

March 2016/06

Special initiative

Invitation to apply for funds

This document invites consortia to email proposals to HEFCE by **noon on Friday 1 July 2016.**

This document invites submission of proposals to run programmes of collaborative outreach in specific, local areas where higher education participation is low overall and lower than would be expected given GCSE (KS4) attainment rates.

National collaborative outreach programme

Invitation to submit proposals for funding

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National collaborative outreach programme

Invitation to submit proposals for funding

To	Heads of HEFCE-funded higher education institutions Heads of HEFCE-funded further education colleges
Of interest to those responsible for	Widening participation, Finance, Planning, Learning and teaching
Reference	2016/06
Publication date	23 March 2016
Enquiries to	Clair Murphy, tel 0117 931 7138, email NCOP@hefce.ac.uk

Executive summary

Purpose

1. This document invites consortia of universities, further education colleges, private higher education (HE) providers, sixth form colleges, schools, charities, Local Enterprise Partnerships, local authorities and other local partners to submit proposals to run programmes of collaborative outreach in specific, local areas where higher education participation is low overall and lower than would be expected given GCSE (KS4) attainment rates. Proposals will be accepted from existing consortia as well as new partnerships brought together for this programme.
2. Throughout April and May 2016, HEFCE will hold a series of meetings across England to discuss the programme with prospective consortia. We encourage all those considering submitting a proposal to the programme to attend one of these meetings. The events will provide an opportunity for potential consortia to gain further clarity around the expectations of the programme, how the programme aligns with the work institutions have set out in their access agreements and to raise issues and queries with both HEFCE and the Office for Fair Access (OFFA) in relation to the programme. Further information about the meetings will be posted on the HEFCE website by the end of March.

Key points

3. The Government has set challenging goals to double the participation of students from disadvantaged backgrounds and increase by 20 per cent the number of students from ethnic minority groups in higher education by 2020. In addition, it has highlighted concerns about the continuing gap in HE participation rates between men and women, with particular reference to boys from disadvantaged backgrounds.
4. In order to support the Government's ambitions to make faster progress nationally to widen access to HE, we are establishing a national collaborative outreach programme to run from academic year 2016-17. This will have the express purpose of boosting young HE participation rates in our most disadvantaged areas in England. The

programme will seek to achieve this by focusing activity in those areas where HEFCE's analysis has shown participation in HE to be particularly low overall, and lower than would be expected given the KS4 attainment levels in those areas. In doing so, the programme will complement existing investment by institutions and Government in broader outreach which supports learners from their early school years as well as older learners into successful participation in HE.

5. We wish to commission consortia of HE providers, schools, colleges and other organisations to undertake intensive programmes of outreach activity in geographical areas where the HE participation of young people¹ is low and much lower than expected, based on GCSE level attainment.

6. In order to make the rapid progress required to increase access to HE to the level needed to achieve the Government's goals, the successful consortia will need to focus their work on the older age groups in schools and colleges. This means targeting activity primarily at Key Stage 4 and 5 learners from Years 9 through to 13.

7. The programme will run from 2016-17 to 2019-20. HEFCE will provide £30 million in 2016-17 to establish the consortia and commence delivery of activity. From 2017-18, funding for the programme will be set at £60 million per annum. Given the time necessary during 2016 to develop and approve proposals and for successful consortia to establish their infrastructure, we expect the delivery of outreach activity to commence in January 2017. The programme will therefore run in calendar years.

8. Funding will be provided for two years in the first instance, from January 2017 to December 2018. Funding for a further two years, to December 2020 will be subject to consortia making satisfactory progress towards meeting the Government's goals.

9. In 2016-17, all institutions will continue to receive a widening access allocation from HEFCE, which will total £54 million². They will also continue to receive an allocation (totalling £279 million³) to improve student success among at risk students from disadvantaged backgrounds. We are due to consult on our approach to teaching funding in late spring, and will detail our proposals for the institutional widening access allocation from 2017-18 in that document.

10. HEFCE and OFFA are concerned to ensure that the national collaborative outreach programme adds value to existing, long-term, progressive outreach activity already delivered by institutions. Consortia must therefore demonstrate how the proposed approaches for the programme align with and complement existing activity, particularly outreach funded through their access agreement commitments. It will be important to articulate, as part of this, the way in which the consortia partners will ensure

¹ HEFCE measures young participation in HE by looking at the proportion of the cohort that enters HE at both age 18 and 19 years old. This differs from UCAS which captures those entering at age 18 only.

² See www.hefce.ac.uk/pubs/year/2016/CL_032016/.

³ As is our normal practice, £3 million will be held back to be allocated after any changes to funding required following amendments to the underlying data.

that their individual capacity to continue their current outreach programmes will be maintained.

