Annex B: Annual monitoring statement guidance

1.   The Annual monitoring statement (AMS) should be signed off by the accountable officer. The login details for the AMS will be sent to institutions' accountable officer along with AMS guidance and updates, which will also be sent to the AMS contact. The AMS will be located on each institution's HEFCE extranet. If an institution wishes to amend its AMS contact details an e-mail should be sent to the AMS helpdesk (ams@hefce.ac.uk).

2.   The AMS will monitor the use of special-initiative funding outside the main teaching and research funding allocation. Separate guidance and login instructions will be sent to institutions in receipt of Higher Education Innovation Funding (HEIF), as they will need to access and complete a spreadsheet relating to this funding.

3.   The general condition of HEFCE funding still applies: we do not fund ahead of need. If expenditure on any project has slipped substantially, please contact us immediately to discuss whether it is appropriate to re-profile payments.

4.   We also use the AMS to inform our view of key issues and developments in higher education in England, and institutions responses to these. To support this, we value institutions' views about the most significant areas of opportunity and challenge, and the ways in which they are responding to them.

5.   We are using the AMS this year to seek information about the impact of the Key Information Set on institutions to inform our current review of the Key Information Sets and Unistats.

6.   We request information on activities running from 1 August 2013 to 31 July 2014. Although the questions ask HEIs to report on the position at 31 July 2014, we expect HEIs to provide details about any significant changes after that date, which respondents should describe in the appropriate text box. This makes sure that we are working with the most up-to-date information when reviewing the returns.

7.   The AMS has questions on the following areas:

- for those that receive this strand of funding:
    — knowledge exchange formula funding (through HEIF)

    — capital funding

    — HEFCE funding for university museums and galleries

    — strategically important and vulnerable subjects funding

- for all:
    — strategically important and vulnerable subjects provision

    — equality and diversity monitoring

    — Key Information Sets

    — opportunities and challenges for higher education.

8.   Below is the sample AMS for 2014. We will supply the actual AMS template for completion in early October 2014.

9.   If you have any questions regarding the completion and submission of the AMS, please contact the AMS helpdesk (tel 0117 931 7309 e-mail ams@hefce.ac.uk).

Sample Annual monitoring statement 2014

This sample statement is for reference only. The actual annual monitoring statement (AMS) will be available in early October 2014. We will write to the accountable officer and the AMS contact in each higher education institution (HEI) before then about how to access the templates and how to return information to us.

Annual monitoring statement 2014

This should be signed off by the institution's accountable officer by **Wednesday 3 December 2014**. Enquiries should be directed to the AMS helpdesk on 0117 931 7309 or ams@hefce.ac.uk.

Knowledge exchange formula funding (through HEIF)

1) For 2013-14 your HEI received £[*varies by institution*] in HEFCE knowledge exchange funding (also known as higher education innovation funding or HEIF). Do any funds remain unspent at the end of academic year 2013-14?

   Yes/No

   a) If yes, what is the total underspend amount? (Include underspend carried over from previous academic years.)

2) Have you made changes to your spending in academic year 2013-14 compared with your projected allocation of funds in Table B of your knowledge exchange strategy? If so, provide updated information in the spreadsheet linked to this question via https://data.hefce.ac.uk/HEIF14 and give a brief explanation of the reasons for the change in the comments box below.

3) Achievements: If you have had a significant achievement in the last year, please provide a case study outlining the specific activity, the company, companies organisation or organisations you engaged with, and what was achieved.

4) Looking more narrowly at performance in terms of Higher Education – Business and Community Interaction survey income metrics, please comment on:

- any major changes (plus or minus) to the income metrics that are a significant focus of your overall knowledge exchange strategy or plan for the use of HEIF

- any action that you are taking, related to the use of HEIF in consequence.

5) In your Knowledge Exchange Strategy you notified us of barriers and enablers affecting its delivery. Have these changed significantly? Please also outline changes to external demand for your knowledge exchange activities that impact your performance.

