November 2013/33

Special initiative

Guidance

This document sets out the information we need from institutions for the annual in-year monitoring of the National Scholarship Programme for 2013-14.

Returns must be submitted by **noon on Tuesday 14 January 2014**

National Scholarship Programme 2013-14

How to complete your in-year monitoring return

HIGHER EDUCATION hefce
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National Scholarship Programme 2013-14: How to complete your monitoring return

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, Finance
Reference	2013/33
Publication date	7 November 2013
Enquiries to	Extranet and uploading returns: Hannah Partridge, e-mail h.partridge@hefce.ac.uk, tel 0117 931 7051; Hannah Simmons, e-mail h.simmons@hefce.ac.uk, tel 0117 931 7273
	National Scholarship Programme: Dominik Jackson-Cole, e-mail nsp@hefce.ac.uk, tel 0117 931 7174

Introduction

What this document is about

1.   This document explains the information that HEFCE needs from institutions for the annual in-year monitoring of the National Scholarship Programme (NSP) for 2013-14.

2.   All institutions with an NSP allocation for new entrants in 2013-14 must send us a monitoring return via the HEFCE extranet.

How we will use the information you give us

3.   The Department for Business, Innovation and Skills requires information on the NSP so that it can report on the progress of the programme to the Secretary of State and other Ministers. HEFCE will use this information in the formative evaluation which is considering the operation and impact of the NSP, as well as building knowledge about the broader financial aid packages provided by institutions.

4.   We will conduct some high-level checks of the information you provide, to ensure that your scheme meets the national rules of the programme, and that your institutional spending is forecast to be broadly in line with the plans that you originally submitted in May 2012. We will write to you once we have finished our assessment to confirm that we are satisfied with the information provided, but we will not give individual feedback unless we have particular questions or concerns. We will contact institutions that have deviated significantly from their original plans, and those that have either under-delivered on a significant number of awards or are forecast to do so.

5.   We will conduct some sector-level analysis of the information provided through this in-year monitoring process, and will make our findings available via a web download by

mid-2014. We will ensure that NSP contacts receive notification of the publication of this document.

Action required

6.   Returns must be submitted via the HEFCE extranet at https://data.hefce.ac.uk/ by **noon on Tuesday, 14 January 2014**.

What has changed since the previous in-year monitoring return?

7.   Our guiding principle has been to change as little as possible from our in-year monitoring guidance for 2012-13. In designing this return we have aimed to limit the burden for institutions as much as possible, and have therefore tried to include as much known information in the pre-filled cells as possible. We are asking institutions to provide an update on their planned NSP expenditure for the 2013-14 cohort, taking into account any underspend from 2012-13 set out in the 2012-13 end-of-year monitoring return (which is running in parallel with this in-year monitoring process).

8.   We are also asking institutions to report headcount of full-time and part-time students in receipt of awards.

Getting started

Do you need to complete a monitoring return?

9.   All higher education institutions and further education colleges with an NSP allocation for new entrants in 2013-14 must complete this monitoring return. If your institution did not receive an NSP allocation for 2013-14, you do not need to respond.

Why do we ask you to do this?

10.   This monitoring return is required by the Department for Business, Innovation and Skills (BIS), to enable it to report on the programme's progress to the Secretary of State and other Ministers. We also collect monitoring information to gain assurance that funds are being used appropriately, and to better understand the features of the NSP and its beneficiaries at participating institutions. For further information, see 'National Scholarship Programme 2013-14: Provisional allocations and guidance for institutions' (HEFCE 2012/09)[1].

Where are the in-year monitoring return tables?

11.   We have included copies of the monitoring return tables at Annex A, for reference only. The tables, which you should complete, will be available to download from the HEFCE extranet at https://data.hefce.ac.uk/ from November.

12.   In order to download the tables you must register for the HEFCE extranet, if you have not done so before. To access the tables, you will need a 'group key' (a code that identifies your institution's specific monitoring return). Once the HEFCE extranet opens for submissions in November we will send group keys by post to named NSP contacts. Any technical queries relating to the use of the HEFCE extranet should be directed to Hannah Partridge (e-mail h.partridge@hefce.ac.uk, tel 0117 931 7051) or Hannah Simmons (email: h.simmons@hefce.ac.uk, tel: 0117 931 7273).

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[1] Available online at www.hefce.ac.uk/pubs/year/2012/201209/.

How to complete 2013-14 in-year monitoring return for the National Scholarship Programme

If you are receiving an NSP allocation for new entrants in 2013-14, you must submit information for your institution on:

- NSP allocations, including any additional matched funding planned and any 2012-13 underspend used on 2013-14 entrants

- how many 2013-14 entrants are receiving awards

- the delivery of your NSP awards

- NSP expenditure

- institutional criteria used in addition to the national criteria.

If you do not receive an NSP allocation for new entrants in 2013-14, you do not need to complete this return.

General remarks

13.   You are asked to fill in all the yellow-shaded cells. The white cells are either pre-filled with data we already hold, or will calculate values automatically from the information you provide.