11. The national collaborative outreach programme is intended rapidly to address the Government's ambitions in terms of progression to higher education by students from disadvantaged backgrounds. We will, therefore, rigorously monitor on an annual basis the targets and milestones agreed through a consortium's funding agreement, which will be based on our analysis of the progress needed in different local areas.

12. To avoid changes in targeting and so that consortia can work systematically with schools and colleges in the target areas, during the life of the programme we will not change the data which underpins the funding allocations and the wards to be targeted.

13. The proposals will be assessed by an external, expert panel. The panel will be responsible for making recommendations to the HEFCE Board with regard to the consortia to be funded on the basis of quality of the proposals put forward and the likely achievement of the stated outcomes.

Action required

14. Consortia should submit their proposals to HEFCE by **noon on Friday 1 July 2016**. Submissions should be sent to NCOP@hefce.ac.uk.

Background

15. The Government's grant letter to HEFCE⁴ of 4 March 2016 set out the details of our funding for 2016-17 and the policy priorities it expects us to pursue. It states the following with regard to our funding for student opportunity:

'The overall purpose should be to target this funding more effectively to support government priorities, with a greater focus on the institutions with higher proportions of at risk students, and to support access for those students with the educational attainment or potential to succeed in particular geographical areas where there is evidence that entry rates are below expectations'.

16. The priorities outlined in our grant letter are set within the context of the Government's ambition to double the proportion of students from disadvantaged backgrounds in higher education (HE) by 2020 from a 2009 baseline and to increase the proportion of students in HE from ethnic minority groups by 20 per cent by 2020⁵.

17. In the most recent 2015 UCAS End of Cycle report⁶, the HE entry rate for 18 year-olds⁷ from POLAR3 quintile 1 (Q1) was 18.5 per cent or 24,300 entrants. To achieve the target would require 32,000 entrants, which equates to an additional 7,700 entrants by 2020. The required annual increase in entry rates would therefore be 1,500 entrants. Current trends predict that the annual increase would be 900 entrants.

18. The UCAS 2015 end of cycle data shows a recent decline in growth in the rates of young people from POLAR3 Q1 areas entering HE at 18: from growth of 1.4 percentage points in 2014, down to 0.7 percentage points in 2015. The provisional data from UCAS for the 2016 application cycle shows a growth of 1 percentage point since 2015 for Q1 applicants. The rate of growth required to meet the Government's goals, however, is around 2 percentage points per annum.

19. It is clear, therefore that the current rate of growth is insufficient to meet the Government's goal to double participation of the most disadvantaged groups by 2020. UCAS predicts that, on current trends, it would be 2027 before this ambition could be realised.

20. This provides an imperative to find new ways to make progress on increasing the participation rates of students in our most disadvantaged areas, and the HEFCE Board has determined that the most effective way of addressing this is through collaborative approaches focused on the specific needs of local areas where there is the greatest

⁴ See www.hefce.ac.uk/news/newsarchive/2016/Name,107598,en.html.

⁵ See the Government's Green Paper, 'Fulfilling our potential: teaching excellence, social mobility and student choice', Department for Business, Innovation and Skills, November 2015.

⁶ 'UCAS End of Cycle Report 2015', UCAS, February 2016. See <https://www.ucas.com/corporate/data-and-analysis/ucas-undergraduate-releases/ucas-undergraduate-analysis-reports/ucas>.

⁷ The 18 year-old entry rate for students from POLAR3 quintile 1 (the areas with the lowest HE participation rates) derived from UCAS data, is how the Government will measure progress against its goal to double the proportion of students from disadvantaged backgrounds in HE by 2020. For an introduction to POLAR see www.hefce.ac.uk/analysis/yp/POLAR/.

potential and need. Such an approach will complement broader-based outreach activity, particularly activity supported through the investment institutions make through their access agreement commitments, as well as the investments that both HEFCE and institutions continue to make to support student success across the lifecycle.

21. Recent HEFCE analysis identified gaps in local areas where the HE participation of young people⁸ is below the level expected, based on their GCSE level attainment⁹. This analysis suggests that there are local areas where more young people could be expected to participate in HE, based on their GCSE profile, than are actually progressing to HE. We refer to these areas¹⁰ as 'Gaps areas'. If those areas that fall both within the Government's target (POLAR3 quintile 1 Low Participation Neighbourhoods – LPNs) and have material participation gaps were to meet their expected young participation level, based on their GCSE profile, it is estimated that there would be an additional 3,800 HE entrants, on average, within each cohort.

