
Appraisal Report

Higher Education Funding Council for England

2017

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Document History

Draft No	Date	Appraisal Stage	
1		Department / Agency enters key information. Preliminary ideas expressed for the sort of material Department / Agency wishes to select. Executive summary completed in draft. Draft sent to TNA's IMC	
2		Specific decisions for groups of records have been made and any 'review' has been recorded. This must be done through consultation between IMC and DRO but may involve a wider discussion between IMCs.	
3		Final draft. Submission of completed report to Records Decision Panel for approval.	

Approvals

Name	Role	Date
Michael Rogers	IMC	
Pippa Thompson	DRO	
Marcia Jackson	Records Decision Panel	

EXECUTIVE SUMMARY

The Higher Education Funding Council for England (HEFCE) is a non-departmental public body which regulates universities and colleges in England working within a policy framework set by the Secretary of State for Education. HEFCE is statutorily independent of Government and as lead regulator of the higher education (HE) sector provides effective financial stewardship of the public funding it receives and provides to HE institutions. It ensures that the quality of teaching in higher education is assessed and advises Government and the sector on policy and practice. It works in the student interest and encourages and supports the positive contribution that higher education makes to individuals, the economy and society.

Supporting excellence in teaching, research and innovation for the benefit of students and the economy is achieved by maintaining trusted, professional relationships with HE providers, gathering intelligence, knowledge and insight, implementing policy and helping to share good practice appropriately across the sector. It is also an authoritative data source on the HE sector.

A key role is the distribution of public funding to higher education institutions in England, and to ensure that this money is used to deliver the greatest benefit to students and the wider public. HEFCE implements government policies in relation to the higher education sector in England, and manages the assessment of teaching, learning and research activity in the sector.

HEFCE works in partnership with the higher education sector, external partners and government, to develop approaches and policies which are approved by the HEFCE Board. The key areas are currently:

- Regulation and assurance
- Funding and finance
- Learning & Teaching in HE
- Research
- Student access and success
- Knowledge exchange and skills
- Analysis and insight

Details of the grants that are awarded to each institution are listed on HEFCE's website: <http://www.hefce.ac.uk/funding/annallocs/>.

HEFCE works with overseas countries, international bodies and other partners to share good practice and compare process and performance in knowledge exchange between higher education (HE) and the wider world. To this end HEFCE supports UUK (Universities UK) International (formerly the International Unit). UUKI's role is *inter alia* to co-ordinate international opportunities for the whole of the UK HE sector.

Record Selection

HEFCE will select records which support The National Archives' aims as described in TNA's Records collection policy November 2012 to: collect and preserve public records which document the principal policies and actions of the UK central government and capture the structures and decision-making processes in government

Records for transfer will include:

- HEFCE Board and strategic subcommittee meeting minutes and papers, Joint Information Systems Committee (Jisc) Board minutes and papers when Jisc was part of HEFCE. These are not published on the website in their entirety.
- Significant areas of policy development relating to HEFCE's key functions, such as changes to the way higher education is funded, development of assessment frameworks for teaching and research activity, the widening of participation in higher education, and the development of regulation, financial assurance and risk frameworks in the higher education sector.

HEFCE generates a large number of case files relating to the administration and monitoring of funding. Exceptional case records, such as those relating to high profile mergers, may be selected under OSP 48 – Case Files. Others will not be selected and will be destroyed according to business need.

A mixed approach to appraisal will be adopted. Some decisions will be made at series/classification level in the corporate file plan while some folder/file level appraisal will also be conducted, particularly with paper records. HEFCE implemented an exclusively electronic records management system in 2009 - however paper legacy files will require appraisal until 2025.

Information is published on HEFCE's website at hefce.ac.uk in line with HEFCE's publication scheme and includes extensive information about the organisation and its work. Reports and research are also published on the website. These are captured by the UK Government Web Archive and will not be selected for transfer to The National Archives because that would result in duplication (OSP 36).

BACKGROUND INFORMATION

1.1 Name of agency

Higher Education Funding Council for England (HEFCE).

1.2 Type of agency

Non Departmental Public Body (NDPB)

1.3 Annual budget

HEFCE was allocated a budget of £3.7 billion by the Department for Business, Innovation and Skills (BIS) in 2016-17 for the funding of higher education in England. HEFCE's funding obligations and priorities may be divided into the following areas:

- £1,578 million for recurrent research
- £1,360 million for recurrent teaching
- £160 million for knowledge exchange
- £98 million for national facilities and initiatives
- £478 million for capital funding

HEFCE's budget and priorities are set annually by the appropriate Secretary of State, under section 68 of the Further and Higher Education Act 1992. From 2017 HEFCE's budget has been set by the Secretary of State for Education.

1.4 Number of employees

In 1992 HEFCE began with approximately 153 employees, merged from the former Universities Funding Council (UFC) and Polytechnics and Colleges Funding Council (PCFC). During the following years the number fluctuated between approximately 180 and the current number of 327, depending on the varying demands of the organisation, including periodical research assessment exercises (currently referred to as the Research Excellence Framework).

1.5 History of organisation

HEFCE was established in 1992 under Section 62 of the Further and Higher Education Act 1992 [“the Act”], amid significant reform in the provision of education. It inherited functions from two predecessor organisations, the UFC and the PCFC with the Act unifying the higher education sector by ending the division between universities and polytechnics. Separate funding bodies exist for Scotland, Wales, and Northern Ireland.

The UFC took over responsibilities from its predecessor, the Universities Grants Committee (UGC) in April 1989. The UGC was set up by the Chancellor of the Exchequer in 1919 to look at the financial needs of University Education in the UK and advise the Government on the application of grants. All remaining records of the UFC and UGC are at The National Archives (TNA) under class UGC.

The PCFC was established by the Education Reform Act 1988 to administer funds made available by the Secretary of State for the provision of Higher Education (HE) and the undertaking of research by polytechnics, designated colleges, specified courses in colleges under local authority control and a number of grant-aided colleges. Its first meeting was in April 1989. Prior to the PCFC the National Advisory Body for Public Sector Higher Education (NAB) had been responsible for higher education outside the universities, although its role had been advisory. All remaining records of the PCFC and NAB are at TNA, also under class UGC.

