



European Commission, Research Directorate-General  
Directorate C - European Research Area  
Universities and Researchers

**Feasibility Study**  
**for Creating a European University Data**  
**Collection**

**[Contract No. RTD/C/C4/2009/0233402]**

**Annex 6 to the Final Study Report**

**Notes on Statistical Validity**

***Disclaimer:*** *The opinions expressed in this study are those of the authors and do not necessarily reflect the views of the European Commission.*

## Document Information Sheet

<i>Deliverable Title</i>	<b>Annex 6 to the Final Study Report</b>
<i>Abstract</i>	This document overviews the EUMIDA Study and its context, objectives, methodology, results and reasoned conclusions – including an outline of the proposed statistical infrastructure. This final version is grounded on the available evidence at the time of delivery from Country level Data Collections 1 & 2, which have been separately delivered as Annexes. It also takes benefit from a variety of comments and contributions received on the previous draft from the Commission services as well as Eurostat.
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## Executive Summary

The present study (also known as "the EUMIDA project") has laid the foundations for a regular data collection by national statistical institutes on individual higher education institutions<sup>1</sup> in the EU-27 Member States together with Norway and Switzerland. The related contract with the European Commission was signed on 6<sup>th</sup> July 2009 for a duration of 15 months, thus ending on 5<sup>th</sup> October 2010.

The project was carried out by an international Consortium composed of:

- University of PISA, Facoltà di Ingegneria, Dipartimento Sistemi Elettrici e Automazione, Italy (Coordinator)
- FRAUNHOFER – Gesellschaft zur Förderung der angewandten Forschung e.V, Germany
- JOANNEUM RESEARCH – Forschungsgesellschaft mbH, Austria
- NIFU STEP – Norwegian Institute for Studies in Innovation, Research and Education, Norway
- USI – Università della Svizzera Italiana, Switzerland

A considerable number of individual experts were involved as National Contact Points for all data collection activities. These are listed in Annex 7.

A dedicated Eurostat Task Force (FESUR) was also set up to provide input and support to the project. This Task Force was composed of statistical representatives from the National Statistical Authorities in around 20 countries together with Eurostat, DG Research and DG Education and Culture. The Consortium would like to thank them all for their invaluable collaboration.

We also wish to acknowledge the timely and effective contributions from our Quality Control Group, consisting of the two Experts Léopold Simar and Giorgio Sirilli.

The preparation of this Report was led by the University of Pisa with an active contribution from all the EUMIDA Partners.

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<sup>1</sup> Although the title of the project refers to a 'University' data collection, the aim is to cover all "higher education institutions" irrespective of their name and status in the Member States.

## **Deviant cases, explanations to data, missing cases, availability etc.**

Note: This version comments basically on Data collection 2 (research active institutions), but includes also some comments to Data collection 1.

## 1 Austria

### Data collection 1

#### DC1 Students ISCED 6

AT013 This institution does not provide ISCED 6 level education. Zero for ISCED 6 level students is deleted. Flagged as 'Not applicable' in database. Highest degree changed to 'Master or pre-Bologna equivalent'.

### Data collection 2

#### DC2 Expenditures

Expenditures 'Not available' due to confidentiality for 46 institutions.

#### DC2 Income

Income 'Not available' due to confidentiality for 46 institutions.

#### DC2 Staff

AT001 – AT022: Number of staff deviates from UOE data collection (UOE: teaching academic staff only, EUMIDA: total academic staff). Foreign academic staff not available.

AT023 – AT028 Correspond to UOE-data. Foreign staff not available.

AT029: No data available

AT030 – AT034 Correspond to UOE-data. Foreign staff not available.

AT035 – AT068 Correspond to UOE-data. Non-academic and foreign staff not available.

#### DC2 Staff by academic field

AT001 – AT022 Academic staff by field of science: based on estimates of share of research active academic staff by academic staff.

AT023 – AT068 Not available.

#### DC2 Number of students ISCED5

Data for academic year 2007/2008.

AT034 Not available

#### DC2 Number of students ISCED5 by field of education

Academic year 2007/08; prorated according to the number of programmes enrolled.

AT034 Not available

#### DC2 Number of students ISCED6

Data for academic year 2007/2008.

#### DC2 Number of students ISCED6 by field of education

Academic year 2007/08; prorated according to the number of programmes enrolled.