Commission

Overview

22. We wish to commission consortia of HE providers, schools, colleges and other organisations to undertake intensive programmes of outreach activity in these POLAR3 Q1/Gaps areas. We have determined that consortia should operate within counties/combined counties as listed in Annex A. We have identified, within each of these counties/combined counties, those wards that are both POLAR3 Q1 wards and have lower than expected HE participation rates. Maps illustrating these wards for each of the counties/combined counties can be accessed on the HEFCE website at www.hefce.ac.uk/sas/ncop/.

23. In order to make the rapid progress required to increase access to HE to the level needed to achieve the Government's goals, the successful consortia will need to focus their work on the older age groups in schools and colleges. This means targeting activity primarily at Key Stage 4 and 5 learners from Year 9 through to 13.

Funding

24. The programme will run from 2016-17 to 2019-20. HEFCE will provide £30 million in 2016-17 to establish the consortia and commence delivery of activity. From 2017-18, funding for the programme will be set at £60 million. Funding has been set at this level in recognition of the need for consortia to deliver sustained, progressive, intensive outreach activity to the targeted cohorts of learners, which is resource intensive. Given the time necessary during 2016 to develop and approve proposals and for successful consortia to establish their infrastructure, we expect the delivery of outreach activity to commence in January 2017. Funding will be provided for two years in the first instance, from January

⁸ HEFCE measures young participation in HE by looking at the proportion of the cohort that enters HE at both age 18 and 19 years old. This differs from UCAS which captures those entering at age 18 only.

⁹ See www.hefce.ac.uk/analysis/yp/gaps/.

¹⁰ Those we have identified as Gaps quintile 1 or 2.

2017 to December 2018. Funding for a further two years, to December 2020, will be subject to consortia making satisfactory progress towards the Government's goals.

25. An indicative allocation for each of the counties/combined counties has been calculated by estimating the average number of 15 year-olds in the target wards¹¹ from population data. We have then established an average rate of funding per learner¹² of intensive activity, multiplied across five cohorts, to cover KS4 and KS5 learners. Furthermore, to recognise the additional costs of delivering outreach activity in rural areas, we have applied a weighting to the rate of funding for learners in those areas. The indicative allocation for each of the counties/combined counties for both 2016-17 and 2017-18 is provided in Annex A. Annex A also gives a detailed description of the allocation method.

26. In calculating the area-based allocations, we have assumed that, given the need for intensive programmes of activity, consortia will work with a proportion of learners in any given cohort and will focus on those learners that have the potential to progress to HE but are not expecting to do so. We have therefore assumed that activity would be undertaken with approximately one-third of the target cohorts.

27. For 2016-17, we will continue to deliver a widening access allocation to individual institutions as the new programme is established. This allocation will total £54 million. This will sit alongside a continued investment of £279 million¹³ to improve student success among at risk students from disadvantaged backgrounds. We will be consulting on our approach to teaching funding during 2016 and will detail our proposals for the institutional widening access allocation in that document, which we expect to publish in late spring 2016.

Specification

28. For each ward in the counties/combined counties, HEFCE's analysis of Gaps areas has calculated the expected HE participation rate given the KS4 attainment levels for those wards. Consortia should clearly set out how their proposal will close the gap between expected and actual HE participation in the areas they will target, providing appropriate milestones and targets for doing so.

29. Consortia should complete the submission template following the technical guidance provided. The submission template and technical guidance are in Annex B.

30. When developing their proposals, consortia should give full consideration to the following issues:

- a. HEFCE and OFFA are concerned to ensure that the national collaborative outreach programme adds value to existing, long-term, progressive outreach

¹¹ A target ward is a ward which is assigned to both POLAR quintile 1 and Gaps quintile 1 or 2

¹² An average per learner cost of £250 was derived from cost information from existing outreach providers.

¹³ As is our normal practice, £3 million will be held back to be allocated after any changes to funding required following amendments to the underlying data.

activity already delivered by institutions. Consortia should, therefore, demonstrate how the proposed approaches for the programme align with and complement existing activity, particularly outreach that is funded through their access agreement commitments. It will be important to articulate, as part of this, the way in which the consortia partners will ensure that their individual capacity to continue their current outreach programmes will be maintained.

b. Consortia should, as far as possible, aim to deliver comprehensive and objective information, advice and guidance about the HE options available to young people. Consequently, it is our expectation that most consortia will bring together a broad range of HE providers in their area, including universities, further education (FE) colleges and alternative HE providers, as well as other organisations, where appropriate.

c. In those counties/combined counties with particularly dense populations of target learners or with geographically dispersed populations of such learners, more than one consortium may wish to submit a proposal to cover a proportion of the target learners, with another consortium covering the rest. It will be important, therefore, that consortia are aware of other potential proposals under preparation in their county/combined county, and work with each other to minimise the risk of overlap or gaps in coverage of the target population. HEFCE will, through its active engagement with potential consortia, seek to identify those areas promptly where more than one proposal is under development and work with those consortia to ensure that there is sufficient engagement between them.

d. In cases where proposals are submitted by competing consortia targeting the same target population of learners, the highest quality proposal assessed using the criteria outlined in paragraph 48 will be awarded the commission.