14.   Before uploading your return, you should check the validation sheet to ensure that validation checks have been passed, and that the tables have been completed correctly. If you have a reason for failing validation you should give an explanation in the box provided at the bottom of the validation page.

15.   You will also need to check your return after submission to ensure the information you have provided has uploaded properly. If you have any concerns about this, contact Hannah Partridge (e-mail h.partridge@hefce.ac.uk, tel 0117 931 7051) or Hannah Simmons (email: h.simmons@hefce.ac.uk, tel: 0117 931 7273).

Table 1: NSP allocations

Action

16.   Table 1 is partly prefilled with information from your institution's final NSP allocation for 2013-14, including government funding and institutional matched funding.

17.   If your institution is committing more than the minimum required matched funding, you should report this under 'additional matched funding planned'. If you are not committing more than the minimum required matched funding, you should enter zero here.

18.   If you have any NSP underspend from 2012-13 that you plan to spend on the 2013-14 NSP cohort, you should provide this information in this table, broken down into government funding, matched funding and additional matched funding categories. Any government funding underspend above £50,000 (per institution) from 2013-14 will be returned to BIS following end-of-year monitoring in January 2015. This will happen through the HEFCE grant adjustment mechanism.

19.   Table 1 will automatically calculate the total spending for NSP 2013-14. If you have a 2013-14 access agreement, you should check that the matched funding (including additional matched funding) figures in Table 1 reflect those you provided to the Office for Fair Access (OFFA) in your 2013-14 access agreement and accompanying financial annex. If you have any NSP underspend from 2012-13 you should make sure that the overall OFFA-countable spending across 2012-13 and 2013-14 reflects the levels you reported in access agreements for those two years together.

Table 2: Number of 2013-14 entrants receiving awards

Action

20.   You should report the headcount and full-time equivalence of students who have received or are forecast to receive an NSP award in 2013-14.

Explanatory notes for Table 2

21.   'Number of students who have received an award' means those 2013-14 new entrants who have been awarded an NSP and have started to receive NSP payments on or before 1 January 2014.

22.   'Students forecast to receive an award' means those 2013-14 new entrants expected to receive their awards between 2 January 2014 and 31 July 2014 inclusive.

Table 3: Delivery of your NSP awards

Action

23.   You should answer the questions about the delivery of your NSP awards by selecting one of the predetermined categories from the drop down menu.

Explanatory notes for Table 3

24.   We have provided predetermined categories for each question, to provide us with comparable information about how the NSP is being delivered across the sector.

25.   As a result of the 2012-13 in-year monitoring analysis we have refined the categories to better reflect the delivery of the programme. As a result, some of the categories have been changed to mirror those used in templates for later years. This will enable us to make comparisons across different years.

Table 4: Breakdown of NSP expenditure

Action

26.   You should break down your NSP expenditure across the menu of options for the government NSP allocation and all institutional matched funding (including any additional matched funding and any underspend from 2012-13) for the 2013-14 cohort.

27.   You should enter in the appropriate columns the government NSP allocation and all matched funding delivered in year 1 on or before 1 January 2014, and the government NSP allocation and all matched funding expected to be delivered in year 1 between 2 January 2014 and 31 July 2014. For both columns, report the combined government NSP allocation and all matched funding, and break this spending down across the categories:

- fee waivers or discounts

- discounted accommodation or other similar institutional service

- financial scholarships or bursaries (cash award no more than £1,000 per full-time equivalent scholarship)

- free or discounted foundation years

- student choice.

28. Where the matched funding is being delivered to the 2013-14 cohort in subsequent years (2014-15 onwards), you should report this in the far right-hand column, again broken down across the menu of options.

29. Table 4 will automatically calculate the total NSP expenditure for NSP 2013-14. You should check this matches the total in Table 1.

Table 5: Institutional criteria

Action

30. 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 have used the national criteria only.

31. You should report the criteria that your institution has used to select eligible students for an NSP award, in addition to the national criteria.

32. You should provide a description of the additional criteria and state whether each criterion is mandatory.

33. If your institution prioritises one criterion over another, you should state the order in which they are ranked.

Explanatory notes for Table 5

34. The information in Table 5 will enable us to see whether institutions are seeking to encourage and support particular target groups of students.

Validating your monitoring return

Action

35. The monitoring return must be approved by an appropriate senior manager before submission to provide assurance that the information has been independently validated by someone other than the person responsible for compiling the return. For example, this could be your Vice-Chancellor, Principal, Deputy Vice-Chancellor, Pro Vice-Chancellor or Finance Director. You should state the name and job title of the person who has approved this monitoring return in the final section of the 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.

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

How to submit your return

37. Download your monitoring return template from the HEFCE extranet at https://data.hefce.ac.uk/. To download the tables you must be registered for the HEFCE extranet. To access the tables, you will need a 'group key' that identifies your institution's specific monitoring return. Once the HEFCE extranet opens for submissions in November we will send group keys by post to named NSP contacts. You should notify us as soon as possible if this contact or their details have changed.

38. Complete all relevant parts of your monitoring return, checking it carefully against this guidance. If in doubt, ask us for clarification.