**DC2 Number of degrees awarded by national/international**

Data for academic year 2007/2008.

AT029 Not available.

AT033, AT034, AT060, AT061: Data not applicable since institutions starting 2007 or 2008.

**DC2 Number of degrees awarded by educational fields**

Data for academic year 2007/2008.

AT029 Not available.

AT033, AT034, AT060, AT061: Data not applicable since institutions starting 2007 or 2008.

**DC2 R&D expenditures**

AT023 – AT068 Confidential

**DC2 Funding from the private sector**

Total funding from the private sector not available for any institution.

AT023 – AT068 Data on private funding for R&D confidential.

**DC2 Patent applications and spin-offs**

Not available for any institution.

## 2 Belgium

### Data collection 1

#### DC1 Educational fields

Flanders: Not available for any institution.

#### DC1 Region

Corrected to NUTS codes.

#### DC1 Current status year

BE086 Data updated.

BE086: No data or data flag in excel sheet. Flagged as 'Not available' in database.

#### DC1 Educational fields

No data or flags in excel sheet. Flagged as 'Not available' in database.

#### DC1 Number of doctorate degrees awarded

BE062 – BE084: Not applicable.

BE085 – BE087: Not available.

#### DC1 Number of international students ISCED 6

BE062 – BE084: Not applicable.

BE085 – BE087: Not available.

#### DC1 Total staff

BE057, BE063, BE086, BE087: No data available.

BE066, BE067, BE075, BE080, BE084: No data or flags in excel sheet. Flagged as 'Not available' in database.

### Data collection 2

#### Clarification of the EUMIDA extended data collection in the French Community (from the statistical office)

The Minister in charge of education & research and the universities agreed that the data as regards the expenditures (among which R&D) and incomes can be released. This will however take a lot of additional time since these data are not readily available and meetings with the universities have to be scheduled to discuss how to proceed and retrieve this information from the annual accounts. In particular, it is not possible to provide data for the capital expenditures as only the depreciations of capital assets are available.

Data on total funding from the private sector; patents filed by HEI; patents filed by HEI staff and spin off companies does not exist and are not available.

Data for the other variables are available but some of them will require more time to be collected than the deadline of the 31.05.2010 set by Eumida. Data for masters and equivalents without 1st level qualification are not relevant in the case of the French Community. It is also not clear what the purpose is of collecting data as regards the foreign academic staff. There can be also discrepancies between the number of students enrolled and the number of diplomas as some students can be enrolled in more than one programme and as a result get more than one diploma.

### **DC2 Expenditures**

Not available for any institution.

### **DC2 Income**

Not available for any institution.

### **DC2 Staff**

BE001 – BE003                Number of staff for the academies is zero.

BE004 – BE010:            Data updated as compared to core dataset. Data on foreign academic staff not available.

### **DC2 Staff by academic field**

Not available for any institution.

### **DC2 Number of students ISCED5**

### **DC2 Number of students ISCED5 by field of education**

Not available for any institution.

### **DC2 Number of students ISCED6**

BE001:                    See BE004+BE005+ BE006+BE007 (special case of Phd awarding)

BE002:                    See BE009+BE010 (special case of Phd awarding)

BE003:                    See BE008 (special case of Phd awarding)

### **DC2 Number of students ISCED6 by field of education**

Not available for any institution.

### **DC2 Number of degrees awarded by national/international**

BE001:                    Diploma, bachelor and master not relevant. For doctorate see BE004+BE005+ BE006+BE007

BE002:                    Diploma, bachelor and master not relevant. For doctorate see BE009+BE010.

BE003:                    Diploma, bachelor and master not relevant. For doctorate see BE008.

BE004 – BE010:            Diploma and masters and equivalents without 1st level qualifications not relevant. Data on Master or pre-Bologna equivalents in progress.

### **DC2 Number of degrees awarded by educational fields**

Not available for any institution.

## DC2 R&D expenditures

BE001 – BE003: No data or flags.

## DC2 Funding from the private sector

BE001 – BE003: No data or flags.

Total funding from private sector not available.

## DC2 Patent applications and spin-offs

Not available for any institution.

## Clarification of the EUMIDA extended data collection in Flanders (from the statistical office)

### **1. Introduction**

This document is intended to indicate which data and figures are missing in the EUMIDA extended dataset regarding the Flemish higher education institutions. It is a clarification for those who will use EUMIDA and for the data collectors and institutions in the Flemish Community. It also offers the opportunity to upgrade any future data collection on Flemish higher education institutions.