31. The template (see paragraph 29) requires that the following information is provided in the submission:

a. An overview of the context of the Gaps areas that your consortium will cover, highlighting geographical or demographic challenges or unique characteristics and any known reasons for lower than expected progression to HE.

b. Details of the planned approach to addressing the lower than expected progression to HE in the identified wards, how the activity will be targeted, and what activity will be achieved.

c. An explanation of why the planned approach is considered effective, including evidence of the success of similar approaches elsewhere or, if an innovative, untested approach is proposed, the reasons why it would be appropriate for the areas in question.

d. Details of the engagement strategy for schools, colleges and communities, including how you will work with teachers and advisers to target a cohort of learners, build a progressive and sustained programme of outreach with each school and college, and manage delivery of activity.

- e. Details of how the consortia will address the particular challenge of the gaps in progression to HE between men and women.
- f. Details of how the consortia will address the needs of diverse groups of learners, particularly the needs of learners from ethnic minority groups where this is relevant given the populations for the areas to be targeted.
- g. Details of how activity delivered through the programme will complement and work alongside the broader outreach activity delivered by individual institutions from other funding sources, including that delivered through access agreement commitments.
- h. A project plan setting out the consortia's key HE progression targets and milestones to cover the academic years 2016-17 to 2019-20, ensuring that they align with HEFCE's analysis of the size of the participation gap (as described in paragraph 18) for the area.
- i. Details of how the consortium will measure success and ensure it is contributing to the national goal to double the proportion of students from disadvantaged backgrounds in HE by 2020.
- j. Detailed evaluation and monitoring plans setting out how the requirements for tracking under the programme will be met and how the effectiveness of the activity put in place by the consortia will be robustly evaluated.
- k. Management and governance arrangements, how the consortia will operate and how partners will be included in establishing strategy and contributing to decision making.
- l. Budgets and resourcing, how the funding for the programme will be utilised by the consortia to deliver the planned programme, and how this will achieve the milestones and targets.
- m. A comprehensive risk analysis with mitigating actions where appropriate.

Eligibility

32. Each consortium must be led by a HEFCE-fundable higher education institution¹⁴. The lead institution will receive the funds from HEFCE on behalf of the consortium, and will be responsible for the distribution of and accountability for those funds. It will be the responsibility of the lead institution to ensure that it has appropriate contracts and agreements in place with the other member organisations in the consortium to secure the effective delivery of activity and provide assurance on the appropriate and effective use of HEFCE funding.

¹⁴ It is necessary for the lead institution to be a HEFCE-funded higher education institution to enable funds delivered through the programme to be passed on to schools. This will be important for those consortia that include schools as partners and that have determined that the engagement of certain schools in the target areas will depend on the schools expenses being covered by the programme.

33. The other members of the consortium can include a range of organisations, including other HEFCE-fundable institutions, schools, colleges, private HE providers, employers and third sector organisations.

34. We welcome submissions from existing consortia, including the National Networks for Collaborative Outreach (NNCO).

Broader outreach

35. The national collaborative outreach programme is necessarily highly focused and targeted so that rapid progress can be made to increase the growth in HE participation rates of those students from the most disadvantaged backgrounds. As we outline in paragraph 30, HEFCE and OFFA are concerned to ensure that the programme does not disrupt longer-term, progressive outreach activity undertaken across the sector and across the age ranges from primary age children to adults in the workplace.

36. Therefore, consortia should clearly articulate how their proposed approach aligns with and complements existing, long-term outreach across the age ranges.

37. Furthermore, it will be appropriate for the infrastructure developed through this national collaborative outreach programme to be used as a platform for the delivery of broader based activity funded through other sources such as access agreements. The first priority for each consortium will, however, be the achievement of the targets and milestones agreed with HEFCE and its contribution to the national goals.

38. With the introduction of the apprenticeships levy, degree and higher level apprenticeships have increasing potential to offer an attractive and viable alternative route into higher level learning, and we expect more degree and higher level apprenticeships to be developed by HE providers. We wish, therefore, to encourage consortia to consider how apprenticeship programmes could feature in the work they undertake, both to help meet the Government's HE participation ambitions and to support the longer term growth of these important, alternative routes to higher level learning.