1.6 Background, Functions and activities

HEFCE was established on 2 June 1992 under the terms of the Further and Higher Education Act 1992 [“the Act”]. It is a non-departmental public body operating with a high degree of autonomy within a policy and funding context set by the Government.

HEFCE’s legal functions are described in Part II of the Act.

It is responsible for administering funds made available to it by the Secretary of State and others for the purposes of providing financial support for activities eligible for funding. The Secretary of State may impose terms and conditions on the use of grants in accordance with section 68 of the Act.

In summary, activities eligible for funding are:

- (a) the provision of education and the undertaking of research by higher education institutions
- (b) the provision of any facilities, and the carrying on of any other activities, by higher education institutions which the governing bodies of those institutions consider it necessary or desirable to provide or carry on for the purpose of or in connection with education or research
- (c) the provision of prescribed courses of HE
- (d) the provision of services for the purposes of, or in connection with, the provision of education or the undertaking of research by institutions within the higher education sector

HEFCE's funding can be used to make grants, loans or other payments to the governing body of any higher education institution in respect of expenditure incurred by them for eligible activities. It has discretion under section 65(3)(a) of the Act with respect to the terms and conditions to be imposed in relation to any grants, loans or other payments, but it must consult certain bodies before exercising this discretion.

In exercising its functions it needs to have regard to the desirability of not discouraging any institution from maintaining or developing its funding from other sources and it should maintain an appropriate balance in the support given to institutions which are of denominational character and other institutions and any distinctive characteristics of any institution.

In addition, HEFCE has a number of supplementary functions including providing the Secretary of State with information or advice relating to the provision of higher education that is either requested by them or HEFCE thinks fit that they should have.

HEFCE is also responsible for securing provision for assessing the quality of education provided in institutions for whose activities they provide, or are considering providing, financial support and to establish a committee whose function is to give HEFCE advice on the discharge of this duty.

The Secretary of State may also add other functions.

Activities in practice

HEFCE's main role is to distribute government funding to higher education to universities and colleges in England, and to ensure that this money is used to deliver the greatest benefit to students and the wider public. HEFCE implements government policies in relation to the higher education sector in England and manages the assessment of teaching, learning and research activity in the sector.

HEFCE is responsible for ensuring accountability for the funds it distributes, and is the principal regulator for Higher Education Institutions (HEIs), as well as the lead regulator for higher education in England. It is also responsible for ensuring that the quality of teaching in higher education is assessed in the institutions it funds.

HEFCE administered and oversaw the historically significant Research Assessment Exercise (RAE), which was a periodic survey of research quality in the higher education sector that took place in 1986, 1989, 1992, 1996, 2001 and 2008. For example it administered the panels that assessed subjects, collated all the submissions from higher education institutions and published the results and panel minutes. RAE 2008 was the last of these exercises in this format and was superseded by the Research Excellence Framework (REF). The purpose of REF 2014 was to assess the quality of research and produce outcomes for each submission based more around bibliometric assessment (assessing research output by number of citations in academic literature) and the impact of research. HEFCE has taken the lead in policy development in this area.

As well as developing and implementing policy, HEFCE has a number of strategic advisory committees, which advise the Board on the effectiveness of its strategies and monitor progress towards objectives as set out in a business plan.

HEFCE also administers several Joint Advisory Committees, for example the UK Healthcare Advisory Committee (former Medical Committee). There are also a number of Standing Committees that advise the HEFCE Board, for example: Appointments Committee, Complaints Panel, Audit Committee and Remuneration Committee.

HEFCE designs funding mechanisms (or models) to manage the distribution of funds to HEIs, which are reviewed to comply with latest policies and funding allocation changes.

Publications and records of communications are captured by the UK Government Web Archive. Print material is deposited with the British Library in compliance with legal deposit legislation.

Recordkeeping

Electronic records relating to HEFCE business are created and managed in an electronic document and record management system (EDRMS). Records are held in a classification scheme with formally agreed retention schedules applied to the records. Data sets are stored and managed in an SQL Database. Some HR and Finance records are held in separate recordkeeping systems. Unstructured data including certain emails and shared drives are managed outside of the EDRMS. HEFCE is in the process of securing an electronic system to manage unstructured data.

An external organisation provides HEFCE with its off-site archive storage for paper records. All records held off-site are detailed in an EDRMS, and consist of Higher Education Institutional files, Policy, HR, Finance, Jisc, University Estate files and files relating to business with external organisations.

