutional service	0	0	0
Financial scholarships/bursaries	0	0	0
Free or discounted foundation years	0	0	0
Student choice	0	0	0
Total	0	0	0

Table 15 – Criteria

National criterion	National criterion description	Is this criterion mandatory for receiving an NSP award?
a	Declared household residual income is £25,000 or less.	Yes
b	Student's fee is neither paid nor part-paid through a sponsorship arrangement.	Yes
c	Student is not NHS funded.	Yes
d	Student is not undertaking a postgraduate initial teacher training course leading to qualified teacher status.	Yes
e	Student is not directly continuing from one course to another (for example, from foundation degree or HND on to the final year of an honours degree).	Yes
f	Student is not transferring in from another institution.	Yes
g	Student is not undertaking a postgraduate qualification.	Yes
h	Student is studying at least 25% intensity of the full-time equivalent.	Yes
i	Student is not normally resident in Scotland, Wales or Northern Ireland.	Yes
j	If the student is part-time or an EU national then they will not receive the maintenance element of an NSP award (discounted accommodation or other institutional services and cash award).	Yes

Institutional criterion	Institutional criterion description	Is this criterion mandatory for receiving an NSP award?	If your institution prioritises one criterion over another, please enter the order in which they are ranked.
1			
2			
3			
4			
5			
6			
7			
8			
9			
10			
11			
12			
13			
14			
15			

Validating your monitoring return (see paragraphs 160-161 of monitoring guidance)

In submitting this monitoring return you are confirming that all the information you have provided has been compiled in accordance with our guidance, that it has been subject to an independent internal validation process, and has been signed off and approved as correct.

Contact details for senior manager responsible for validating this part of the monitoring return:

Name	
Post	
Telephone	
Email	

Annex B

How to complete your 2012-13 final NSP monitoring return (draft guidance)

About this draft guidance

1. In autumn 2013, institutions will be asked to submit a 2012-13 final monitoring return for NSP. This will be part of OFFA and HEFCE's joint monitoring for 2012-13 and will need to be submitted in early 2014. By publishing this draft guidance we seek to assist institutions in making preparations for the 2014 submission.
2. To ensure that institutions are able to meet the data requirements for this return, the following information on how the return should be completed is provided in advance to allow sufficient time for institutions to prepare.
3. We anticipate that this will be the wording of the final guidance; however some changes may be made should issues become apparent between now and final publication.
4. We have also included a sample provisional monitoring return at Appendix 1, showing the information that we expect to collect. Please note that the actual return will not be available until the full guidance has been issued, and may differ from the provisional version shown at Appendix 1.

2012-13 NSP eligibility criteria

Action

5. Please report the eligibility criteria your institution used to select students for NSP in addition to the national criteria. This will allow us to see whether institutions are seeking to encourage and support particular target groups of students.
6. Please list the criteria in priority order, describe each one and indicate whether the information is available on HESA/ILR for each criterion by selecting yes/no from the drop down menu.
7. If you are only using the national criteria to select NSP recipients, you don't need to complete this table: if the institutional criteria fields are left blank, we will assume you've used the national criteria only.
8. Please check the validation and credibility sheet to ensure that validation and credibility checks have been passed and that the table has been completed correctly.

2012-13 NSP individualised student monitoring proforma

9. As set out in HEFCE publication 2012/09, *National Scholarship Programme 2013-14: Provisional allocations and guidance for institutions* the NSP represents significant investment of public funds, and the 2012-13 NSP individualised student monitoring information is required from institutions to provide HEFCE with assurance that the NSP funding has been used appropriately. In this return we require information that cannot be collected from any other data sources.

Action

10. If your institution only used the national criteria to determine which students received an NSP award, you don't need to complete this table.
11. If you used institutional criteria in addition to the national criteria, please use this table to report all 2012-13 NSP recipients on an individualised basis, indicating how they received their NSP award and what institutional criteria were applied to each student. This will allow us to understand how each student received their NSP award for 2012-13.
12. In the first part of this table, please report the HUSID (the HESA unique student identifier) number for each NSP recipient. You may also report the institutional student identifier but this is optional.
13. In the next part of the table, please identify the amount of NSP you received from the HEFCE allocation in 2012-13. This should equate to £3,000 per scholarship or pro-rata for part-time students.
14. Please indicate in the next column whether the NSP recipient received an NSP award from the institution's match funding. If there was no award

made to the recipient from the institution's match funding, enter zero here.

15. The next three columns ask you to report how the student received their NSP award from the following options:

- fee waivers or discounts
- discounted accommodation or other similar institutional service
- financial scholarships/bursaries (cash award no more than £1,000 per scholarship)
- free or discounted foundation years
- student choice.

16. In the next 15 columns, please indicate which institutional NSP criteria apply to the NSP recipient by selecting yes or no from the drop down menu. The criteria are numbered across the columns and this corresponds to the priority order of the institutional criteria completed in the NSP eligibility criteria table.

17. Please check the validation and credibility sheet to ensure that validation and credibility checks have been passed and that the table has been completed correctly.

Appendix 1

2012-13 final monitoring return for National Scholarship Programme (sample for information only)

2012-13 National Scholarship Programme (NSP) eligibility criteria

National criterion	Criterion description
a	Declared household residual income is £25,000 or less.
b	Student's fee is neither paid nor part-paid through a sponsorship arrangement.
c	Student is not NHS funded.
d	Student is not undertaking a postgraduate initial teacher training course leading to qualified teacher status.
e	Student is not directly continuing from one course to another (for example, from foundation degree or HND on to the final year of an honours degree).
f	Student is not transferring in from another institution.
g	Student is not undertaking a postgraduate qualification.
h	Student is studying at least 25 per cent intensity of the full-time equivalent.
i	Student is not normally resident in Scotland, Wales or Northern Ireland.
j	If the student is part-time or an EU national then they will not receive the maintenance element of an NSP award (discounted accommodation or other institutional services and financial scholarship/bursary).

