



Circular

2005-06 'in-year' SUMs  
data collection for funding  
purposes

25 November 2005

SFC/15/2005



Scottish Funding Council  
Promoting further and higher education

Comhairle Maoinachaidh na h-Alba  
A' brosnachadh foghlam adhartach agus àrd-ìre



## **2005-06 'in-year' SUMs data collection for funding purposes**

25 November 2005

SFC/15/2005

<http://www.sfc.ac.uk/library/sfc/circular/2005>

This circular is the annual request for in-year SUMs data from Scotland's colleges

FAO: Principals and directors of Scotland's colleges

Contact: Catherine Atkinson, Funding  
[catkinson@sfc.ac.uk](mailto:catkinson@sfc.ac.uk)  
0131 313 6540



## **Recent SFC circulars**

25 November 2005

SFC/14/2005

### **Financial memorandum mandatory requirements**

This circular is to define the documents that contain the mandatory requirements referred to in the new financial memorandum and to clarify the interim arrangements for specific financial conditions

18 November 2005

SFC/13/2005

### **Benchmarking of costs 2004-2005**

This circular is to advise Scotland's colleges of the process for collecting the cost benchmarking data for 2004-05 and to provide summary feedback on the 2003-04 exercise

11 November 2005

SFC/12/2005

### **Support for institutions: estates projects**

This circular announces the Council's support for and funding of a property support team for major estates projects.

11 November 2005

SFC/11/2005

### **SOCRATES-ERASMUS fee compensation and fee anomalies for academic years 2004-05 and 2005-06**

This circular invites higher education institutions to make claims under the Council's fee anomalies grant scheme.

11 November 2005

SFC/10/2005

### **Invitation to bid for funding to support cost benchmarking activities**

11 November 2005

SFC/09/2005

Financial statements and returns 2004-05

11 November 2005

SFC/08/2005

### **Continuing support to institutions on transparent approach to costing (TRAC) and full economic costing (FEC) arrangements**



## **2005-06 ‘in-year’ SUMs data collection for funding purposes**

### **Purpose**

- 1 The purpose of this circular letter is to ask you to send us ‘in-year’ student units of measurement (SUMs) information relating to academic year (AY) 2005-06.
- 2 I would be grateful if you could ensure that a copy of this letter is passed to staff involved in the collection and maintenance of student records.

### **Background**

- 3 The in-year information provides us with estimates of progress in meeting the level of weighted SUMs (WSUMs) agreed in our funding agreement with you (see circular letters FE/17/05 and FE/38/05). We will also take account of this ‘in-year’ information when we calculate your recurrent funding allocations for AY 2006-07.

### **In-year forms for completion**

- 4 Please complete and return an electronic version and signed hard copy of the ‘in-year’ SUMs form for 2005-06. Details of where to access this form and guidance on how to complete it can be found in the Annex to this letter.
- 5 You should use 2005-06 SUMs guidance notes (issued under cover of circular letter FE/29/05) to help you complete your 2005-06 ‘in-year’ return. In particular, please read carefully sections five and six to accurately differentiate fundable and non-fundable programmes.
- 6 Please also pay particular attention to section 11 of the 2005-06 SUMs guidance notes which gives detailed guidance on incorporating changes to the way in which we measure full-time courses. Paragraph 58 of section 11 gives a detailed explanation of the courses that qualify for full-time fixed tariffs.
- 7 FES on-line gives you the opportunity to validate your SUMs data at any point during the academic year. You should therefore use FES on-line to validate your current 2005-06 SUMs data as part of your process to estimate your 2005-06 final SUMs.

### **Reliability of data**

- 8 We will check your ‘in-year’ 2005-06 data against changes in your funded activity over previous years. We will also check the data

retrospectively against the full audited SUMs information collected as part of the 2005-06 FES collection. Should it come to light that inaccurate information has been provided, we reserve the right to amend funded WSUMs and hence grant allocations. However, we do recognise that genuine errors of estimation will occur and therefore the imposition of any penalties will be considered on a case by case basis, taking into account the degree of error and the circumstances involved.

- 9 We will also use college performance against its AY 2005-06 activity target to inform our funding decisions for AY 2006-07. However, for those colleges where there is doubt about the reliability of the 'in-year' return, the performance of 2004-05 actual WSUMs against 2004-05 targets will also be used.

### **Grant clawback**

- 10 Our allocation of recurrent funding to you for AY 2005-06 is linked to an agreed volume of student activity to be delivered in that year. This link was made explicit in our funding agreement with you (Annex B to circular letter FE/17/05 and FE/38/05 as appropriate). The funding agreement includes a condition that we may adjust grant if activity delivered is more than three per cent less than the funded level of WSUMs.
- 11 The electronic version of the 'in-year' SUMs spreadsheet will indicate if you are predicting activity to be three per cent or more below your funded level of WSUMs. It also provides an estimate of any resulting potential clawback that you could face.