1.7 Name of the parent or sponsoring department

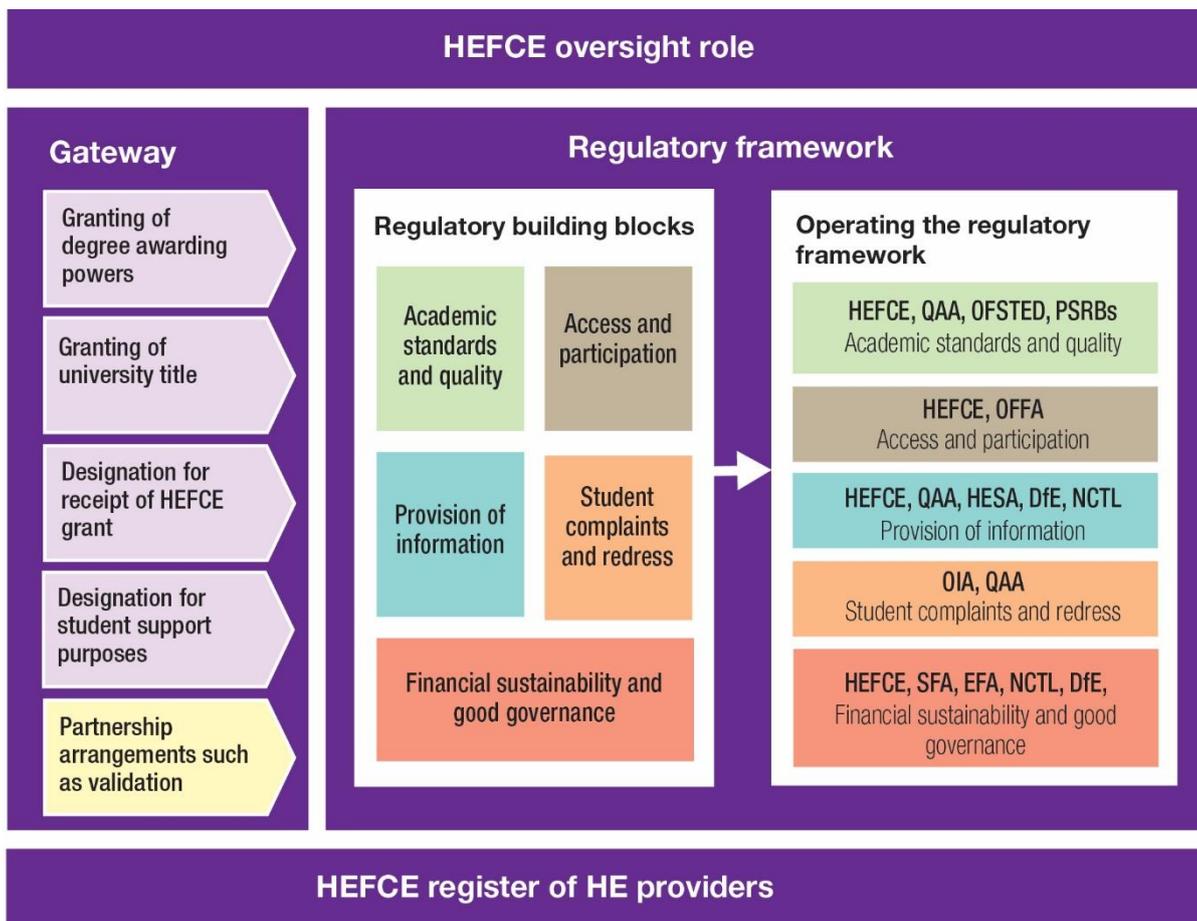
Department for Education (DfE).

1.8 Relationship with parent department

HEFCE acts independently from the Department for Education (DfE), distributing funds to higher education providers and developing policy in some key areas such as the Research Excellence Framework. In other areas, it implements policy imperatives disseminated from the Department for Education (DfE) under instruction from the Secretary of State.

Although HEFCE is not an integral part of any government department it has a role in the process of national government and works within an agreed management and financial control framework. This is outlined in a policy framework set by the Secretary of State for Education through an annual grant letter and framework document. However, it operates at arm's length from government ministers and is free from political control. Government cannot direct HEFCE on the allocation of funds to institutions. Neither HEFCE nor government can interfere in institutions' decisions on curriculum content or staff and student admissions.

The diagram below (from the ‘Operating Framework for Higher Education in England’) shows the relationship between HEFCE and other organisations in the HE Sector. HEFCE leads the operating framework for the regulation and funding of higher education in England. HEFCE’s role is: to take the lead on the regulatory work carried out by itself and its statutory and non-statutory partners to encourage an efficient and effective system of accountability to students and the public within the current legislative framework; to support and advise the Department for Education as necessary; and to agree conditions of grant funding and monitor compliance with these conditions.



DfE is a ministerial department with ultimate responsibility and accountability for higher education. Science and innovation policy is dealt with by the Department for Business, Energy and Industrial Strategy (BEIS). DfE and BEIS together provide funding for learning, teaching, research and knowledge exchange and make a contribution to capital costs for higher education. DfE sends an annual grant letter to the Higher Education Funding Council for England (HEFCE) which sets out policy priorities and funding for the next academic year. BEIS also distributes funding for research activities via the Research Councils. In addition DfE provides a guidance

letter to the Director for Fair Access (represented by the Office for Fair Access, OFFA). DfE oversees the work of HEFCE and OFFA.

DfE is responsible for decisions relating to: the institutional designation of higher education providers; the award of degree-awarding powers and university and university college title and decisions on eligibility for HEFCE funding; specific course designation and control of student numbers for alternative providers. HEFCE is responsible for managing the relevant application processes on behalf of the DfE.

HEFCE is accountable for the funds it receives from DfE and BEIS through the operational guidelines set out in the annual grant letter. HEFCE allocates funds to HEIs based on policy priorities and agreed funding methodologies.

As a condition of HEFCE funding, all HEIs must agree to be bound by a Memorandum of Assurance and Accountability with HEFCE, which among other matters outlines the terms and conditions for payment of HEFCE grant. HEFCE's ability to monitor and assure the financial sustainability of an HEI is ultimately derived from the Further and Higher Education Act 1992, with specific powers and obligations outlined in the Framework Document.

**Higher Education Providers* include: publicly funded universities and higher education colleges (collectively referred to as higher education institutions); further education colleges that offer higher education courses; alternative providers – organisations that provide higher education courses but are not higher education institutions or further education colleges - this includes privately funded colleges.

1.9 Relationship with other organisations

HEFCE partly funds a number of other organisations to contribute to the delivery of its objectives. These include Jisc, the Leadership Foundation for Higher Education and the Higher Education Academy. HEFCE has a service level agreement with OFFA primarily relating to the underlying IT system and the provision of HR services. HEFCE holds some records from the former JISC Secretariat, which became independent from HEFCE in 2012.

SELECTION DECISIONS

2.1 Policy undertaken in the organisation

HEFCE administers government policy in numerous areas in relation to the higher education sector. The core policy concerns of the organisation relate to how funding is allocated. Policy is developed, implemented and monitored in the following areas.

Learning and Teaching

HEFCE is committed to funding excellent and innovative teaching, to sharing excellent and expert advice and to supporting the interests of students by ensuring they have relevant and trustworthy information about providers.