Institutional criterion	Criterion description	Is this information available on HESA/ILR?	Is this mandatory?
1			
2			
3			
4			
5			
6			
7			
8			
9			
10			
11			
12			
13			
14			
15			

Glossary

Basic level of fee The level of tuition fee up to which an access agreement is not required. In 2011-12, this was £1,345.

BIS Department for Business, Innovation and Skills

Current-system students For the purposes of this monitoring, current-system students are those who are not 'old-system students' and who started their course in September 2006 or later, and before the introduction of the new fee regime from September 2012. Current-system students are entitled to current student support and could be charged higher variable fees of up to £3,375 in 2011-12. For the purposes of access agreement monitoring, you should not include students who are charged unregulated tuition fees, such as overseas students and those studying for a qualification which is equivalent to or lower than one they already hold – even if exempt from equivalent or lower qualification (ELQ) policy for HEFCE funding purposes.

Entrants/year of entry When we refer to entrants, or year of entry, we mean the academic year in which 'current-system students' started their courses, including students who deferred their entry to subsequent years. For example, students who deferred their entry from 2010-11 to 2011-12 should be classed as 2011-12 entrants. The definition of academic year is covered in the Education (Student Support) Regulations 2011 (SI 2011/1986) within regulation 2.

FEC Further education college

FTE Full-time equivalent

HEBSS Higher Education Bursary and Scholarship Scheme

HEFCE Higher Education Funding Council for England

HEI Higher education institution

HESA Higher Education Statistics Agency

Higher fee income Any fee income above the basic fee (£1,345 in 2011-12). Where institutions charged the maximum fee of £3,375 for full-time undergraduates in 2011-12, the 'higher fee income per student' was £2,030 (£3,375 - £1,345). For some 'specified' courses, including sandwich courses, courses provided in conjunction with an

overseas institution, and other courses described in paragraph 46, the maximum fee for 2011-12 was £1,680 and the basic fee was £665. Further details are on the Office of Public Sector Information website at www.legislation.gov.uk/ukxi/2004/1932/contents/made and www.legislation.gov.uk/ukxi/2011432/made (see paragraph 2 of this webpage). Where institutions have charged the maximum fee for 'specified' courses, the 'higher fee income per student' is therefore £1,015.

Higher level of fee The level of tuition fee above which an access agreement is required. In 2011-12, this refers to any fee above the basic fee of £1,345.

ITT Initial teacher training

LPN Low-participation neighbourhood

NSP National Scholarship Programme

OFFA Office for Fair Access

Old-system students For the purposes of this monitoring, old-system students are those who:

- are continuing on a course that they started before 1 September 2006; or
- are treated as gap-year students and started their course in 2006-07; or
- transferred on to their current course from a course that they began before 1 September 2006 or, if the student is treated as a gap-year student, that they began before 1 September 2007; or
- started an 'end-on' degree or honours degree course (other than a first degree course for the initial training of teachers) after completing a Foundation Degree, Higher National Certificate, Higher National Diploma or Diploma of Higher Education course which they began before 1 September 2006 or, if the student is treated as a gap-year student, before 1 September 2007.

Outreach We define outreach as any activity that involves raising aspirations and attainment among potential applicants from under-represented groups and encouraging them to apply to higher education. This includes outreach directed at young or mature students aspiring to full- or part-time study. We particularly encourage sustained, co-ordinated

activities that work with pupils and other potential applicants over a number of years. For the purposes of access agreement monitoring, you should only report on outreach expenditure related to funds committed from higher fee income and other new and additional (post-2006) sources of funding. This might include funding specific new outreach activities, or enhancing and growing existing programmes, and may include relevant staffing and overhead costs. You should not include ring-fenced funding expenditure from Government and HEFCE funded programmes (such as Aimhigher, Lifelong Learning Networks and the Access to Learning Fund) when you are reporting on access agreement expenditure. If you are unsure as to whether expenditure is 'additional outreach' and can be included in your access agreement monitoring return, please contact OFFA for advice.

SLC Student Loans Company

Under-represented groups/OFFA-countable

groups Both these terms normally mean groups that are currently under-represented in higher education at the national level rather than at a particular institution or course, including (but not limited to):

- people from lower socio-economic groups or from neighbourhoods where higher education participation is low
- people from low income backgrounds (this includes household incomes up to £50,020 – the upper threshold for state maintenance grants in 2011-12)
- some ethnic groups or sub-groups
- disabled people
- people who have been in care.

Variable fees The full-time undergraduate tuition fees payable to an institution. In 2011-12, fee limits could be set between £0 and £3,375.

WP Widening participation

WP expenditure For the purposes of WPSA monitoring, the reported expenditure on widening participation in Table 9 should include expenditure from all funding sources (including access agreement spend on outreach but not on financial support). See

also the explanatory notes for Table 9 at paragraphs 94-113. Access agreements cover expenditure and activities that are aimed at improving access and entry to higher education such as bursaries and outreach work. However, WPSAs cover expenditure and activities spanning the whole student life-cycle from pre-entry through to graduation and employment. So other WP expenditure reported on in Table 9 could include work to help students succeed in their studies or work to develop more inclusive learning environments.

WP performance indicators (PIs) For more information see www.hesa.ac.uk/pi.

WPSA Widening participation strategic assessment

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