It will clarify why certain data and figures are not presented and which methods were used for the Flemish data collection. This will be very useful for users who are not very familiar with the Flemish higher education system.

### **2. Missing data and figures**

#### **2.1. Students ISCED-breakdown (both ISCED 5 and 6)**

First of all, there are still a number of data and figures missing in the template like the data and figures concerning the division in Fields of study (the number of students as well as the number of awarded degrees). The reason behind is that Flanders has never conducted such a division by institution before. The workload to do this manually was too much for this feasibility study. However, at the moment a new extraction-tool (data warehouse) is being implemented that will allow us to extract this data more thoroughly and profoundly. This new tool will be operational next year and it will allow to provide most of the demanded data, like the data and figures concerning ISCED and Bachelor / Master division.

#### **2.2. Degrees by national/international**

For these data and figures the same problems exists as with the ISCED-classification. It will also be solved when the data warehouse is operational.

#### **2.3. Degrees by field of study**

Logically, taking into account the previous remarks on the manual workload, the missing data and figures will be available when the data warehouse is (launched) operational.

#### **2.4. Staff**

Almost all the data and figures on the staff of the institutions were available in the annual reports of the university colleges and in the annual report of the VLIR regarding the statistics on staff of the universities. The division in scientific and administrative personnel was not a problem in most of the cases. In some cases there was no clear division possible, because we had no accurate statistics. The reason behind is that detailed statistics of the staff are part of a non obligatory supplement to the annual report. So, some institutions did not provide these statistics. In the future they will do so, because we are drafting a new format of the annual report and the staff statistics in which it will be

included. From the reference year 2010 onwards all the required data of the staff will be available for most of the higher education institutions, including the totals, the division academic/administrative and the division national/international. Also the division by FOS will be available for all the university colleges and for the universities.

### **2.5. Expenditures**

All data of the expenditures were published in the obligatory annual accounts report of the institutions. Only the data and figures are missing from institutions having specific statutes which are the Federal Military Academy, the Maritime Academy of Antwerp and the Theological Faculty.

### **2.6. Income**

Income categories are not a problem for most of the institutions except for a few university colleges. Since these income-breakdowns of these university colleges were not sufficiently clear in their annual reports they will not be reported.

### **2.7. Additional data**

As far as the additional data is concerned the data for publications, spin-offs and patents is available for all universities. For "Hogescholen" these data are not yet available. They will be collected as of 2014. For the data on universities, these are gathered by the Flemish Department of Science and Innovation (EWI) and validated by the universities. These data are used internally for allocating part of the funding to the universities. They have not yet been distributed publicly. To get access to the data, EWI has decided to ask the approval of the universities before disseminating these data. We will continue to emphasise the importance of EUMIDA for the Flemish Higher Education Area in cooperation with our regional expert.

### **3. Workload and duplication**

Gathering all the information needed for the EUMIDA-database was very instructive to us all. Some data were available in the database of the UOE-data collection. The divisions ("breakdowns") were not as easy as they seemed to be and that a lot of manual restructuring of the data was needed. Therefore we were not able to provide all the figures ("breakdowns"). Fortunately, as described above, the data collection on students and degrees will be a lot easier next year. However, since most of the other data was (not yet) available in an electronic format or database the workload was quite a bit more than expected because all the financial data and the data on staff had to be copied and restructured manually from paper to template. (This could also damage the quality of the data) We are now asking our institutions to provide these data in an electronic format so that it will be easier and faster available in the future, but it also depends on the willingness of our institutions to offer it.

### **4. Conclusion.**

Although a lot of data is still missing in this template today, most of the obstacles to provide the needed information will be removed in the years to come. Therefore we consider the EUMIDA-project feasible for the Flemish higher education institutions. We remain optimistic and will continue to advocate the need for transparency in the European Higher Education Area for the benefit of all the stakeholders.

### **DC2 Expenditures**

Capital expenditure is dept amortization  
BE057, BE066, BE086, BE087 Not available

**DC2 Income**

BE057, BE066, BE086, BE087 Not available

**DC2 Staff**

Foreign academic staff not available.

