

Cylchlythyr | Circular

Higher Education Data Requirements 2023/24 HESA Data Futures – Final Update

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To: Heads of higher education institutions in Wales
Principals of directly-funded further education institutions in Wales
Response by: 22 December 2023
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This circular provides an update to previous circulars in this series, to include changes due to the implementation of HESA Data Futures for 2022/23 data collection.

The circular informs higher education providers of the higher education data used to calculate funding allocations; to monitor National Measures; to monitor equality and diversity; for publication; for provision to Coleg Cymraeg Cenedlaethol; for the HESA student record data quality analysis; to monitor part-time fee waivers, degree apprenticeships, PGT Master's bursary schemes and Research Wales Innovation Fund data; and to inform policy.

Providers are invited to comment on the mappings included in this document.

If you require this document in an alternative accessible format, please email info@hefcw.ac.uk.



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Introduction

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

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

2. The mappings in the annexes are, where applicable, based on the new student record data being collected under the Jisc and Higher Education Statistics Agency (HESA) Data Futures programme from 2022/23 data collection year. We published a provisional set of mappings in April, which were untested, and the mappings contained in this circular are an update on those mappings. The mappings presented have been tested on data returned to the Jisc during the submission process of the HESA student record. Therefore, although these mappings have been tested to some extent, it is only on incomplete data at the time of publication. We welcome any feedback that providers have on the mappings in the annexes, either during the submission process so that we can make immediate changes to the Information Reporting Interface Service (IRIS) programs as necessary, or to feed into our review of these mappings ready for next year. Any comments that providers have should be sent to hestats@hefcw.ac.uk. Mappings for the end of year monitoring data extraction are contained in Annex K of the End of Year Monitoring (EYM) circular [W23/26HE](#). Comments on that mapping are also welcomed. Any significant changes to the mappings either in this document or in the EYM circular, made during the submission process, will be communicated to providers.
3. Should there be any major problems with the data extractions during the submission process, for example, issues with the mapping, the IRIS system or issues at individual providers, which mean that some or all of the IRIS outputs are not usable, then there is a possibility of re-extraction post-collection. If this is likely, we will inform providers.
4. Funding methods for teaching funding for 2024/25 are not final at the time of publication of this circular and some allocation methods may change. The funding methods included in this circular are those for 2023/24. It is assumed for the sake of extraction of data that the funding methods will remain the same for 2024/25. However, 2024/25 funding allocations will be allocated once the Higher Education

Funding Council for Wales (HEFCW) is part of the Commission for Tertiary Education and Research (CTER) and so methods could change.

5. The mappings relating to student data in this circular have been prepared using the HESA Data Futures annual data return structure, a further revision will be made ahead of the introduction of the in-year data collection.

Main changes for 2022/23 compared to 2021/22

6. The main changes included in this circular compared to [W22/37HE](#): Higher Education Data Requirements 2022/23, comprise:
 - All annexes that include student data have been updated to refer to changes resulting from the implementation of the HESA Data Futures 2022/23 student collection.
 - The annex that covered the extraction of full-time equivalent (FTE) data previously used for the Transparent Approach to Costing (Teaching) (TRAC(T)), has been removed.
 - The annexes relating to the PGT Master's incentivisation bursaries and the 60+ bursaries have been combined.

Sources of Data

7. HEFCW uses data from its own surveys, data collected by HESA and data from the National Student Survey (NSS) in carrying out the purposes described in paragraph 1 above. Other data such as Universities and Colleges Admissions Service (UCAS) data are also used to inform policy and provide information about the HE sector in Wales.
8. HEFCW collects data from HEPs in Wales through:
 - the higher education students early statistics (HESES) survey; and
 - the student and finance forecasts requests (HEIs only).
9. Jisc collects data from all HEIs in the UK on the HESA records on:
 - student activity, including graduate outcomes;
 - information for students through the Unistats return;
 - finance;
 - higher education business and community interaction (HE-BCI);
 - staff; and,
 - estates management.
10. Jisc collects the following data on the HESA records from Welsh FEIs providing HE directly funded by HEFCW:
 - student activity, including graduate outcomes;
 - information for students through the Unistats return.