Monitoring and evaluation

39. The national collaborative outreach programme is intended rapidly to address the Government's ambitions in terms of progression to higher education by students from disadvantaged backgrounds. We will, therefore, rigorously monitor on an annual basis the targets and milestones agreed through a consortium's funding agreement. Each consortium will be issued with a HEFCE account manager who will maintain contact and seek to ensure that investment plans are adhered to and that consortia are making progress as planned.

40. Consortia will be asked to submit annual reports to HEFCE, which will include an assessment of progress against the targets and milestones agreed with HEFCE as well as a financial report. These reports will need to be signed off by the lead accountable institution.

41. We will conduct annual analysis of the numbers of 18 year-olds entering HE from the Gaps areas to establish the level of growth in participation rates. This will enable ongoing review of the efficacy of consortia approaches to improving the levels of HE participation from young people from disadvantaged areas.

42. We will expect all consortia to track their target learners through the Higher Education Access Tracker (HEAT) or a similar mechanism. Through use of tracking mechanisms, we will aim to build a picture of successful interventions and approaches across the country. This will allow us to share effective practice across the programme and, where necessary, ensure that any consortium failing to achieve its agreed milestones and targets is able to adopt other alternative approaches or interventions that have proved effective elsewhere.

43. HEFCE will appoint external evaluators to undertake a formative and summative evaluation of the programme. Annual monitoring and evaluation reports will be published by HEFCE, and consortia will be expected to build on the formative findings in those reports to enhance and refine their provision. Each consortium will be expected to engage fully with the national evaluation of the programme. The national evaluation is likely to require specific evidence to be gathered consistently across all consortia, so we will expect consortia to adapt their evaluation strategies to accommodate this.

44. HEFCE and OFFA are working to improve the level and quality of evidence of the impact and effectiveness of activity to widen access and support successful student attainment and progression outcomes. HEFCE's work builds on research that it commissioned last year¹⁵, which sought to inform the development of an outcomes framework through evidence from data returns that institutions provide to HEFCE and OFFA, evidence from the evaluation of interventions across the student lifecycle, as well as institutional and national research and analysis. Evidence gathered through the evaluation and monitoring of the programme will be a vital component of the framework.

45. It is our expectation that consortia will seek to continuously improve their activity by building on the findings of their own and others' evaluation of activity and learning from effective practice wherever it is found. In its management of the programme, HEFCE will ensure that there are sufficient opportunities for consortia across the programme to come together to share ideas, evidence and good practice, and collectively to build on the formative findings from the monitoring and evaluation processes. We will positively and proactively engage with any consortia that are failing to achieve their milestones and targets and work with them to improve performance, drawing on work undertaken by other consortia. However, if a consortium appears materially to be falling below the milestones and targets established for the local area, we reserve the right to cease funding that consortium in order to invest in a different approach. This may be achieved by re-advertising the availability of funding, or by inviting a successful consortium to adopt the Gaps area in a failing location. All consortia will be subject to review leading up

¹⁵ 'Student Opportunity outcomes framework research programme: Data return project', HEFCE 2015 (www.hefce.ac.uk/pubs/rereports/Year/2015/sodataret/) and 'Student Opportunity outcomes framework research: in-depth study', HEFCE 2015 (www.hefce.ac.uk/pubs/rereports/Year/2015/sodepth/).

to the end of the second year of operation, and funding beyond this date will be subject to satisfactory performance.

46. In order to avoid changes in targeting and so that consortia can work systematically with schools and colleges in the Gaps areas, during the life of the programme we will not change the data which underpins the funding allocations and the wards to be targeted. We will, however, annually monitor participation levels in the Gaps areas in order to assess the level of progress being made and help us evaluate the effectiveness of the programme.

Criteria for assessment of proposals

47. The proposals will be assessed by an external, expert panel, the membership of which will be drawn from the HEFCE Teaching Excellence and Student Opportunity Strategic Advisory Committee, other HE representatives with expertise in widening participation, representatives from the schools and FE sectors, and a representative from OFFA. The panel will be responsible for making recommendations to the HEFCE Board with regard to the consortia to be funded on the basis of quality of the proposals put forward and the likely achievement of the stated outcomes.

48. When considering which proposals to recommend for funding, the panel will assess them against the following criteria:

- a. The proposal demonstrates that the consortium partners have a good knowledge of the local areas to be targeted, the demographic of the population, and the organisations making up the compulsory and post-compulsory education system in those areas, and identifies the particular challenges of progressing young people in those areas into HE.
- b. The proposal demonstrates how the programme will complement and build on existing, broader based outreach across younger and older age groups.
- c. The programme of outreach proposed is coherent and appropriate to the targeted cohorts, and based on demonstrable experience and evidence of effective outreach practice.
- d. The targets and milestones are reasonable and realistic.
- e. The proposal includes a fully costed plan that is within the indicative budget set by HEFCE. Where the proposed budget is larger than HEFCE's indicative allocation for the area, the proposal identifies how those additional costs will be met.
- f. The consortium is inclusive and has an appropriate spread of HE providers and other partners in the local area.
- g. The proposed leadership and governance is robust, and members of the leadership team have appropriate experience and expertise.