Policy records include:

- Policy and Practice Development: Programme of support for small-scale Innovation Projects, Learning and Teaching Development, and Computer Science Graduate Employment Work.
- Teaching Funding Policy: Consultation, Correspondence, Reviews, Executive Discussion, Long term review
- Student Opportunity: Policy development

Records within this category come under Generic Selection Criteria 6.4 – where HEFCE is not the lead, or Generic Selection Criteria 1.1 – where HEFCE is the lead.

Research

HEFCE aims to develop and sustain an internationally competitive research sector. Funding allocation as a selective process is robust and transparent based upon clearly defined criteria.

- National policy development, future research assessment, landscape review of Interdisciplinary Research
- Research Excellence Framework (REF), Policy Development, Equalities
- Research and development policy, relationship between teaching and research
- Fundamental review of Research Policy and Funding

Records within this category come under Generic Selection Criteria 1.5 - Records of policy decisions where HEFCE was the lead. Research Excellence Framework (REF) results are captured by the Web Archive Team Selection (Generic Selection Criteria 6.12).

Student Opportunity

Developing policy in Widening Participation is about equality in higher education and encouraging students from a diverse range of backgrounds into higher education. HEFCE allocates funding to colleges through the annual student opportunity allocation. Colleges can use the funds to develop a strategic approach to widening participation activities and support the infrastructure they need to do so. The funds aim to support the additional costs of recruiting and supporting students with disabilities. In the past 'Student Opportunity' was labelled 'Access to higher education'.

- Widening Participation Policy development
- Lifelong Learning Networks Policy Development
- Disabled students Policy development
- Research into Widening Participation issues, for example reports on why fewer children from poor backgrounds or areas of the Country enter higher education

Records within this category come under Generic Selection Criteria 6.4 – where HEFCE is not the lead, or Generic Selection Criteria 1.1 – where HEFCE is the lead.

Knowledge exchange and skills

HEFCE is committed to enhancing the contribution higher education (HE) makes to the economy and society. Institutions already engage with the wider world in many different ways and HEFCE provides specific funds and support that encourages this process more effectively. In return, it seeks to bring the inspiration of that wider world back into universities and colleges.

- Knowledge Exchange, Strategy and Development, policy in development

Records within this category come under Generic Selection Criteria 6.4 – where HEFCE is not the lead, or Generic Selection Criteria 1.1 – where HEFCE is the lead.

Leadership, governance and equality

HEFCE's approach to supporting leadership, governance and management in HEIs includes providing funding to The Leadership Foundation and funding a code of practice for Higher Education. Ten to fifteen million pounds was distributed to universities for good practice projects to promote effective leadership, governance and management. This area is now called Leadership, governance and equality and has continued the work with a focus towards institutional engagement. Leadership, governance and management policy is published on the HEFCE website. This is captured by the UK Government Web Archive and will not be selected for transfer to The National Archives because it would result in duplication (OSP 36).

Records within this category come under Generic Selection Criteria 6.12 as it is captured by the UK Government Web Archive and will not be selected for transfer to The National Archives (OSP 36).

2.2 Areas of high-level operational work undertaken in the organisation

The majority of HEFCE's operational work revolves around administering public funding to institutions through various funding streams and the monitoring of the use of that funding. Records are produced annually for each institution in receipt of HEFCE funding. Generally these records are destroyed after their operational use becomes redundant. Some exceptional files may be of future interest to TNA such as high profile mergers, for example papers relating to the Tomlinson Mergers have been transferred to TNA, UGC 34 136-171. These will be selected under OSP 38 – Internal Administration.

2.3 Hybrid or Electronic Datasets / Business Systems

An EDRMS was introduced in 2008 and since then most of HEFCE's records are in electronic format. A minimum amount of paper files are created, for example contracts requiring handwritten signatures are kept as physical documents as well as scanned copies within the EDRMS.

HEFCE maintains a number of databases. There are no datasets that are currently identified for transfer to The National Archives because they are only required for current business purposes and will be retained for operational purposes only. HEFCE processes data from a number of data owners, including the Department for Education and the Higher Education Statistical Agency.

The data relates to students and universities and is used for the purposes of statistical analysis as part of fulfilling its statutory obligations. These data collections are retained for as long as they are needed for statistical purposes. Key data collections and statistical reports are anonymised and are published regularly on HEFCE's website or those of partner organisations and are captured by the UK Government Web Archive, these include:

- Higher Education Students Statistical survey (HESES)
- Higher Education in Further Education: Students survey (HEIFES)
- Higher Education Alternative Providers Early Students survey (HEAPES)

TECHNICAL REPORT: ANALYSIS OF RECORDS CREATED

3.1 Committee structure within the agency or parent department, including statutory committees directing the work of the organisation

Only list committees related to core statutory duties, high-level governance, and key technical / advisory roles. See further guidance in OSP 35 – Board and Committee records.

Name of committee	Terms of reference	Select?	Justification
HEFCE Board (advisory non-executive)	The Board's decisions are primarily based on advice and information in papers put forward by the HEFCE Chief Executive. The Board meets in private but extracts from its papers and minutes are published on the HEFCE website and there are press statements to promote key decisions. Those decisions include, for example, appointment of the chief executive, approval of the audited accounts, the allocation of funds to institutions and advice to ministers on higher education matters. The decisions of the Board are implemented by the HEFCE chief executive, who is also a member of the Board. Observers from other funding bodies attend meetings.	Yes	Records of highest level of decision making for HEFCE and oversees strategic sub-committees. Previous Board/Council Meeting Papers were selected.
Teaching excellence and student opportunity (strategic sub-committee of Board)	The core purpose of the Committee is to offer expert advice and to support the Board and the Executive in addressing HEFCE's policy and funding priorities relating to teaching excellence and student access, success and progression to further study or employment.	No	Main decisions and advice captured in records of the HEFCE Board. Previously agreed not to select. Provides strategic advice to Board on teaching, learning and student opportunity strategy and policy.