11. Readers of this circular are assumed to be familiar with the HESES and EYM surveys, the HESA records and surveys to include implementation of HESA Data Futures, the IRIS system and the 2021 Research Excellence Framework (REF) (HEIs only). The latest HESES, EYM and forecasts circulars are available on the [data collection page of the HEFCW website](#); the latest HESA data manuals are available on the [HESA website](#) and REF circulars are available on the [REF 2021 website](#). Links to the HEFCW circulars can also be found in the [publications page](#) of the HEFCW website.

Ensuring the accuracy of data

12. HESA data used in the allocation of funding are subject to confirmation by HEPs that HEFCW have correctly extracted the data from the HESA records. In general, HEPs are not permitted to make amendments to data during the confirmation process if their HESA data are incorrect. The exception to this is when there are changes to the methods of extraction or the data used in funding, or where a different source of data is used. In these cases, we will allow amendments to the extracted data at the confirmation stage. Amendments to HESA student record data will be allowed during the confirmation process, for 2022/23 data, given the major change that the student record data collection has gone through. Any amendments should be accompanied by an explanation.
13. It is important that HEPs are confident that all their HESA data are correct before final returns are made to HESA and the data are signed off. HEPs should take note of any discrepancies in their HESA data that have been found in past years, including those flagged up as part of any data quality analyses carried out by HEFCW, issues found in HEPs' own scrutiny of the summaries output by IRIS, problems that HESA or HEFCW have brought to their attention, and issues and errors found through internal or external audits. In particular, HEPs should ensure that they study in detail the reports produced by HESA when they commit their data and make any necessary amendments as a result before signing off the data to ensure their data are credible. We recognise that 2022/23 is the first year of operation of the new HESA data platform, with extensive changes to the data collection resulting from the Data Futures programme, so we will work with providers and Jisc to provide advice and guidance to ensure data quality is maintained.
14. A number of confirmation reports are made available in the [IRIS](#) system and are required to be signed off and returned to HEFCW after the HESA student record submission for 2022/23 has been signed off on 22 November 2023. To reduce the number of separate data verifications conducted during the year, most of the returns that require sign-off via a confirmation report are being processed through IRIS. Providers should note that given this is the first year of producing IRIS outputs under the new HESA student record, we may need to rerun the IRIS outputs if any amendments to the IRIS programs are made. If any reruns fall after a provider's final sign off of the HESA data, then we will notify the provider that a new set of IRIS outputs is available. We will keep providers informed of any reruns and advise that if you sign off data earlier than the sign off deadline, then you

should await confirmation from HEFCW that there aren't any further updates to the IRIS outputs before signing them off.

15. Details of the IRIS return process, components requiring sign-off and associated deadlines will be made available on the [IRIS web page](#) and through the EYM 2022/23 circular. The full HEFCW data collection schedule is available via our [website](#).
16. The deadline for sign off of the IRIS outputs is outlined in the EYM circular and is 19 January 2024. If providers think they will have any difficulty in meeting this deadline, they should contact us. Providers should note that the sign off deadline for the HESA student record contained in the EYM circular is 3 November. Since publication of the EYM circular, the sign off deadline has been extended to 22 November.
17. For those data confirmations where amendments are not accepted, if there is an error in an HEP's HESA data, and this error would lead to the HEP being allocated funding greater than that to which it is entitled, the HEP will be expected to notify HEFCW so that the funding can be adjusted accordingly.

Coding of subjects

18. The Higher Education Classification of Subjects (HECoS), which replaced the previous system, the Joint Academic Coding System (JACS), was implemented in the 2019/20 HESA student record.
19. The HECoS coding system, mappings between JACS and HECoS, the CAH and mappings between HECoS and CAH and between JACS and CAH are all available on the [HECoS webpage](#). Information relating to the [mapping of HECoS codes to HEFCW Academic Subject Categories \(ASCs\)](#) is available on the HEFCW website.