- h. The resourcing plan is reasonable and staffing levels are appropriate, both in terms of the number of staff to be employed and the level of seniority of the director and senior team.
- i. The evaluation strategy is robust and the monitoring and reporting arrangements, including the success criteria, are appropriate.
- j. The proposal includes letters of agreement from all consortium partners

Action required and approval process

49. The timeline for commissioning the national collaborative outreach programme is set out below. Proposals should be sent to NCOP@hefce.ac.uk by **noon on Friday 1 July 2016**.

Action	Timescale
Call for outreach proposals published	23 March 2016
Programme commissioning events	April and May 2016
Deadline for submission of bids	1 July 2016
Panel meeting to assess bids and make recommendations for funding	7 September 2016
Funding decisions made by HEFCE Board and published as soon as possible thereafter	14 September 2016
Activity commences	January 2017

50. Following the meeting of the expert panel in early September, HEFCE Board approval for funding the individual consortia will be sought on 14 September 2016. Once approved, the lead institution in each consortium will be issued with a grant agreement, which will specify the terms and conditions of grant as well as the expected outcomes against which the consortium will be monitored and evaluated. The grant agreement will specify the indicative funding amounts for each year of the programme, but funding beyond year 2 will be dependent on satisfactory progress against the milestones agreed in the original proposal.

51. Throughout April and May 2016, HEFCE will hold a series of meetings across England to discuss the programme with prospective consortia. The meetings will provide an opportunity for potential consortia to gain further clarity around the expectations of the programme, how the programme aligns with work institutions have set out in their access agreements and to raise issues and queries with both HEFCE and OFFA with regard to the programme. Further information about the meetings will be posted on the HEFCE website by the end of March.

Annex A: List of counties/combined counties within which consortia should operate and associated funding allocations for 2016-17 and 2017-18

Allocation method

Step 1

First we calculate a total population of 15 year-old state school pupils in England, based on the five cohorts between 2003-04 and 2007-08¹⁶ (taken from the National Pupil Database). This population is considered on a ward (ONS 2001 CAS Wards) basis, within a county/combined county (ONS NUTS2).

Step 2

Each pupil (calculated in Step 1) is assigned to a POLAR quintile and a Gaps quintile based on their ward. We then calculate the total number of pupils in each county/combined county who are assigned to both POLAR quintile 1 (Low Participation Neighbourhood) and Gaps quintile 1 or 2 (lower than expected HE participation rates). These are identified as target wards.

The lists and locations of the target wards identified on a county/combined county basis are included in the workbook and interactive map on www.hefce.ac.uk/sas/ncop/.

Step 3

A weighted population for each county/combined county is then calculated as the target population (calculated in Step 2) multiplied by a rural weight (1.5 for a county/combined county that is deemed to be rural, 1 otherwise).

Whether a county/combined county is deemed to be rural is based on the ONS rural-urban classification (ONS rural urban classification). If a county/combined county has greater than 50 per cent of its total population (all age groups) from rural areas according to the classification then it is considered rural.

Step 4

The total pot (£30 million for 2016-17 and £60 million for 2017-18) is then allocated pro-rata based on the weighted population (calculated in Step 3) in each county/combined county.

¹⁶ These are the cohorts who would have entered HE aged 18 or 19 up to 2012.

2016-17 Indicative outreach allocation with £30 million by counties and combined counties

County and combined county area (29 areas)	Total population of 15 year-olds based on five cohorts	Weighted population based on POLAR Q1 and Gaps population of the five cohorts (see Step 2 above)	County/combined county allocation £
Bedfordshire and Hertfordshire	98,085	2,430	149,350
Berkshire, Buckinghamshire and Oxfordshire	119,635	9,240	568,255
Cheshire	52,395	7,890	485,249
Cornwall and Isles of Scilly*	30,720	3,135	288,954
Cumbria*	29,930	5,220	481,345
Derby, Derbyshire, Nottingham and Nottinghamshire	123,015	27,210	1,673,162
Devon	62,690	15,075	926,966
Dorset and Somerset	68,795	10,880	668,847
East Anglia*	124,615	25,790	2,378,685
East Yorkshire and Northern Lincolnshire	58,340	12,720	782,166
Essex	101,510	25,515	1,568,697
Gloucestershire, Wiltshire and Bath/Bristol area	124,860	32,970	2,027,076
Greater Manchester	163,170	34,635	2,129,635
Hampshire and Isle of Wight	103,365	25,445	1,564,516
Herefordshire, Worcestershire and Warwickshire	72,400	4,735	291,014
Kent	100,115	17,885	1,099,619
Lancashire	90,925	7,615	468,156
Leicestershire, Rutland and Northamptonshire	100,110	12,135	746,258
Lincolnshire*	41,065	6,625	610,927
Merseyside	99,775	9,870	606,807
North Yorkshire*	43,255	2,330	214,894
Northumberland and Tyne and Wear	84,030	17,400	1,069,737

