



**Annual assurance letters**

<b>Outcome requested</b>	Audit and Risk Committee is asked to <b>note</b> the outcomes of:  [a] The 2016-17 HESA reconciliation exercise; [b] The Prevent duty annual reporting process.
<b>Executive Summary</b>	[a] The OfS wrote to QMUL on 17 April 2018 with the outcome of the funding data reconciliation exercise of student returns made to HESA and HEFCE for 2016–17. The OfS confirmed that QMUL was not selected to make a response as it had not exceeded the threshold criteria. The letter is included as Appendix A.  [b] HEFCE wrote to QMUL on 16 March 2018 in relation to submission of QMUL’s Prevent annual report documentation in December 2017. HEFCE concluded that in their view “the information provided <b>demonstrated sufficient evidence of due regard to the Prevent duty</b> ”. The letter is included as Appendix B.  [c] Last year the Committee considered the outcome of the Annual Provider Review (APR) process for 2016–17. This year, as part of the application process for OfS registration, QMUL was required to satisfy a number of initial conditions of registration that relate to quality and standards. The outcome of the OfS’s assessment of these conditions during the registration process will also constitute the quality and standards outcome for the APR process for 2017–18. QMUL will therefore not receive a separate outcome letter. The outcome of QMUL’s application for registration with the OfS is not yet known.
<b>QMUL Strategy:</b>	Strategic Aim 6: To achieve and sustain financial strength to enable our academic ambitions, through a balanced portfolio of activities.
<b>Strategic Risks</b>	Risk 11 – Sustainable income streams for activities
<b>Equality Impact Assessment:</b>	Not required
<b>Subject to prior and onward consideration by:</b>	QMSE
<b>Confidential paper under FOIA/DPA</b>	No
<b>Timing</b>	Annual report to Audit & Risk Committee
<b>Author</b>	Office for Students / HEFCE
<b>Date</b>	06 June 2018

**Senior  
Management/External  
Sponsor**

Laura Gibbs, Chief Operating Officer



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17 April 2018

Dear Professor Bailey

### **2016-17 HESA reconciliation exercise**

I am writing to inform you of the outcome of the selection for the 2016-17 HESA reconciliation exercise. This exercise compares the data returned to Higher Education Statistics Agency (HESA) with Higher Education Students Early Statistics (HESES) data submitted to HEFCE.

Where discrepancies occur between HESES16 and the outturn position for 2016-17, and these discrepancies exceed any of the selection thresholds listed in Annex A, we request a formal response to this exercise, in the form of an action plan. This response should explain all material differences between HESES16 and the re-creation from HESA student data of HESES16 (the HESES16 re-creation).

The comparison of data shows that your institution does not meet the selection criteria, **so you will not be required to submit a formal response to the exercise.**

If we find, either through reconciliations with HESA or other organisations' data, or any data audit, that erroneous data have resulted in institutions receiving incorrect

funding allocations, we will adjust their funding accordingly (subject to any appeals process that may apply and the availability of our funds).

The outputs that accompany this exercise along with guidance on how to use them can be downloaded from the '2016-17 HESA post-collection outputs (OfS)' section on the OfS portal (<https://extranet.officeforstudents.org.uk/Data>). The relevant access key was posted to you on 04 April 2018.

We encourage you to review the reconciliation outputs that accompany this exercise as it is an essential element of all institutions' data quality processes. The outputs will help institutions to:

- identify discrepancies between forecasts in 2016-17 HESES data (HESES16) and the outturn position for 2016-17
- identify errors in HESES16.

Yours sincerely

Anthea C. Beresford



**Anthea Beresford**  
**Data Assurance Consultant**

Cc: Ms Catherine Murray

HESES contact

## **Annex A**

Institutions meeting the following threshold criterion have been selected to respond to this exercise. This criterion is based on the Higher Education Students Early Statistics (HESES) survey 2016 and its re-creation.

In assessing whether institutions meet the criterion, we have made assumptions based on previous years data about the likely completion status of students reported as FUNDCOMP=3 ('Year of instance is not yet completed, but the student has not failed to complete').

### **Selection criterion**

The total 2017-18 funding difference between HESES16 and the HESES16 re-creation exceeds either £500,000, or £50,000 and 25 per cent.

Or

The total headcount difference between HESES16 and the HESES16 re-creation exceeds either 1,500, or 75 and 10 per cent.

16 March 2018

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Dear Professor Bailey,

**Prevent duty annual reporting: monitoring outcome**

Thank you for submitting your Prevent annual report documentation in December. After careful consideration of the report, I am pleased to inform you that we have concluded that in our view the information provided **demonstrated sufficient evidence of due regard to the Prevent duty**. I reached this conclusion following advice from HEFCE officers.

**Next steps**

No immediate actions are required following receipt of this letter. However, your Prevent Adviser can provide further detailed feedback on your report on request.

Responsibility for ensuring compliance with the legal duty sits with the governing body or proprietor of your institution and you should continue to keep them suitably apprised of how your institution is demonstrating due regard to the duty.

From 1 April 2018, the Office for Students will replace HEFCE as the delegated Prevent monitor for relevant higher education bodies. Your next annual report will be due on 1 December 2018 and should be submitted to the OfS. In the meantime any serious Prevent-related incidents or significant changes to policies should be reported to your Prevent Adviser.

Yours sincerely



Professor Madeleine Atkins  
Chief Executive

cc: Sir Tim Clement-Jones