Data used in teaching funding allocations

20. The credit-based teaching funding allocations for part-time (PT) undergraduate (UG) provision for 2023/24 were based on 2021/22 credit value data taken from the end of year monitoring data extraction. Per capita funding for 2023/24 was allocated for all modes and taught levels of study and the disability premium was allocated for all modes and levels of study, including PGR. All other premium funding was allocated as follows:
 - Access and retention premium (PT UG only);
 - Welsh medium premium (PT and FT UG only);
 - Expensive subjects premium (clinical medicine and dentistry and Conservatoire Performance Element, FT UG only);
 - Higher cost subjects premium (non-clinical medicine and dentistry, science & engineering and technology, and mathematical sciences, IT and computing, FT UG only).

This circular assumes:

- that the credit-based teaching funding allocations for PT UG provision for 2024/25 will be based on 2022/23 EYM credit value data and
 - that per capita funding and the same premiums are being allocated with respect to the same groups of students for 2024/25 as in 2023/24, for the purposes of presenting information in this circular.
21. It should be noted that these assumptions may change.
 22. The access and retention, disability, Welsh medium, expensive subjects and higher cost subjects premiums and the per capita allocation are based on retrospective data taken from the HESA student record.
 23. End of year data extracted from the HESA student record are used to calculate any adjustment to teaching funding at the end of the academic year to which the funding relates. For example, EYM data relating to the 2022/23 academic year will be used to calculate any adjustment required to the 2022/23 credit based funding. Details of the end of year data extracted from the HESA record are contained within Annex K of the [EYM circular](#) (see paragraph 1) and are not reproduced here.
 24. More information on data used in teaching funding, including the premium and per capita elements, is set out in Annex A.
 25. The sign off procedure for data used in the per capita and premium funding for 2024/25 is built into the IRIS process. Any other data required to be used in the teaching or other funding allocations for 2024/25, not available in the IRIS outputs, will be verified and signed off separately.

Data used in research funding allocations

26. HEFCW implemented a new funding methodology for the 2022/23 QR funding allocation, following the outcomes of the consultation on implementing new research funding methods ([W22/23HE](#)). The new methodology is based on data returned to REF 2021 and data extracted from the 2018/19, 2019/20 and 2020/21 HESA finance record. As with the previous QR funding method, all input data are frozen, therefore this circular sets out the QR funding method as for 2022/23 in Annex B.
27. HEFCW also implemented a new funding methodology for the 2022/23 PGR training allocation, following the outcomes of the consultation on implementing new research funding methods ([W22/23HE](#)). The 2024/25 PGR allocation using the new methodology will be based on retrospective data taken from the 2022/23 HESA student record. Further information on the HESA fields used is provided in Annex C. As outlined below in paragraph 25, we intend to continue to obtain sign off of as much data as possible via the IRIS process, and there will be a sign off for PGR in the 2022/23 IRIS process.

Data provided to Coleg Cymraeg Cenedlaethol

28. HEFCW provides data each year, under a data sharing agreement, to [Coleg Cymraeg Cenedlaethol](#). Additionally from 2020/21, in collaboration with the Coleg Cymraeg Cenedlaethol, monitoring has been carried out on the coding structure and return of Welsh medium provision on the HESA student record. This data is also summarised and included in IRIS. The fields and criteria used to extract both sets of data are detailed in Annex D.

Data used to monitor equality and diversity

29. HEFCW currently uses HESA data to monitor the ethnicity, disability, gender and age of students at Welsh HEPs and staff at Welsh HEIs.
30. In autumn 2023, we will be publishing a race equality monitoring report. This report takes a more in depth look at ethnicity data than the standard equality monitoring referred to above.
31. A summary of the data for both these analyses is published on the [HEFCW website](#). Further information on the fields used is in Annex E.