<p>Research and Knowledge Exchange Strategic Advisory Committee (strategic sub-committee of Board)</p>	<p>The core purpose of the committee is to advise and support the Board and the Executive of HEFCE in meeting their obligations in Research and Knowledge Exchange. This includes continuing to support universities and colleges in developing and sustaining a world-class, dynamic and internationally competitive research base that will play a key role in driving economic and cultural prosperity and national well-being, attracting investment in research and development, giving the country a competitive edge. It also supports universities and colleges in their knowledge exchange activities, linked with research and teaching, and wider approaches to contributing to the economy and society.</p>	<p>No</p>	<p>Main decisions and advice captured in records of the HEFCE Board. Previously agreed not to select. Provides strategic advice to board in order to fulfil aim of promoting excellence in research and assessing research output (RAE and Research Excellence Framework). Also promotes third stream funding and involvement (private sector), along with the Enterprise and Skills Committee. Previously known as 'Research & Innovation Committee'.</p>
<p>Leadership, Governance and Management Strategic Advisory Committee (sub-committee of Board)</p>	<p>The core purpose of the committee is to advise and support the Board and the Executive of HEFCE in meeting their obligations on matters related to leadership, governance and management and sustaining stakeholder confidence in Higher Education.</p>	<p>No</p>	<p>Main decisions and advice captured in records of the HEFCE Board. Previously agreed not to select. Provides strategic advice to the Board to enhance the sector's leadership, governance and management. Central to this is a focus on leadership, including emphasising the direct link between quality of leadership and management and academic activity. Supports higher education in making a unique and leading contribution to society's efforts to achieve sustainability and continuing HEFCE's risk-based approach to assessing and maintaining the sustainability of higher education in England as a whole.</p>

<p>Quality, Accountability and Regulation (sub-committee of Board)</p>	<p>The core purpose of the Committee is to support the Board in shaping HEFCE's role as lead regulator. It will advise and support the Board and the Executive of HEFCE in meeting their obligations on matters relating to the accountability, reputational and regulatory requirements of higher education (HE), including specifically ensuring that the quality of funded education is assessed. In addition, The Committee advises and supports the Board and the Executive of HEFCE in a range of other areas, including HEFCE's role as Principal Regulator for HE institutions that are exempt charities, the Register of HE Providers and student protection. It will also take a lead in providing advice to the Board about future legislation and the development of a regulatory system for higher education in England.</p>	<p>No</p>	<p>Main decisions and advice captured in records of the HEFCE Board. Previously agreed not to select. Provide strategic advice to Board in order to fulfill role as lead regulator. It acts as HEFCE's statutory "Quality Assessment Committee" and, in that role, provides the Board with an annual opinion on whether HEFCE has satisfactorily met its statutory duty.</p>
<p>Audit Committee (standing committee of Board)</p>	<p>The purpose of the committee is to advise and support the Board and the Accounting Officer by giving them independent assurance as to the effectiveness of the Council's internal control, corporate governance and risk management. In particular, the committee will give a formal recommendation to the Board on the audited accounts and advise on the content of the Governance Statement before they are approved. Consistent with HEFCE's responsibilities in the higher education sector, this remit extends to assurance to the Board about internal control, corporate governance and risk management by institutions and other organisations receiving funding from HEFCE.</p>	<p>No. Destroy at 15 years</p>	<p>Main decisions and advice captured in records of the HEFCE Board. Previously agreed not to select. Covered under HEFCE Retention and Disposal Schedule.</p>
<p>Remuneration Committee (standing committee of Board)</p>	<p>This committee makes: recommendations to the Board on the terms and conditions of employment of the Chief Executive; supports the Chair in monitoring the performance of the Chief Executive and in assessing</p>	<p>No. Destroy at 15 years</p>	<p>Main decisions and advice captured in records of the HEFCE Board. Previously agreed not to select. Covered under HEFCE Retention</p>

	entitlement to performance related pay; agrees the terms and conditions of employment of other Directors; carries out an annual review of the remuneration of Directors; reviews the aims of the annual pay remits, which seek authority from the relevant government Department in determining the nature and scale of pay awards to Council staff, delegating the details to the Chief Executive.		and Disposal Schedule.
Complaints Panel	The Council has an independent procedure for hearing complaints against the decisions of the Executive. A non-executive Board member chairs a panel of two external members drawn from a pool of suitably experienced figures independent of the Council. Its remit is to determine whether Council action or maladministration has caused injustice. It is the complainant's last resort before approaching the Parliamentary and Health Services Ombudsman or seeking judicial review.	No. Destroy at 15 years	Main decisions and advice captured in records of the HEFCE Board. Previously agreed not to select. Covered under HEFCE Retention and Disposal Schedule.
Appointments Committee	Contributes to the effectiveness of the Board by appointing committee members of suitable expertise and seeks to ensure that recruitment is open, fair and promotes equality of opportunity.	No. Destroy at 15 years	Main decisions and advice captured in records of the HEFCE Board. Previously agreed not to select. Covered under HEFCE Retention and Disposal Schedule.
HEFCE Executive (formerly the Chief Executive's Group (CEG))	The HEFCE Executive is the senior management group within HEFCE. It considers a wide range of policy and human resource management issues relevant both to the work HEFCE does in the sector and also to the Council's internal activities. The Executive usually meets weekly. The Executive also clears papers before they are dispatched to the Board.	No. Destroy at 15 years	Main decisions and advice captured in records of the HEFCE Board. Previously agreed not to select. Covered under HEFCE Retention and Disposal Schedule.