39. Submit your completed monitoring return via the HEFCE extranet https://data.hefce.ac.uk/ by **noon on Tuesday 14 January 2014.**

40. If you have any technical queries relating to the use of the HEFCE extranet contact Hannah Partridge (e-mail h.partridge@hefce.ac.uk, tel 0117 931 7051) or Hannah Simmons (email: h.simmons@hefce.ac.uk, tel: 0117 931 7273).

Returning your monitoring templates on time

41. We want to receive a monitoring return from every participating institution, so that we and BIS can ensure that funds are being appropriately used, and so that we can conduct sector-level analysis at this mid-point in the academic year. You should plan appropriately to ensure that any approvals from your governing body or a relevant committee are obtained before the deadline. We will contact institutions that do not submit the required information by Tuesday 14 January 2014.

What happens once you have submitted your in-year return

How we will assess your monitoring return

42. When you have successfully uploaded your return, you will see an automated message on the extranet confirming that your return has uploaded successfully.

43. HEFCE will use the in-year data to report to BIS and Ministers on the number of NSP awards made, and how these have been constituted and delivered. Where relevant, we will work closely with OFFA in assessing returns and may share useful information. We will seek to establish that your total spending on the NSP is broadly in line with the plans you submitted in May 2012. We will write to you once we have finished our assessment to confirm that we are satisfied with the information provided, but will not give individual feedback unless we have particular questions or concerns. We will contact institutions that have deviated significantly from their original plans, or have failed to deliver a significant number of awards.

We may need to contact you for further information

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

- are unclear

- do not seem to make sense from our knowledge of your NSP allocation

- are inconsistent with centrally collected data.

We may audit your monitoring return

45.   HEFCE reserves the right to audit participating institutions in respect of the programme, its operation and the NSP funds.

How the Freedom of Information Act affects monitoring returns

46.   HEFCE is subject to the Freedom of Information 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 circumstance. The exemptions are outlined in the legislation.

47.   This means that 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, you should alert us to this and the reasons why.

48.   Where we consider it to be appropriate and practicable, we may seek the institution's views before disclosing information in response to a Freedom of Information request.

49.   Further information about the Freedom of Information Act is available at www.ico.gov.uk.

What is the future for NSP monitoring returns?

50.   As set out in 'National Scholarship Programme update for participating institutions' (HEFCE Circular letter 24/2013), the NSP will be refocused from 2015-16 to support postgraduate students and will cease as an undergraduate programme. HEFCE will continue to monitor the NSP via institutional returns, to gain assurance that the funds are being used appropriately and to collect information from participating institutions on their NSP scheme and recipients. The monitoring schedule is shown below.

Year of NSP	In-year monitoring submission	End-of-year monitoring submission
2012-13	January 2013 (completed)	January 2014
2013-14	January 2014	January 2015
2014-15	January 2015	January 2016 (end of programme reconciliation)

Annex A: Copies of the monitoring return tables

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/.

National Scholarship Programme 2013-14

In-year monitoring

Institution name:

Institution code:

Institution UKPRN:

National Scholarship Programme (NSP) 2013-14 entrants

Tables 1 - 5 relate to 2013-14 entrants only. <u>Do not include 2012-13 entrants</u> receiving awards in subsequent years.

Table 1 - NSP allocations	
Final 2013-14 government allocation (£s):	
Government allocation brought forward from 2012-13 to use on 2013-14 cohort (£s) :	0
Minimum required matched funding (£s):	
Minimum required matched funding brought forward from 2012-13 to use on 2013-14 cohort (£s):	0
Additional matched funding planned (£s):	0
Additional matched funding brought forward from 2012-13 to use on 2013-14 cohort (£s) :	0
Total spend	**0**

Table 2 - Number of 2013-14 entrants receiving awards	Minimum number of full-time equivalent scholarships (£3,000) expected to be delivered	Headcount				FTE	
		Number of students that have received an award on or before 1 January 2014		Students forecast to receive an award between 2 January 2014 and 31 July 2014 inclusive		FTE of students that have received an award on or before 1 January 2014	FTE of forecast of students expected to receive awards between 2 January 2014 and 31 July 2014 inclusive
		Full Time	Part Time	Full Time	Part Time		
	0	0	0	0	0	0.00	0.00

Table 3 - 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 matched 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 4 - Breakdown of NSP expenditure	NSP government allocation and all matched funding delivered to 2013-14 cohort in year 1 on or before 1 January 2014 (£)	NSP government allocation and all matched funding expected to be delivered to 2013-14 cohort in year 1 between 2 January 2014 and 31 July 2014 (£)	NSP matched funding delivered to 2013-14 cohort in subsequent years (including any additional matched funding) (£)	
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**	**0**

Table 5 - National and institutional criteria		
National criterion	**National criteria 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 criteria 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			

National Scholarship Programme 2013-14

Contacts

Institution name:

Institution code:

Institution UKPRN:

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

	Contact 1	Contact 2
Name		
Position		
Telephone		
E-mail		

National Scholarship Programme 2013-14

Institution name:

Institution code:

Institution UKPRN:

Validating your monitoring return (see paragraphs 35 to 36 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	
Position	
Telephone	
E-mail	