Data used for publication

32. HEFCW publishes statistical reports on an ad hoc basis. Details of the data used in any statistical reports will be included with the report. Publications can be accessed from the [HEFCW reports](#) area of the HEFCW website.

HESA student record data quality analysis

33. HEFCW provides a summary (referred to as the 'HESA data quality analysis') to each HEP of its data for a variety of fields which are used for funding, analysis and monitoring, which is designed to aid improvement of the quality of the student record and to be useful to both HEFCW and HEPs.
34. These summaries are intended to complement the reports which are provided by HESA when HEPs submit their student record.
35. The summaries produced by HEFCW, are included in the IRIS output so HEPs can see their own data for the current year and historic data for both their HEP and for the sector. In the past, these summaries with sector data for the latest year were issued to HEPs later in the year. However we now only provide this output through IRIS. This means that HEPs will not see the sector total for the current year until they receive the IRIS output for next HESA reporting year.
36. In many instances changes relating to HESA Data Futures do not allow for a consistent time series into 2022/23. The 2022/23 analysis will still aim to capture data quality aspects such as where data is not known or not available as far as is practical using HESA Data Futures data. A consultation exercise will be carried

out in 2024 to set the scope and derivation of the full suite of data quality analysis based on HESA Data Futures concepts and coding, therefore the 2022/23 outputs should be treated as interim.

37. Further information on the fields used in the HESA data quality analysis can be found in Annex F.

Part-time fee waiver

38. From 2022/23 funding, data used in the allocation of the part-time fee waiver scheme have been extracted from the HESA student record. The extraction was added to the IRIS system for 2021/22 and data extracted via the IRIS system will be signed off by HEPs to confirm the data are correct. The process for 2022/23 allocations can be found in circular HEFCW part-time undergraduate fee waiver scheme ([W22/30HE](#)). Details of the data extracted for HEPs to sign off can be found in Annex G.
39. Data used to monitor the actual value of part-time fee waivers claimed by HEPs under the HEFCW scheme are extracted from the HESA student record via the IRIS system. Data extracted via the IRIS system will be signed off by HEPs to confirm the data are correct. The process for 2022/23 monitoring can be found in circular HEFCW part-time undergraduate fee waiver scheme ([W23/18HE](#)). HEPs should note that the sign off deadline shown in that circular of 14 December 2023 has changed to 19 January 2024, in line with all other IRIS outputs that need to be signed off. Details of the data extracted for HEPs to sign off can be found in Annex G.

Income analysis

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

National measures

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

The measures monitored using these data are:

- Widening access;

- Participation;
- Retention;
- Part-time;
- National Student Survey;
- Welsh medium;
- Student mobility;
- Quality;
- Complaints
- Employment;
- Graduate employment;
- Continuing Professional Development;
- Total HE-BCI income per FTE of academic staff;
- Spin off activity;
- Start - up activity (graduate);
- Research Staff;
- PGR students;
- PhDs awarded;
- Research income;
- EU/Overseas students;
- EU/Overseas staff;
- Transnational education.

42. A description of each of these measures and the data used to monitor them is included in Annex I.

43. Other areas which are monitored and included in the list of national measures include

- Diversity of the student population;
- REF impact outcomes;
- REF outcomes;
- Financial health;
- Estates;
- Senior staff pay and gender pay gap;
- Equality and diversity staff data

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

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

45. Both the participation and retention measures were monitored using data collected on the HESA student record, calculated and published by HESA as UK performance indicators. HESA announced that 2022 would be the last year that PIs would be published, but did plan to review existing indicators for inclusion in Official statistics or Open data. We have obtained 2021/22 data for the retention UKPI, and HESA plan to review the situation with respect to UKPIs for the longer term. It is possible that we will be undertaking work to develop new participation

and retention measures dependent on HESA's timescales and outcomes of this review.