Capital funding

6) You received capital funding under the Capital Investment Fund (CIF) phase 2 in 2013-14. Confirm the amount of HEFCE capital funding (research and teaching) spent during this academic year, and provide a brief summary of the projects supported by this funding.

7) You will continue to receive capital funding under CIF phase 2 in 2014-15. Explain, in a maximum of 250 words, how your institution proposes to use the CIF 2 funding (both teaching and research capital) in the academic year.

HEFCE funding for university museums and galleries

8)   For 2013-14 your HEI received museums and galleries funding to support one or more museums. For each funded museum, where available, provide the following information: number of higher education visits, number of further education visits, number of HEI courses drawing on the collection, number of loans made (including number of items and whether national or international), percentage of collection documented, number of web-site visits, number of exhibitions, number of pupils on school visits, number of public events and number of visitors.

Support for moving full-time undergraduate numbers into strategically important and vulnerable subjects

In our policy approach for strategically important and vulnerable subjects, we gather information from institutions to further develop our understanding of issues affecting subject areas at a national level.

9)   What changes were there to your institution's subject provision in 2013-14? If relevant, provide details on:

- closure of subject provision

- new subject provision

- substantial changes to aspects of existing subject provision.

10) Considering your institution's subject portfolio for the next four years (2014-15 to 2017-18), what are:

- the main risks to subject provision

- the main opportunities for subject provision

- expected changes to your subject provision

11) In 2013-14 we continued to provide additional funding for very high-cost science, technology, engineering and mathematics subjects (chemistry, physics, chemical engineering and mineral, metallurgy and materials engineering). Your institution received £[varies by institution] of this additional funding. Maintaining taught programmes in the very high-cost subject areas for which this funding has been received is a condition of grant. Has your institution maintained provision of taught programmes in the above disciplines? If not, please provide an explanation.

Equality and diversity monitoring

The following questions aim to promote equality at a sector level and to support and encourage HEIs in addressing equality and diversity challenges. They reflect some key issues identified by the sector, government and HEFCE. Questions refer to the academic year 2013-14 only and will be reviewed annually. HEFCE's full range of equality objectives is set out in 'HEFCE equality and diversity scheme 2012-2014' (HEFCE 2012/03), which was developed in consultation with the sector. You should include in your responses how your institutional data were used to inform and evaluate your equality strategies and interventions.

12) Either:

- provide any diversity monitoring data you hold for your governing body, by e-mail to equality@hefce.ac.uk, and confirm that you have sent them by checking the box below

- check the second box below to state that you do not collect data.

    Data provided will be treated as confidential, analysed at a sector level and anonymised before publishing.

    ☐ Equality and diversity data sent

    ☐ Equality and diversity data not collected

13) Describe (in no more than 250 words) the challenges faced, and successes achieved, in addressing diversity among your governing body.

14) Briefly describe (in no more than 250 words) the challenges faced, and successes achieved, in addressing diversity among your senior staff.

15) Briefly describe (in no more than 250 words) the challenges faced, and successes achieved, in addressing staff disability disclosure and representation.

16) Briefly describe (in no more than 250 words) the challenges faced, and successes achieved, in addressing student attainment gaps between equality groups.

17) Briefly describe (in no more than 250 words) the challenges faced, and successes achieved, in addressing student participation gaps between equality groups.

Key Information Sets

18) Have you found any areas of the Key Information Set data particularly burdensome or challenging to produce? Explain why this is the case, and provide any further information that might assist us in understanding whether there are alternative approaches to capturing this type of information.

19) Are you using any of the data collected for the Key Information Set for any other purposes, such as internal or external benchmarking? If so, which data are you using and in what way?

Opportunities and challenges for higher education

The questions below ask about which areas of higher education (HE) present the most significant opportunities and challenges for your institution in the next three years. The areas relate to HE activities and aspects of the environment in which HE providers operate. We recognise that many of the areas are interrelated, and that not all areas will be relevant to all HE providers. If the main areas of opportunity and challenge in the view of your institution are not represented in the lists, record these under the 'other or others' category. You may, if appropriate, choose to select the same area or areas as presenting both opportunities and challenges.