### **Timescale**

- 12 We plan to announce recurrent grant-in-aid allocations for AY 2006-07 on 12 April 2006. To allow us to make this announcement as planned, please send your 'in-year' estimate by e-mail and post to Ross Thomson (Tel: 0131 313 6581; email: rthomson@sfc.ac.uk) using the address at the front of this letter, by the deadline date of Friday 3 February 2006.
- 13 If we do not receive your 'in-year' estimate on time, we will use data relating to the previous year's activity (less a percentage which we will determine) to calculate your fundable activity target for 2006-07.

## Further Information

- 14 If you would like to discuss any aspect of this letter, please contact:  
Alicon Ferguson (Tel: 0131 313 6602; e-mail: [aferguson@sfc.ac.uk](mailto:aferguson@sfc.ac.uk))  
or Catherine Atkinson (Tel: 0131 313 6540; e-mail:  
[catkinson@sfc.ac.uk](mailto:catkinson@sfc.ac.uk)).
- 15 For technical guidance relating to the completion of the in-year data  
collection form please contact Ross Thomson (Tel: 0131 313 6581;  
e-mail: [rthomson@sfc.ac.uk](mailto:rthomson@sfc.ac.uk)).

A handwritten signature in black ink, appearing to read 'Roger McClure', written in a cursive style.

**Roger McClure**  
**Chief Executive**

## 2005-06 'in-year' SUMs data collection for funding purposes: notes of guidance

- 1 The 2005-06 SUMs proforma can be located at the SFC website (<http://www.sfc.ac.uk/>) by clicking on the following link and selecting 'In-year SUMs data collection'.  
  
**[http://www.sfc.ac.uk/statistics/fe information/guidance notes/0506/0506.htm](http://www.sfc.ac.uk/statistics/fe_information/guidance_notes/0506/0506.htm)**
- 2 The Excel workbook contains one spreadsheet which should be used when providing the data requested for completion of the 'in-year' SUMs estimates. The spreadsheet is fully documented using the comment and validation features. Please be aware that the derived WSUMs supplied on the return will be used to inform funding decisions.
- 3 Academic year 2005-06 is the year of implementation of the revised definition for measurement of full time courses. Because of this we require the 'in year' SUMs return to be completed in line with these changes. Colleges should be aware that this may result in some 'short full time' courses failing to meet the new full time criteria and therefore not receiving the full time tariff.
- 4 The leeway for under provision of funded activity has been increased from two per cent to three per cent. If any college is predicting activity to be more than three per cent below the funded level of WSUMs, the Council will discuss on an individual basis strategies for the college to get back to their activity target. For further information on the revised definitions see circular FE/14/04.
- 5 The 'in-year' SUMs return requires informed estimates on:
  - SUMs activity by dominant programme group split by FE/HE/full-time/part-time;
  - Enrolment activity by dominant programme group split by FE/HE/full-time/part-time;
  - ELS SUMs activity split by FE/HE/full-time/part-time; and
  - ELS enrolment activity split by FE/HE/full-time/part-time.

## Completing the form

- 6 Only fundable enrolments (enrolments with more than zero SUMs) should be entered into the spreadsheet. From 2004-05 onwards the FES guidance notes have indicated that colleges should record the planned length of each programme of study. Colleges are requested to return forecasts of the number of enrolments on courses which meet the new criteria for full time and number of enrolments and SUMs from courses now considered part time.
- 7 There continues to be no fixed tariff for full time dominant programme group 18 courses so there is no necessity for this information to be split by mode of attendance.
- 8 The spreadsheet is password protected and only allows data entry within appropriate cells. Data should only be entered in the BLACK text cells. The fixed tariffs for full time courses, all totals and WSUMs are automatically calculated based on data entry values and DPG weightings and they are coloured RED.
- 9 The college name should be selected from the pull down menu bar on the spreadsheet before data entry begins.
- 10 Relevant details will appear automatically once the college name has been selected from the pull down menu (for example; the college WSUMs target for 2005-06). These details will be compared against data entered for this exercise.
- 11 UHI Millennium Institute partner colleges should only provide 'in-year' SUMs estimates for their FE activity.
- 12 Warning messages will be displayed on the spreadsheet if:
  - the difference between the 'in-year' estimate is more than three per cent below the WSUMs target;
  - there are zero ELS SUMs, as there is a risk that these cells could be overlooked;
  - it appears that the SUMs or enrolment entries for a particular category are inconsistent with SUMs guidance. (For example, a warning message will appear if the user forces through data entry values of one enrolment and 13 SUMs for a part time HE category); or