Data used for monitoring degree apprenticeships

46. Circular [W22/14HE](#) announced funding arrangements for degree apprenticeships in Wales starting in 2022/23 and provided more information on the submission process for HEPs. Circular [W22/32HE](#) requested monitoring information for apprenticeships allocated in 2022/23. The in-year information returned under this request was used to monitor the number of apprentices being recruited and to calculate the funding for those apprentices for 2022/23. It was also used to monitor and publish data about the characteristics of apprentices, and shared with Welsh Government to track progress and compliance with delivery priorities. All published and shared data were aggregated and anonymised.
47. Data used to monitor the end of year picture for the number of students enrolled on degree apprenticeships at HEPs are extracted from the HESA student record via the IRIS system and will be signed off by HEPs to confirm the data are correct. Details of the data extracted for HEPs to sign off can be found in Annex J.
48. The HESA data provided in the IRIS system will be used to verify the data that were collected directly during the 2022/23 academic year which were used to allocate funding. It is possible that adjustments to funding will be required. If this is the case, information on how adjustments to funding will be implemented will be communicated with HEPs separately.

Data used for monitoring PGT Master's incentivisation bursary schemes for STEM and Welsh medium provision and the PGT Master's bursary scheme for students aged 60 or over

49. The funding for PGT Master's incentivisation bursary schemes is allocated to HEPs to provide to Welsh, Island and eligible EU domiciled Master's students entering study, undertaking a Master's degree in science, technology, engineering, mathematics or medicine, also known as 'STEMM' and/or undertaking their Master's through the medium of Welsh. The funding was announced in HEFCW circular [W19/27HE](#) and the scheme was intended to be run as a three-year pilot starting in 2019/20. The funding for a PGT Master's bursary scheme for students aged 60 or over is allocated to HEPs to provide to Welsh, Island and eligible EU domiciled Master's students entering study, aged 60 or over.
50. The extraction of data used in the bursary schemes for 2023/24 was added to the IRIS system for 2021/22 and will be signed off by HEPs to confirm the data are correct in 2022/23 also. The details of the schemes in 2023/24 are in HEFCW circular [W23/16HE](#).
51. We are also monitoring the number of PGT Master's students starting in 2022/23, included in the calculation of the 2022/23 funding, through the IRIS system, as in previous years. The details of the schemes in 2023/24 are in HEFCW circular [W22/13HE](#). We require sign off of the numbers to confirm the data have been

correctly extracted and reflect the recruited number of PGT Master's students studying STEMM and/or studying through the medium of Welsh and/or aged 60 or over. The extracted data will be used to calculate adjustments to funding where the recruitment of PGT Master's students is less than the estimated recruitment used in the calculation of funding.

52. As the scheme for those aged 60 or over is demand led, and all those entitled to receive a bursary should do so, we will be using the extracted data to calculate any adjustments to funding where the recruitment of PGT Master's students aged 60 or over is different to the estimated recruitment used in the calculation of funding.
53. Details of the data extracted for HEPs to sign off can be found in Annex K.

Data used in the calculation of Research Wales Innovation Fund (RWIF)

54. Circular [W22/41HE](#) reports on the consultation outcomes for the 2022 review of the Research Wales Innovation Fund (RWIF) and confirms the allocation methodology and other updated RWIF requirements to be introduced in 2023/24. Data used in the allocation is described in Annex L.

Data used in the calculation of Race equality funding and Well-being and health funding

55. Circular [W22/25HE](#) announced race equality funding allocations for 2022/23 and circular [W22/29HE](#) announced Well-being and health, including mental health, strategy implementation allocations for 2022/23. Circular [W23/01HE](#) announced an additional allocation for Well-being and health in 2022/23. Both the race equality and the well-being and health allocations use the same data from the HESA student record which is described in Annex M. The data will be available in the 2022/23 IRIS system and will be signed off by HEPs to confirm the data are correct.

Data used in the calculation of Targeted Employability Support (TES) funding

56. Circular [W23/15HE](#) use in the allocation of funding for 2024/25 will be included in the IRIS system for 2022/23 to be signed off by HEPs to confirm the data are correct. Details of the data extracted for HEPs to sign off can be found in Annex N.