20) Which **three** areas present the most significant **opportunities** for your institution in the next three years?

☐ Expansion of courses delivered outside the UK

☐ Flexible study

☐ Partnerships with other higher education providers in the UK in relation to education

☐ Partnerships with other higher education providers overseas in relation to education

☐ Public funding

☐ Range of subjects offered

☐ Recruitment of students

☐ Regulatory and oversight arrangements for higher education

☐ Relationships in education with businesses and employers in the UK

☐ Relationships in education with businesses and employers overseas

☐ Relationships in research and knowledge exchange with businesses in the UK

☐ Relationships in research and knowledge exchange with businesses overseas

☐ Research partnerships with other higher education providers in the UK

☐ Research partnerships with other higher education providers overseas

☐ Student number control arrangements

☐ Types and levels of qualifications offered

☐ Widening participation (including student success and progression) and fair access

☐ Other or others (please specify)

21) If you selected **recruitment of students** in the opportunities above, indicate in which areas the opportunities lie. You may select as many as relevant. If you did not select **recruitment of students** in the opportunities, leave this question blank.

UK recruitment:

☐ Undergraduate full-time

☐ Undergraduate part-time

☐ Postgraduate taught full-time

☐ Postgraduate taught part-time

☐ Postgraduate research full-time

☐ Postgraduate research part-time

Recruitment from other European Union (EU) countries:

☐ Undergraduate full-time

☐ Undergraduate part-time

☐ Postgraduate taught full-time

☐ Postgraduate taught part-time

☐ Postgraduate research full-time

☐ Postgraduate research part-time

International (non-EU) recruitment:

☐ Undergraduate full-time

☐ Undergraduate part-time

☐ Postgraduate taught full-time

☐ Postgraduate taught part-time

☐ Postgraduate research full-time

☐ Postgraduate research part-time

22) Provide reasons for your three choices of opportunities.

23) Which **three** areas present the most significant **challenges** for your institution in the next three years?

- ☐ Expansion of courses delivered outside the UK
- ☐ Flexible study
- ☐ Partnerships with other higher education providers in the UK in relation to education
- ☐ Partnerships with other higher education providers overseas in relation to education
- ☐ Public funding
- ☐ Range of subjects offered
- ☐ Recruitment of students
- ☐ Regulatory and oversight arrangements for higher education
- ☐ Relationships in education with businesses and employers in the UK
- ☐ Relationships in education with businesses and employers overseas
- ☐ Relationships in research and knowledge exchange with businesses in the UK
- ☐ Relationships in research and knowledge exchange with businesses overseas
- ☐ Research partnerships with other higher education providers in the UK
- ☐ Research partnerships with other higher education providers overseas
- ☐ Student number control arrangements
- ☐ Types and levels of qualifications offered
- ☐ Widening participation (including student success and progression) and fair access
- ☐ Other or others (please specify)

24) If you selected **recruitment of students** in the challenges above, indicate in which areas the challenges lie. You may select as many as relevant. If you did not select **recruitment of students** in the challenges, leave this question blank.

UK recruitment:

☐ Undergraduate full-time

☐ Undergraduate part-time

☐ Postgraduate taught full-time

☐ Postgraduate taught part-time

☐ Postgraduate research full-time

☐ Postgraduate research part-time

Recruitment from other EU countries:

☐ Undergraduate full-time

☐ Undergraduate part-time

☐ Postgraduate taught full-time

☐ Postgraduate taught part-time

☐ Postgraduate research full-time

☐ Postgraduate research part-time

International (non-EU) recruitment:

☐ Undergraduate full-time

☐ Undergraduate part-time

☐ Postgraduate taught full-time

☐ Postgraduate taught part-time

☐ Postgraduate research full-time

☐ Postgraduate research part-time

25) Provide reasons for your three choices of challenges.

26) What are the main ways in which your institution is addressing the opportunities and challenges?

Declaration

(to be signed by the institution's accountable officer)

I confirm that the information provided above is correct.

Name

Title

E-mail