- there are more than zero enrolments but no SUMs as only fundable enrolments should be included in the form.
- 13 Any estimated clawback, based on the projected WSUMs being below target, is predicted at the bottom of the spreadsheet.
- 14 The black text cells for completion in the return will only accept values within a specified range as noted below:
- FE FT enrolment entries must be a whole number in the range zero to 10,000
  - FE PT enrolment entries must be a whole number in the range zero to 20,000
  - HE FT enrolment entries must be a whole number in the range zero to 5,000
  - HE PT enrolment entries must be a whole number in the range zero to 7,000
  - DPG 18 enrolment entries must be a whole number in the range zero to 5,000
  - part time FE SUMs must be less than enrolments \* 18
  - part time HE SUMs must be less than enrolments \* 12
  - DPG 18 SUMs must be less than enrolments \* 50
- 15 Values outwith these ranges will activate an error dialog box. The number of enrolments permitted within each of the enrolment categories does not reflect Council policy (for example, FE FT enrolment entries must be a whole number in the range zero to 10,000). These validation ranges are simply there to ensure that colleges can identify potential errors at the input stage.
- 16 Guidance on the completion of fields is generally available as a comment at the column heading. Comments are marked with a small red triangle in the top right corner of the cell. These comments can be viewed by placing the mouse on top of the appropriate red triangle.
- 17 Please note that the spreadsheet requires the user to enter the number of enrolments before the associated number of SUMs for each category.

- 18 FES on-line offers colleges the opportunity to validate their SUMs data at any point during the academic year. Therefore, colleges should use FES on-line to validate and inform their 2005-06 in year SUMs estimates.
- 19 Contact details for the administration of this collection are provided on the spreadsheet. For guidance relating to the completion of the form please contact Ross Thomson (Tel: 0131 313 6581; e-mail: [rthomson@sfc.ac.uk](mailto:rthomson@sfc.ac.uk)). For guidance relating to the SUMs policy please contact Alicon Ferguson (Tel: 0131 313 6602; e-mail: [aferguson@sfc.ac.uk](mailto:aferguson@sfc.ac.uk)) or Catherine Atkinson (Tel: 0131 313 6540; e-mail: [catkinson@sfc.ac.uk](mailto:catkinson@sfc.ac.uk)).

SCOTTISH FUNDING COUNCIL  
In Year SUMs proforma for 2005-06

Please select your college

Please enter your contact details below :-

Name: \_\_\_\_\_  
 Email: \_\_\_\_\_  
 Phone no: \_\_\_\_\_

SFC contact is Ross Thomson  
 rthomson@sfc.ac.uk  
 0131 313 6581

Dominant Programme Group	HE Full-Time		HE Part-Time		FE Full-Time		FE Part-Time		TOTAL		
	Enrols	SUMs	Enrols	SUMs	Enrols	SUMs	Enrols	SUMs	Enrols	SUMs	WSUMs
Agriculture & Horticulture	0	0	0	0	0	0	0	0	0	0	0
Business & Management	0	0	0	0	0	0	0	0	0	0	0
Food Technology & Catering	0	0	0	0	0	0	0	0	0	0	0
Computing	0	0	0	0	0	0	0	0	0	0	0
Construction	0	0	0	0	0	0	0	0	0	0	0
Art & Design	0	0	0	0	0	0	0	0	0	0	0
Engineering	0	0	0	0	0	0	0	0	0	0	0
Health	0	0	0	0	0	0	0	0	0	0	0
Minerals & Materials	0	0	0	0	0	0	0	0	0	0	0
Personal Development	0	0	0	0	0	0	0	0	0	0	0
Printing	0	0	0	0	0	0	0	0	0	0	0
Science & Maths	0	0	0	0	0	0	0	0	0	0	0
Office & Secretarial	0	0	0	0	0	0	0	0	0	0	0
Social Studies	0	0	0	0	0	0	0	0	0	0	0
Social Work	0	0	0	0	0	0	0	0	0	0	0
Sport & Recreation	0	0	0	0	0	0	0	0	0	0	0
Transport	0	0	0	0	0	0	0	0	0	0	0
Special Programmes	enter data for dpg 18 in here										
ELS	0	0	0	0	0	0	0	0	0	0	0
Total	0	0	0	0	0	0	0	0	0	0	0

Please note the form should be completed using the new activity measurement method.  
 Non-advanced courses with 18 or more SUMs are considered full-time and qualify for the fixed tariff of 20 SUMs.  
 Advanced level courses with 12 or more SUMs are considered full-time and qualify for the fixed tariff of 15 SUMs.

[For further information see circular FE/14/04 - click for link](#)

Principal's Signature: \_\_\_\_\_

Date: \_\_\_\_\_

WSUMs target in funding announcement	0	Estimated Clawback based on projected WSUMs
Projected WSUMs from this exercise	0	
Variance	0.0%	£0
WSUMs target - 3% leeway	0	
Projected WSUMs below threshold	0	

The background is a solid purple color. It features several thick, curved purple lines that form arcs, resembling stylized waves or concentric circles. These arcs are positioned in the bottom-left and bottom-right corners of the page.

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