BE057, BE063, BE066, BE067, BE068, BE075, BE080, BE084, BE086, BE087 Not available

**DC2 Staff by academic field**

BE057, BE062 – BE087 No data or flag in excel sheet. Flagged as 'Not available' in database.

**DC2 Number of students ISCED5**

BE085, BE086 Breakdown national/international missing.

Date of data collection missing for all institutions.

**DC2 Number of students ISCED5 by field of education**

Not available for any institution (see text above).

**DC2 Number of students ISCED6**

BE056: Data flagged as unreliable or uncertain.

Date of data collection missing for all institutions.

**DC2 Number of students ISCED6 by field of education**

Not available for any institution (see text above).

**DC2 Number of degrees awarded by national/international**

Breakdown only between Diploma and Doctorate.

BE084 – BE087: Not available

Data source missing for all institutions.

Date of data collection missing for all institutions.

**DC2 Number of degrees awarded by educational fields**

Not available for any institution (see text above).

**DC2 R&D expenditures**

Not available for any institution (see text above).

**DC2 Funding from the private sector**

Not available for any institution (see text above).

**DC2 Patent applications and spin-offs**

Not available for any institution (see text above).

## 3 Bulgaria

### Data collection 1

BG054, BG055: These institutions are academies of science.

#### DC1 Distance education

BG013. Classification not clear (according to national expert: "Academy of Economics - Svishtov" has a "Centre for Master and Distance education" - they pretend teaching all master programs both in campus and in a distant form) - not clear if this is sufficient to classify as "distance education". Flagged as 'Unreliable or uncertain data' in database.

BG043: Confirmed to be distance education institution by country expert.

BG049: Classification not clear. Presently classified as distance education institution in database. Flagged as 'Unreliable or uncertain data' in database.  
According to national expert: "Tracian University - Stara Zagora" has a "Centre for Electronic and Distance education". They use 2 Moodle consoles, and a LearningShell. They state they offer most of the disciplines both in campus and as a distant form, so that is why it is classified as distance education) - not clear if this is sufficient to classify as "distance education", country expert would rather specify it not as a distance education institution.

#### DC1 Students ISCED 5

BG054, BG055: The number of students ISCED 5 is confirmed to be zero.

These institutions are academies of science and provide only ISCED 6 education.

Flagged as 'Not applicable' in database.

BG032: This institution provides ISCED 6 level education and number of students is after checking changed from zero to 49:

### Data collection 2

#### DC2 Expenditures

BG009, BG010, BG038, BG041, BG042, BG056: Confidential

BG055, BG057, BG058, BG059: Not available

#### DC2 Income

BG009, BG010, BG038, BG041, BG042, BG056: Confidential

BG055, BG057, BG058, BG059: Not available

#### DC2 Staff

Non-academic staff: No data or flag

Foreign academic staff: No data or flag

BG054: No data source or date of data collection.

BG055 – BG059: Not available

**DC2 Staff by academic field**

BG054: No data source or date of data collection.

BG055 – BG059: Not available

BG009, BG010, BG038, BG041, BG048, BG051: Additional staff in Security and Defence.

**DC2 Number of students ISCED5**

BG054 – BG059: Not applicable

**DC2 Number of students ISCED5 by field of education**

BG009, BG017, BG038, BG041, BG051: Additional students in Security and Defence.

BG10: Additional students in Defence

BG054 – BG059: Not applicable

BG001, BG009, BG010, BG011: Missing date of data collection

**DC2 Number of students ISCED6**

BG038, BG042, BG043: No data or flag. No date of data collection.

BG055 – BG059: Not available

**DC2 Number of students ISCED6 by field of education**

BG038, BG042, BG043: No data or flag. No date of data collection.

BG010: Additional students in Defence.

BG055 – BG059: Not available

**DC2 Number of degrees awarded by national/international**

Not available for any institution.

**DC2 Number of degrees awarded by educational fields**

Not available for any institution.

**DC2 R&D expenditures**

BG009, BG010, BG056: Confidential

BG054, BG055, BG057, BG058, BG059: Not available

**DC2 Funding from the private sector**

Total funding from private sector include only international funding.

BG013, BG032: Negative values.

BG009, BG010, BG041, BG042, BG056: Confidential

BG036, BG043, BG055, BG057, BG058, BG059: Not available

Funding from the private sector for R&D not available for any institution.