Other uses of data

57. Any of the data described may be used to inform policy. In particular, data on students taught in whole or in part through the medium of Welsh, and staff who teach or who are able to teach through the medium of Welsh will be used to inform policy on Welsh medium provision. Data relating to students at directly funded FEIs or franchised to FEIs from HEIs will be used to inform policy on HE in FEIs.

58. HESA operate a [fixed database facility](#) which provides HEPs with the opportunity to make post-collection amendments to a dataset following closure of the live data collection. This facility is separate to the main data collection process, is subject to a charge and is only available at the express authorisation of HEFCW. The fixed database is open for some time after the corresponding live data collection has closed, therefore providers should be aware that data they submit to the fixed database may not be used immediately and may only appear in future analysis of time series.
59. The data described are also used by WG in their analysis of the higher education sector, including analysis published in their statistical bulletins and data presented on the [StatsWales](#) website.
60. Data relating to forecast student numbers are collected through the forecasts requests circular which is available on the [HEFCW data collection webpage](#) on the HEFCW website. These data are used for HEFCW's internal monitoring and planning processes and are not published at provider level.
61. It should be noted that although this circular details HESA fields used by HEFCW, any of the fields that HEPs return on the HESA records may be used in future for funding, for monitoring purposes, to inform policy or for publication, and are also used by other organisations. Therefore, it is important that all HESA fields are completed fully and accurately to show a fair picture of the provision and activity at the HEP.

Audit

62. All data used for funding and monitoring are potentially subject to audit. Details of the most recent audit process for higher education data can be found in circular [W18/33HE: Audit of Higher Education Data 2018/19 to 2021/22](#) and further detail of the internal and external audit are included on the [HEFCW data audit webpage](#).
63. 2021/22 was the last year in the current cycle of external auditing of HE data. HEFCW has not set up a new contract for the external audits. The external audit process will become the responsibility of the Commission for Tertiary Education and Research (CTER), when the process will be reviewed.
64. As an interim measure, in place of the external audits, and until the process is reviewed by CTER, members of the statistics team in HEFCW will meet with data contacts at each provider separately, where we will discuss items such as data quality and previous audit findings.

Use of HESA derived fields

65. Where HESA derived fields have been used they are shown in the coding details in each relevant section of the annexes that follow. All HESA derived fields for the student record are shown in the format **Entity.Z_FIELDNAME**, and for the staff record in the format Xfieldname. HESA derived fields specifications for the 2022/23 [student record](#) and [staff record](#) are published on the HESA website.

Where a derived field has been used, the algorithm used to derive the field from the original HESA record fields is available via the HESA website.

Contents

66. The contents of the annexes are as follows:

- Annex A: Data used in teaching funding allocations
- Annex B: Data used in research funding allocations
- Annex C: Data used in the PGR training funding allocation
- Annex D: Data provided to Coleg Cymraeg Cenedlaethol
- Annex E: Data used for publication and monitoring
- Annex F: Data provided to higher education providers in the HESA student record data quality analysis
- Annex G: Data used for allocating and monitoring the part-time undergraduate fee waiver scheme
- Annex H: Data used in income analysis
- Annex I: Data used for monitoring national measures
- Annex J: Data used for monitoring and adjustment of degree apprenticeship funding
- Annex K: Data used for allocating and monitoring PGT Master's bursary schemes
- Annex L: Data used in the calculation of Research Wales Innovation Fund
- Annex M: Data used in the calculation of Race equality funding and Well-being and health funding
- Annex N: Data used in targeted employability support allocations

Further information

67. Providers are welcome to contact us if they need any further clarity or have comments on the mappings outlined in the annexes. Paragraph 2 notes that these mappings have not been tested on a complete student dataset and that any further updates required will be communicated to providers.
68. Any queries regarding this circular should be directed to Rachael Clifford (hestats@hefcw.ac.uk, 029 2085 9721).