UK Healthcare Education Advisory Committee	Advises the UK higher education funding bodies on the impact of NHS changes on healthcare education and research.	No. Destroy at 15 years	Main decisions and advice captured in records of the HEFCE Board. Previously agreed not to select.
Board of the Joint Information Systems Committee	Responsible for supporting the innovative use of information and communication technologies to support learning, teaching, and research in the UK. Now called Jisc and, from December 2012, is a charity and company independent from HEFCE.	Yes	The board papers have already been transferred to TNA.
JISC content services committee (JCS-strategic sub-committee of Jisc Board)	The role of JISC Content Services Committee is to provide high quality information, content resources and services to facilitate excellence in learning, teaching and research ensuring that the JISC community is fully poised to meet the challenges of the knowledge economy. This supports the JISC strategic aims to: <ul style="list-style-type: none"> • Deliver innovative and sustainable ICT infrastructure, services and practice that support institutions in meeting their mission; • Promote the development, uptake and effective use of ICT to support learning, teaching and research. 	No. Destroy at 15 years	Main decisions and advice captured in records of the Jisc Board. Previously agreed not to select. Covered under HEFCE Retention and Disposal Schedule.
Integrated Information Environment Committee (IIEC-strategic sub-committee of Board)	Promotes and delivers integrated information sharing infrastructures	No. Destroy at 15 years	Main decisions and advice captured in records of the Jisc Board. Previously agreed not to select. Covered under HEFCE Retention and Disposal Schedule.
Learning and Teaching Committee (JLT-strategic sub-committee of Board)	Promotes technology to support learning and teaching	No. Destroy at 15 years	Main decisions and advice captured in records of the Jisc Board. Previously agreed not to select. Covered under HEFCE Retention and Disposal Schedule.

<p>Network Committee (JCN-strategic sub-committee of Board)</p>	<p>Promotes and supports the use of a network infrastructure</p>	<p>No. Destroy at 15 years</p>	<p>Main decisions and advice captured in records of the Jisc Board. Previously agreed not to select. Covered under HEFCE Retention and Disposal Schedule.</p>
<p>Organisational Support Committee (JOS-strategic sub-committee of Board)</p>	<p>Promotes and supports human and organisational resources to facilitate ICT infrastructure</p>	<p>No. Destroy at 15 years</p>	<p>Main decisions and advice captured in records of the Jisc Board. Previously agreed not to select. Covered under HEFCE Retention and Disposal Schedule.</p>
<p>Support of Research Committee (JSR-strategic sub-committee of Board)</p>	<p>Promotes and supports requirements of the research community</p>	<p>No. Destroy at 15 years</p>	<p>Main decisions and advice captured in records of the Jisc Board. Previously agreed not to select. Covered under HEFCE Retention and Disposal Schedule.</p>

3.2 Core / statutory functions and activities

1. Function / Activity	2. Record/s that document function / activity	3. Record creator / owner	4. Reason for record creation (e.g. statutory requirement)	5. Information on how records are registered, managed or arranged (volume created each year if known)	6. Selection Yes /No	7. Reasons for selection / non-selection (refer to criteria within Records Collection Policy)
Distributing public funds to higher education institutions.	Funding Announcements, Funding Round Project Board papers Annual funding allocations Funding Round (by year)	Funding Round Team	Statutory Requirement	Records are created and managed in an EDRMS.	No	Selection criteria 6.12 Funding Allocations are published on the website and are captured by the UK Government Web archive. Folder level appraisal required
Monitoring role in the Prevent Duty strategy.	Prevent duty monitoring: assessment process, monitoring framework, risk assessment.	Prevent Team	Statutory Requirement	Records are created and managed in EDRMS.	No	Selection criteria 6.4 The Department for Education is the lead department on Prevent. The records are required for operational purposes and will be destroyed according to retention schedules.
Assurance: assessing the quality of higher education HEFCE funds.	Quality Assessment Review. Annual accountability returns Memorandum of assurance and accountability	Assurance Team	Statutory requirement	Records are created and managed in EDRMS. Some paper files exist and are stored at Iron Mountain.	No	Selection criteria 6.12 Review documents are published on the website and are captured by the UK Government Web archive.

1. Function / Activity	2. Record/s that document function / activity	3. Record creator / owner	4. Reason for record creation (e.g. statutory requirement)	5. Information on how records are registered, managed or arranged (volume created each year if known)	6. Selection Yes /No	7. Reasons for selection / non-selection (refer to criteria within Records Collection Policy)
	HEFCE Assurance Review (HAR). Public Interest Disclosures (PID) Best practice guidance					Selection Criteria 6.3 The records are required for operational purposes and will be destroyed according to retention schedules.
Gateways into the regulated HE sector	Funding, Process assessment, evidence, planning; meeting minutes; course designation; Degree awarding powers	HE Gateways	Statutory requirement.	Records are created and managed in EDRMS.	No	Selection Criteria 6.3 The records are required for operational purposes and will be destroyed according to retention schedules.
Develop and sustain a competitive research sector	Research Excellence Framework Steering group documents, planning, consultation; communication; Publications Research Funding Model. Changes to the methodology	Research	Statutory requirement.	Records are created and managed in EDRMS.	Yes / No No	Selection Criteria 1.5 – records of policy decisions where HEFCE was the lead. Selection Criteria 6.3 The records are required for operational purposes and will be destroyed according to retention schedules. Selection criteria 6.12 Publications are published on REF2014 website and are captured by the UK Government Web

1. Function / Activity	2. Record/s that document function / activity	3. Record creator / owner	4. Reason for record creation (e.g. statutory requirement)	5. Information on how records are registered, managed or arranged (volume created each year if known)	6. Selection Yes /No	7. Reasons for selection / non-selection (refer to criteria within Records Collection Policy)
						archive.
Funding excellent and innovative teaching: Teaching Excellence Framework (TEF)	Recruitment, training and assessment, TEF Team Policy, TEF Assessment and Outcomes	TEF Team	Statutory	Records are created and managed in EDRMS. Some paper records are created as part of the TEF process.	Yes / No	Selection Criteria 1.5 – records of policy decisions where HEFCE was the lead. Selection criteria 6.12 TEF outcome and results are published on the website and are captured by the UK Government Web archive.
Developing a skills programme	Skills matrix, skills policy, strategy and development	Subject and Skills	Statutory	Records are created and managed in EDRMS. Some paper records exist and are stored at Iron Mountain.	No	Selection Criteria 6.3 The records are required for operational purposes and will be destroyed according to retention schedules.
Governance and accountability in HE	Sustaining a high quality HE sector, Equality and Diversity, Strategic Development Fund, Strategically Important and Vulnerable Subjects Central programme, Leadership Governance and Management Fund (LGM Fund)		Statutory	Records are created and managed in EDRMS	No	Selection Criteria 6.3 The records are required for operational purposes and will be destroyed according to retention schedules.