**DC2 Patent applications and spin-offs**

No data for any institution.

## 4 Cyprus

### Data collection 1

#### Students ISCED 6

The number of students ISCED 6 is confirmed to be zero for the following institutions:

- CY005 Panepistimio Frederick
- CY004 P.L. Panepistimio Lefkosias
- CY006 Evropaiko Panepistimio Kiprou

These institutions are private universities that have not operated Doctorate programmes yet (the first programme will operate in academic year 2010-2011 according to Evaluation Committee of Private Universities of the Republic of Cyprus), which explain the values.

### Data collection 2

#### DC2 Expenditures

- CY001, CY002: Ancillary services are included.
- CY005: Capital expenditures not available
- CY022: Not available

#### DC2 Income

- CY004, CY005, CY006: Core funding and Third party funding not available.
- CY005: Estimated values.
- CY022: Not available

#### DC2 Staff

Foreign academic staff not available for any institution.

#### DC2 Staff by academic field

Not available for any institution.

#### DC2 Number of students ISCED5

#### DC2 Number of students ISCED5 by field of education

#### DC2 Number of students ISCED6

#### DC2 Number of students ISCED6 by field of education

#### DC2 Number of degrees awarded by national/international

- Masters and equivalents without 1st level qualifications not available.
- CY003: New institution. The first graduates are expected in year 2010/2011.

**DC2 Number of degrees awarded by educational fields**

Masters and equivalents without 1st level qualifications not available.

CY003: New institution. The first graduates are expected in year 2010/2011.

**DC2 R&D expenditures**

CY004: Data include Intercollege.

CY005: Available data include Frederick Institute of Technology.

CY006: Data include Cyprus College.

**DC2 Funding from the private sector**

Total funding from the private sector not available for any institution.

CY004: Data include Intercollege.

CY005: Available data include Frederick Institute of Technology.

CY006: Data include Cyprus College.

**DC2 Patent applications and spin-offs**

CY001, CY003, CY005, CY006: No data available on patent applications.

CY004: No data on spin-offs available.

## 5 Czech Republic

### Data collection 2

#### DC2 Expenditures

Data on capital expenditures not available for any institution.

CZ072 and CZ073: No data available.

#### DC2 Income

The sum for first two categories is not correct for total income, because there is another stream of money that is not included and that we cannot identify according to these categories. We have only partial data on income - core funding, third party + some categories called "other" which are of mixed nature. Therefore the total income is not corresponding to sum of the amounts of categories.

Data on fees not available for any institution.

CZ072 and CZ073: No data available.

#### DC2 Staff

Foreign academic staff not available for any institution.

CZ072 and CZ073: No data available.

#### DC2 Staff by academic field

Not available for any institution.

#### DC2 Number of students ISCED5

Data refer to the last day of the calendar year.

Numbers of national and international students in ISCED 5 programmes (for all HEIs) are not publicly available (numbers of international students are available only in integrated form for ISCED 5 and ISCED 6).

#### DC2 Number of students ISCED5 by field of education

Data aggregated according to the study fields are not available.

#### DC2 Number of students ISCED6

Numbers of national and international students in ISCED 6 programmes (for all HEIs) are not available (numbers of international students are available only in integrated form for ISCED 5 and ISCED 6).

#### DC2 Number of students ISCED6 by field of education

Data relevant to the required study fields are not available. Comment to the data collection: No other data collection except to the end of the year is publicly available.

#### DC2 Number of degrees awarded by national/international

Diploma is not awarded by HEIs.

No data on numbers of national and international degrees are available.

**DC2 Number of degrees awarded by educational fields**

Data on students' numbers by study fields are not available for any institution.

**DC2 R&D expenditures**

Not available for any institution.

**DC2 Funding from the private sector**

Data on funding from the private sector and funding from the private sector for R&D are not available.

**DC2 Patent applications and spin-offs**

Date of data collection for patents missing.

Data on spin-offs not available.

## 6 Estonia

### Data collection 2

#### Comments from the national expert:

1. For several variables the cells in the tables are empty, as the data is confidential.

In principle - the data is not made public at the moment, as we need permissions for individual universities to publish the data. That is needed for 3 surveys - RD survey, educational expenditures survey, wage survey (if we decide to take the numbers on staff from there). We would prefer to ask one permission, rather than 3 different permissions, and at the moment there have been some problems with getting permissions for publishing the data on RD and staff. Anyway, in future data collections the data can be submitted.