Shropshire and Staffordshire	94,260	19,525	1,200,518
South Yorkshire	81,595	27,190	1,614,812
Surrey, East and West Sussex	132,020	19,850	1,220,501
Tees Valley and Durham	75,295	10,975	674,811
West Midlands	168,735	31,580	1,941,611
West Yorkshire	131,005	29,765	1,887,011
Greater London	372,855	10,740	660,423

Notes:

Those counties/combined counties with a * have a rural weighting applied.

Population totals have been rounded to the nearest five.

2017-18 Indicative outreach allocation with £60 million by counties and combined counties

County and combined county area (29 areas)	Total population of 15 year-olds based on five cohorts	Weighted population based on POLAR Q1 and Gaps population of the five cohorts (see Step 2 above)	County/combined county allocation £
Bedfordshire and Hertfordshire	98,085	2,430	298,700
Berkshire, Buckinghamshire and Oxfordshire	119,635	9,240	1,136,511
Cheshire	52,395	7,890	970,498
Cornwall and Isles of Scilly*	30,720	3,135	577,909
Cumbria*	29,930	5,220	962,689
Derby, Derbyshire, Nottingham and Nottinghamshire	123,015	27,210	3,346,324
Devon	62,690	15,075	1,853,931
Dorset and Somerset	68,795	10,880	1,337,693
East Anglia*	124,615	25,790	4,757,370
East Yorkshire and Northern Lincolnshire	58,340	12,720	1,564,331
Essex	101,510	25,515	3,137,394
Gloucestershire, Wiltshire and Bath/Bristol area	124,860	32,970	4,054,153
Greater Manchester	163,170	34,635	4,259,271

Hampshire and Isle of Wight	103,365	25,445	3,129,032
Herefordshire, Worcestershire and Warwickshire	72,400	4,735	582,028
Kent	100,115	17,885	2,199,238
Lancashire	90,925	7,615	936,312
Leicestershire, Rutland and Northamptonshire	100,110	12,135	1,492,516
Lincolnshire*	41,065	6,625	1,221,853
Merseyside	99,775	9,870	1,213,614
North Yorkshire*	43,255	2,330	429,788
Northumberland and Tyne and Wear	84,030	17,400	2,139,473
Shropshire and Staffordshire	94,260	19,525	2,401,035
South Yorkshire	81,595	27,190	3,229,623
Surrey, East and West Sussex	132,020	19,850	2,441,001
Tees Valley and Durham	75,295	10,975	1,349,622
West Midlands	168,735	31,580	3,883,221
West Yorkshire	131,005	29,765	3,774,022
Greater London	372,855	10,740	1,320,846

Notes:

Those counties/combined counties with a * have a rural weighting applied.
Population totals have been rounded to the nearest five.

Annex B: Structure for proposals

Consortia should submit proposals using the following structure. Failure to address all elements will affect the success of the proposal. Examples of requirements are given as a guide, consortia may offer wider information as necessary.

Word limits are given as a guide not a restriction.

Consortia should submit their bids to HEFCE by **noon on Friday 1 July 2016**. Submissions should be sent to NCOP@hefce.ac.uk.

Where we indicate that details are requested 'for information', the response will not affect the judgment on the proposal.

About the consortium	
Name of consortium	
Lead higher education institution	
Contact name	
Contact email and phone number	
County/combined counties covered by this proposal (please indicate which wards if coverage is partial)	
Total HEFCE related investment (see Annex A)	£
Other investment secured	£
Does the consortium build on an existing network?	Yes/No Name of existing network:

Elements to cover in your proposal	Examples of requirements
<p>An overview of the context of the Gaps areas that your consortium will cover</p> <p>(Guide 750 words)</p>	<ul style="list-style-type: none"> • geographical (for example, rural and coastal) or demographic (for example, high proportion of population speaks English as an additional language) challenges • unique characteristics affecting the areas (for example, labour market information, information about local industry and job prospects for the local population) • the secondary schooling system • the HE provider and college sectors • any known reasons for lower than expected progression to HE
<p>The planned approach to addressing the lower than expected progression to HE in the identified Gaps areas</p> <p>(Guide 500 words)</p>	<ul style="list-style-type: none"> • how the consortium partners will bring their experience and expertise together to address the challenges • the broad strategy that the consortium will use to address the challenges • how the consortium will manage the delivery of activity • how the consortium will deliver comprehensive and objective information, advice and guidance about the HE options available to young people
<p>How will activity be targeted?</p> <p>(Guide 500 words)</p>	<ul style="list-style-type: none"> • how the consortium will identify learners in Gaps areas who are able but unlikely to progress to HE • how the consortium will ensure that activity is focused on these learners through schools/colleges or other settings (for example, in community settings) • how the consortium will identify particular demographics in the Gaps areas, for example white boys and ethnic minorities who are able but

	unlikely to progress to HE
<p>What will be delivered to learners in the Gaps areas</p> <p>(Guide 500 words)</p>	<ul style="list-style-type: none"> • how the consortium will ensure that activity is learner focused and meets the needs of particular groups in the Gaps areas • the types of outreach activity that will be delivered to learners in Gaps areas • how activity will be organised over the different school years to promote a sustained and progressive programme of outreach activity and so maximise effectiveness
<p>Why the planned approach is considered effective</p> <p>(Guide 300 words)</p>	<ul style="list-style-type: none"> • evidence of the success of similar approaches • if an innovative, untested approach is proposed, the reasons why it would be appropriate for the areas in question
<p>Details of the engagement strategy for schools, colleges and communities</p> <p>(Guide 750 words)</p>	<ul style="list-style-type: none"> • how the consortium has engaged with schools, colleges and communities in Gaps areas in building this proposal • how the consortium will work with teachers and advisers to target a cohort of learners • how the consortium will build a programme of progressive and sustained outreach with schools and colleges in Gaps areas • how the consortium will work with communities, if appropriate, in meeting the aims of the programme • how the programme of sustained outreach will work across transitional points, for example, from school into college
<p>Details of how the consortium will address particular challenges in Gaps areas in progression to HE between men and women and ethnic minorities (for information)</p>	<ul style="list-style-type: none"> • what specific activity will be developed to tackle any differences in progression between young men and women from the Gaps areas • what specific activity will be developed to tackle any differences in

<p>(Guide 250 words)</p>	<p>progression in learners from ethnic minority groups in the Gaps areas</p>
<p>Broader outreach work</p> <p>(Guide 500 words)</p>	<ul style="list-style-type: none"> • details of how activity delivered through the programme will complement and work alongside the broader outreach activity delivered by individual institutions from other funding sources, including that delivered through access agreement commitments • details of how the infrastructure provided by the consortium will be used to support this broader outreach work funded from other sources (for information) • details of how the consortium will retain the co-ordinating function of the SPoC • how the consortium will feature apprenticeship programmes in any broader activity supported by the infrastructure (for information)
<p>The consortium's project plan</p> <p>(Guide 500 words)</p>	<ul style="list-style-type: none"> • set out the consortium's milestones against its planned development of the consortia and delivery of activity to schools and colleges in Gaps areas • set out the consortium's HE progression targets covering the academic years 2016-17 to 2019-20 for the Gaps areas. These should align with HEFCE's analysis of the size of the participation gap (as described in paragraph 18) for the area
<p>How the consortia will measure its success</p> <p>(Guide 750 words)</p>	<ul style="list-style-type: none"> • detailed plans showing how the effectiveness of the outreach activities and their delivery will be robustly evaluated • details of how the consortium will ensure it is contributing to the national goal to double the proportion of students from disadvantaged backgrounds in HE by 2020

	<ul style="list-style-type: none"> • details of how the consortium will evaluate its own effectiveness as a mechanism for improving progression from the Gaps areas • details of how the consortium will track its learners' progression through the HEAT system or a similar mechanism
Management and governance arrangements (Guide 300 words)	<ul style="list-style-type: none"> • how the consortium will operate and how partners will be included in establishing strategy and contributing to decision making
Budgets and resourcing (Guide 300 words)	<ul style="list-style-type: none"> • how the funding for the programme will be utilised by the consortium to deliver the planned programme and achieve the milestones and targets • whether funding will be leveraged from other sources
Risk analysis	<ul style="list-style-type: none"> • a comprehensive risk analysis with mitigating actions where appropriate

A signed letter of support will be required from all members of the consortia.

Partners included in the consortium	Names
Partner higher education providers (HE and FE) including Alternative Providers	1 2 3 ...
Other education providers (schools, academies, free schools, sixth form colleges and non-HEFCE funded FE colleges)	1 2 3 ...

Charitable/third sector bodies	1 2 3 ...
Local organising bodies (LEPs, local authorities)	1 2 3 ...
Employers	1 2 3 ...
Other	1 2 3 ...