1. Function / Activity	2. Record/s that document function / activity	3. Record creator / owner	4. Reason for record creation (e.g. statutory requirement)	5. Information on how records are registered, managed or arranged (volume created each year if known)	6. Selection Yes /No	7. Reasons for selection / non-selection (refer to criteria within Records Collection Policy)
Knowledge Exchange	HEIF: Institutional five-year knowledge exchange strategies; monitoring; knowledge exchange funding: Allocations Research Education and Knowledge Exchange (REKE) budget, papers	Knowledge Exchange Subject and Skills Team	Statutory	Records are created and managed in EDRMS - some paper records exist and are stored at Iron Mountain.	Yes / No	<p>Selection Criteria 1.5 – records of policy decisions where HEFCE was the lead. Selection criteria 6.12 HEIF Knowledge Exchange Strategies and Allocations are published on the website and are captured by the UK Government Web archive.</p> <p>Selection Criteria 6.3 The records are required for operational purposes and will be destroyed according to retention schedules.</p>

3.3 Information in special formats and systems

This section should provide information on any record series which is not in a standard file format. Examples include: datasets, maps, plans, databases, audio-visual records, geographical information systems.

Where HEFCE owns the data within the dataset (or where we have acquired permission from the data owner), and when the dataset is no longer updated and has been selected as a historical record, HEFCE will arrange transfer to The National Archives.

Description	Owner	Format	Volume	Select?	Justification
<p>HESA student data</p> <p>Individualised data on students registered with HEIs - separate database containing links to anonymised data. Complete dataset, large volume - tightly controlled access managed on SQL database.</p>	Higher Education Statistics Agency (HESA)	HEFCE network HEFCE-SAS (Flat Files).	3M per annum	No	<p>Data is owned by HESA and processed by HEFCE.</p> <p>The dataset is updated on an ongoing basis and is only required for business purposes.</p>
<p>HESA destinations</p> <p>Anonymised destinations of students successfully leaving HEIs. Information is used to ascertain type of job, how it was attained, salary, 6 months after leaving HEI. Information is obtained from the student.</p>	HESA	HEFCE network HEFCE-SAS (Flat Files)	350,000 per annum	No	<p>Collated results published annually by HESA: https://www.hesa.ac.uk/data-and-analysis/students/destinations</p>

<p>National Student Survey</p> <p>Anonymised data of student responses to the national student survey.</p>	<p>HEFCE</p>	<p>HEFCE network HEFCE-SAS (Flat Files) IPSOS MORI, TDA</p>	<p>350,000 per annum</p>	<p>No</p>	<p>The dataset is updated on an ongoing basis and is only required for business purposes.</p> <p>NSS data are published here: http://www.hefce.ac.uk/lt/nss/results/</p>
<p>FE ITT bursaries.</p> <p>Individualised data on students in receipt of FE ITT bursaries.</p>	<p>HEFCE</p>	<p>HEFCE network HEFCE-STATDATA (SQL DB)</p>	<p>2k per annum</p>	<p>No</p>	<p>The dataset is no longer updated and has business value only.</p>
<p>UCAS applications data</p> <p>Individualised data on applications to study HE full-time: Names, demographics, DOB, Sex, Postcode, previous school, details of offers made, exam results.</p>	<p>UCAS</p>	<p>HEFCE network HEFCE-SAS (Flat Files)</p>	<p>500k per annum</p>	<p>No</p>	<p>The dataset is updated on an ongoing basis and is only required for business purposes.</p> <p>UCAS publishes data and analysis here: https://www.ucas.com/corporate/data-and-analysis</p>
<p>Student loans company data</p> <p>Individualised data on the loans and financial status of students.</p>	<p>SLC</p>	<p>HEFCE network HEFCE-SAS (Flat Files)</p>	<p>12M per annum</p>	<p>No</p>	<p>Data is owned by SLC and processed by HEFCE.</p> <p>SLC publish data here: http://www.slc.co.uk/official-statistics.aspx#</p>

<p>Child benefit data.</p> <p>Anonymised number of children receiving child benefit data by date of birth and postal area.</p>	<p>HMRC</p>	<p>HEFCE network HEFCE-SAS (Flat Files)</p>	<p>16M per annum</p>	<p>No</p>	<p>Data is owned by HMRC and processed by HEFCE.</p> <p>HMRC publish geographical statistics on child benefit data: https://www.gov.uk/government/collections/child-benefit-geographical-statistics</p>
<p>National Pupil Database</p> <p>Anonymised data on English school children.</p>	<p>DCSF</p>	<p>HEFCE network HEFCE-SAS (Flat Files)</p>	<p>500K</p>	<p>No</p>	<p>Data is owned by DfE and processed by HEFCE. Extracts can be requested by researchers through the following link: https://www.gov.uk/guidance/national-pupil-database-apply-for-a-data-extract</p>
<p>HESA staff record</p> <p>Anonymised data of staff employed at UK HEIs and employment details.</p>	<p>HESA</p>	<p>HEFCE network HEFCE-SAS (Flat Files)</p>	<p>600k per annum</p>	<p>No</p>	<p>The dataset is updated on an ongoing basis and is only required for business purposes.</p> <p>Data is owned by HESA and processed by HEFCE. HESA publish details about staff in education here:</p>

					https://www.hesa.ac.uk/data-and-analysis/staff
Scottish FES Individualised data on students registered with FECs in Scotland	SFC	HEFCE network HEFCE-SAS (Flat Files)	60K per annum	No	The dataset is updated on an ongoing basis and is only required for business purposes.
Welsh ISR/LLWR Individualised data on students registered with FECs in Wales	HEFCW	HEFCE network HEFCE-SAS (Flat Files)	20K per annum	No	The dataset is updated on an ongoing basis and is only required for business purposes.
Further Education Statistical Records Anonymised data of students registered with HEIs and FECs - Historical records to 1994	HESA	HEFCE network HEFCE-SAS (Flat Files)	800k per annum up to 1993	No	Contains data collected by government and provided to HEFCE by the DfES, now the DfE. FESR was superseded by ISR, which in turn was superseded by ILR. The ILR data is available here: https://www.adrn.ac.uk/get-data/catalogue/ HESA publish detailed information about students in higher education: https://www.hesa.ac.uk/data-and-analysis/students