2. Staff numbers.

As mentioned above, numbers from wage survey are not available at the moment.

What I did - I collected data from two different sources:

1. Annual reports and web pages of universities
2. Reports of the Estonian Rectors conference. The latter data is actually quite good (FTE, breakdown between academic and non-academic, foreign staff), but the last data is only for 2007 and there is no breakdown across fields.
3. Patents and spinoffs.  
We gathered something. Please see also some notes on that in the Word file.  
The spinoff data is not really good.
4. Student numbers - it should be OK with these.

#### DC2 Expenditures

Confidential for all institutions.

#### DC2 Income

Confidential for all institutions.

#### DC2 Staff

Data from annual reports and web pages of universities used in database (see above); include data for 2008 and breakdown by fields.

EE002, EE003, EE004: Headcounts.

EE007, EE011: No data available.

Data on foreign academic staff not available for any institution.

#### DC2 Staff by academic field

EE002, EE003, EE007, EE011: No data available.

EE001, EE004: Unreliable data.

**DC2 Number of students ISCED5**

Comment from country expert: Students, whose country of residence is not Estonia or is unspecified, and do not have permanent residence permit; ESA has reported such data to UOE.

**DC2 Number of students ISCED5 by field of education**

Comment from country expert: Students, whose country of residence is not Estonia or is unspecified, and do not have permanent residence permit; ESA has reported such data to UOE.

**DC2 Number of students ISCED6**

**DC2 Number of students ISCED6 by field of education**

**DC2 Number of degrees awarded by national/international**

Date of data collection missing.

**DC2 Number of degrees awarded by educational fields**

**DC2 R&D expenditures**

Confidential for all institutions.

**DC2 Funding from the private sector**

Confidential for all institutions.

**DC2 Patent applications and spin-offs**

Comments from the national expert:

**Patents:**

The EPO database is search using WIPO complete collection:

[http://ep.espacenet.com/quickSearch?locale=en\\_EP](http://ep.espacenet.com/quickSearch?locale=en_EP)

Comments for data:

a) No of patent applications filed by HEI

In 2008, one patent application was joint application by University of Tartu and Tallinn University of Technology, it has been listed under both institutions.

b) Patent applications filed by HEI staff

It seems quite common for Estonian HEIs to list both the HEI and also the staff of university as applicants. Therefore the patent applications filed by HEI staff in 2008 overlap with those failed by HEI except for one application in case of University of Tartu.

**Spin-off firms:**

There are no data for 2008

For 2006, there are data concerning some HEI-s in Impact Evaluation of SPINNO Programme in 2001-2006 (Available at:

[http://www.mkm.ee/failid/Impact\\_Evaluation\\_of\\_Spinno\\_Programme\\_in\\_2001\\_2006\\_SQW4.pdf](http://www.mkm.ee/failid/Impact_Evaluation_of_Spinno_Programme_in_2001_2006_SQW4.pdf))

which includes the following data:

## FEASIBILITY STUDY FOR CREATING A EUROPEAN UNIVERSITY DATA COLLECTION

HEI	Spin-off businesses established in 2006	Spin-offs existing for 3+ years
University of Tartu	7	17
Tallinn University of Technology	1	9
Tallinn University	1	2
Estonian Academy of Arts	0	1
Indivisible (several HEIs together in Biospinno project)	5	25

Other HEIs have not been participating in the program.

## 7 Finland

### Data collection 1

#### DC1 Staff

Mix of FTE and headcount

University data is a flow (longitudinal) variable, actual number of working years over the calendar year.

Polytechnic data is a mixture of flow and reserve measures. The number of teaching personnel is a headcount of full time employed 31.12.2008, where teachers keeping their contract temporarily as part time, for example as retired as part time, are calculated as decimals. This is also the case for the supporting staff. Contracted lecturers and teachers (not full time) are calculated according the paid teaching hours over a calendar year (a flow variable!). So polytechnic measure is a poor estimate of working years and a mixture of longitudinal and cross section data. Anyhow, I would call it as a headcount, as the cross section is dominating.

### Data collection 2

#### DC2 Expenditures

FI001 – FI023: Personnel and non-personnel expenditures excluding third party funded, i.e research contracts and comparable. Total expenditures cover all the expenditures.