<p>T (teaching) Funding Model</p> <p>Data relating to formula used to allocate funding for teaching (medical and dental survey), HESES/HEIFES-data gathered from institutions, Allocation of additional student numbers, funding data</p>	<p>HEFCE</p>	<p>HEFCE network HEFCE-SAS (Flat Files)</p>	<p>Aggregate</p>	<p>No</p>	<p>The datasets are published annually on HEFCE's website (see example below) and also captured by the UK Government Web Archive.</p> <p>http://www.hefce.ac.uk/media/HEFCE_2014/Content/Funding_and_finance/Annual_funding/For_institutions/16-17/October_2016/Student%20numbers%20from%20HESES15%20and%20HEIFES15%20(as%20of%2017.10.2016).xlsx</p> <p>Funding allocations are published here: http://www.hefce.ac.uk/funding/annalocns/1617/institutions/</p>
<p>TRAC, TRAC T (transparent approach to costing)</p> <p>Institutional financial data. Costings data relating to activity/subject areas (provided in confidence)</p>	<p>HEFCE</p>	<p>HEFCE network HEFCE-STATDATA</p>	<p>Aggregate</p>	<p>No</p>	<p>The dataset is updated on an ongoing basis and is only required for business purposes.</p> <p>TRAC income is published here: http://www.hefce.ac.uk/da</p>

					ta/year/2016/tracincome/
HESA finance statistics Institutional data	HESA	HEFCE network HEFCE-SAS (Flat Files)	Aggregate	No	The dataset is updated on an ongoing basis and is only required for business purposes. HESA publish financial data here: https://www.hesa.ac.uk/data-and-analysis/providers/finances
Access to learning fund data Individualised details of awards made to individuals under the ALF scheme. Individual level data.	HEFCE/ DIUS	HEFCE network HEFCE-STATDATA	120k per annum	No	This was last collected in 2013-14.
Research Assessment Exercise 2008 RAE submissions and staff details	HEFCE	HEFCE Network HEFCE-SQL		No	Results published on RAE2008 website
Research Assessment Exercise (previous) RAE submissions and staff details	HEFCE	Internal HEFCE Network HEFCE-SQL	60k per exercise	No	as 2008
Research Funding Model Details of research activity	HEFCE	HEFCE network HEFCE-SAS (R Drive)	Aggregate	No	There is a separate dataset for every year and it is published in its entirety here: http://www.hefce.ac.uk/fu

					nding/annalocns/1617/research/ - and also captured in the UK Government Web Archive.
AMRIS database Individual job application forms and diversity information	HEFCE	AMRIS database hosted by IntCorp	4583	No	The dataset is updated on an ongoing basis and is only required for business purposes.
CHRIS 21 database HR and Payroll details of all employees	HEFCE	HEFCE network HEFCE-MISDB (SQL DB and Flat Files)	1,000,000	No	The dataset is updated on an ongoing basis and is only required for business purposes.
Estate Management Statistics Data provided by HEIs on various aspects of Estates Management. The survey has been conducted annually since 1999.	HEFCE	OPDEMS HEFCE network HEFCE-SAS (Flat Files)		No	Summary results and descriptions of data categories are published: http://www.opdems.ac.uk/default.asp
Research Excellence Framework (REF) 2014 REF submissions and staff details	HEFCE	HEFCE network HEFCE-REF (SQL DB)		No	Collated in reports and published on http://www.ref.ac.uk/
Higher Education Business and Community Interaction Survey (HEB-CI) Data provided by HEIs about their third stream activities.	HEFCE	HEFCE network HEFCE-SAS (Flat Files) HEFCE-STATDATA (SQL DB)	Aggregate	No	A summary document is published on http://www.hefce.ac.uk/econsoc/buscom/hebci

3.4 Publications

Most publications and circular letters are posted on HEFCE's website, which is regularly captured in the UK Government Web Archive. HEFCE also has an agreement with the British Library to transfer its publications (OSP 36).

3.5 Internal Administration

Records relating to internal administration will not be selected. Any records about the organisational development of HEFCE (such as formation or significant reforms) should be selected from the sponsoring department (Department for Education). Any exceptions will be selected under OSP 38 – Internal Administration.

4. Additional information and follow-up

4.1 Implications of this report for the selection of records held in related departments / agencies

This report works on the assumption that any records disseminated from HEFCE's parent department that set out HEFCE's role or instructions should, if required, be selected from DfE.

4.2 Implications of the report for the review and selection of paper records relating to the functions covered here

HEFCE's paper records will continue to be appraised employing a mixed approach. Some decisions can be made at series level, on board and committee papers. HEFCE is currently reviewing paper files prior to the expected closure of HEFCE in 2018.

4.3 Follow-up

The appraisal report will be reviewed every 5 years, and before this following a major change in the organisation. On 31 March 2018, subject to the arrangements proposed in the [Higher Education and Research Act 2017](#), HEFCE will close and most of the existing functions will transfer to the Office for Students (OfS) except for the Research function which will move to the UK Research and Innovation body. OFFA's functions, as well as ownership and implementation of this Appraisal Report, will also transfer to the OfS.

The appraisal report will be reviewed following this machinery of government change.