FI056 – FI631: VAT excluded.

FI024, FI031,FI557 No data available.

#### DC2 Income

Fees not applicable.

FI024, FI031,FI557 No data available.

FI056 – FI631: VAT excluded.

#### DC2 Staff

Foreign academic staff not available for any institution.

FI024, FI031,FI557 No data available.

#### DC2 Staff by academic field

FOS data headcounts, cross-section 31. Dec. NOT comparable with aggregate data. In Aggregate data, tenure teachers as headcounts.

FI024 No data available.

#### DC2 Number of students ISCED5

International students according to nationality.

FI024 No data available.

**DC2 Number of students ISCED5 by field of education**

FI024 No data available.

**DC2 Number of students ISCED6**

FI001 – FI023: International students according to nationality.

FI024 No data available.

FI024 – FI631: Not applicable.

Date of data collection missing.

**DC2 Number of students ISCED6 by field of education**

FI024 No data available.

FI024 – FI631: Not applicable.

Date of data collection missing.

**DC2 Number of degrees awarded by national/international**

Diploma not applicable.

Figures in Masters or Pre-Bologna equivalents COVER ALSO Masters and equivalents without 1st level qualifications. Degrees not separable in data collection

FI024 No data available.

**DC2 Number of degrees awarded by educational fields**

Diploma not applicable.

FI031 – FI631: Doctorate not applicable.

FI024 No data available.

**DC2 R&D expenditures**

FI024, FI031,FI557 No data available.

**DC2 Funding from the private sector**

FI056 – FI631: No data of private sector funding for R&D.

FI024, FI031,FI557 No data available.

**DC2 Patent applications and spin-offs**

Various combinations of unavailability. See datafile.

## 8 Germany

### Data collection 1

DE179: Hochschule für Kirchenmusik der evangelische Kirche der schles. Oberlausitz, Görlitz, was closed in 2008.

#### DC1 Distance education

In an early version DESTATIS used a wrong definition. All institutions offering distance courses were defined as distance learning institutions. This is corrected and there are 11 distance learning HEIs in the data set for Germany.

#### DC1 Educational fields

Combinations of University hospital 'Yes' and Educational field/Medicine and welfare 'Present' or 'No' verified by country expert. Normally because medical students are registered at another university (see comments in database).

#### DC1 Students ISCED 5

DE179, DE394, DE243, DE124, DE107, DE095, DE088, DE057, DE050, DE036, DE098, DE261: Not available (various reasons, see comments in database).

#### DC1 Total staff

DE036, DE124, DE198, DE243, DE261, DE280, DE281: Not available.

### Data collection 2

#### DC2 Expenditures

**Note:** There is a considerable difference between "expenditures" and "total income". The fact that transfers from the provider of the institution is not included in the calculation of "total income" is only one reason among others. Another crucial reason relates to "Personnel expenditures" which in Germany includes a vast number of benefits for civil servants. However, these benefits are not accounted for in "total income".

DE057, DE095, DE098, DE330, DE355: No data available.

#### DC2 Income

In DESTATIS calculations "Total Income" is reported without transfers from the provider of the institution (i.e. without public institutional funding). DESTATIS calculates "Total income" by adding administrative revenues (Verwaltungseinnahmen), third party funding (without provider) and other grants or allocations (without provider). Administrative revenues (Verwaltungseinnahmen) include fees and all other economic and financial activities of the institution, which is very relevant for HEI with a university hospital.

"Core funding" according to the EUMIDA guidelines could only be presented by conducting own "artificial" calculations. The reason for these difficulties goes back to the reporting rules of German HEIs: Their reporting of public institutional funding to DESTATIS is voluntary. Given these differences

we decided to deliver "third party funding" and "fees" (for which we have reliable information) but not "core funding". "Core funding" is thus set as \*Not available'.

Please note that because of different calculation formulas and basic data restrictions, in the case of Germany only the data for "total income" and "third party funding" can be considered as valid and comparable with data from other countries.

The "total income" does not add up when adding core funding, third party funding, fees. This is the result of different formulas that are used to calculate "core funding" and "total income".

"Core funding" according to the EUMIDA guidelines could only be presented by conducting own "artificial" calculations. The reason for these difficulties goes back to the reporting rules of German HEIs: Their reporting of public institutional funding to DESTATIS is voluntary. Given these differences we decided to deliver "third party funding" and "fees" (for which we have reliable information) but not "core funding". The EUMIDA definition of "Core funding of institutions of higher education" corresponds with the amount "allocations and subsidies supplied by the authorities" which includes: core funding for education and research, additional funding for education and research from the ministry of science, and other allocations and subsidies from the authority. The DESTATIS definition of "Core funding" is equivalent to current expenditure + investments – fees – third party funding.

In the "Income"-template you will see that many HSEs reported to have "0" income from fees.

According to other data sources these figures should be positive given that there are various federal states that charge tuition fees. We will check this with the Federal Statistical Office.

**Note:** There is a considerable difference between "expenditures" and "total income". The fact that transfers from the provider of the institution is not included in the calculation of "total income" is only one reason among others. Another crucial reason relates to "Personnel expenditures" which in Germany includes a vast number of benefits for civil servants. However, these benefits are not accounted for in "total income".

DE057, DE095, DE098, DE330, DE355: No data available.

Many occurrences of non-availability of one or two variables. Empty fields indicate 'Not available'.

### DC2 Staff

#### DC2 Staff by academic field

The Federal Statistical Office uses another practice in collecting the R&D staff. At first, the FSO calculates the shares of R&D staff for all fields of education, and then they distribute the management as well as the scientific staff of the central facilities on the fields of education according to the shares that were calculated in the first step. For this reason, some deviating from the FSO data can be expected.

#### DC2 Number of students ISCED5

DE050, DE057, DE088, DE095, DE098, DE107: No data available.

#### DC2 Number of students ISCED5 by field of education

DE050, DE057, DE088, DE095, DE098, DE107: No data available.

#### DC2 Number of students ISCED6

Not applicable to 173 institutions (not awarding PhD).

**DC2 Number of students ISCED6 by field of education**

Not applicable to 173 institutions (not awarding PhD).

**DC2 Number of degrees awarded by national/international**

DE050, DE057, DE088, DE095, DE098, DE107, DE241, DE297: No data available.

**DC2 Number of degrees awarded by educational fields**

DE050, DE057, DE088, DE095, DE098, DE107, DE241, DE297: No data available.

**DC2 R&D expenditures**

There are no statistics about total R&D expenditures for each institution. DESTATIS developed a so called R&D factor of core funding that approximates the expenditure for R&D for each field of education, but this is applicable only on a national aggregate level.

**DC2 Funding from the private sector**

Total funding from the private sector not available for any institution.

DE050, DE057, DE088, DE095, DE098, DE330, DE355: Data on private funding for R&D not available.

**DC2 Patent applications and spin-offs**

Not available for any institution.

## 9 Greece

### Data collection 1

#### Students ISCED 5

The number of ISCED 5 students is not available for  
GR002 INTERNATIONAL HELLENIC UNIVERSITY.  
This institution is recently founded (2005) and not yet in full operation.  
Flagged as 'Not available' in database.

#### Students ISCED 6

The number of students ISCED 6 is confirmed to be zero for these PhD awarding institutions:

GR004 □□□□□□□□□□ □□□□□□ □□□□□□□  
GR008 □□□□□□ □□□□□ □□□□□ □□□□□□

The number of ISCED 5 students is not available for  
GR002 INTERNATIONAL HELLENIC UNIVERSITY.  
This institution is recently founded (2005) and not yet in full operation.  
Flagged as 'Not available' in database.

#### Total staff

The number of total staff is not available for  
GR002 INTERNATIONAL HELLENIC UNIVERSITY.  
This institution is recently founded (2005) and not yet in full operation.  
Flagged as 'Not available' in database.

### Data collection 2

#### DC2 Expenditures

Not available for any institution.

#### DC2 Income

#### DC2 Staff

No data and no flag for any institution.

#### DC2 Staff by academic field

No data and no flag for any institution.

#### DC2 Number of students ISCED5

GR001: Distance education institution.  
GR002: Not applicable.  
GR003: Not applicable. Institution founded 2009.  
GR004 – GR040: Data at the end of the Academic Year 2007/2008 (enrolled/registered students, large numbers of students that remain inactive and go over the

typical years required for this specific department). The international students are defined only by nationality.

**DC2 Number of students ISCED5 by field of education**

GR001: Distance education institution.

GR002: Not applicable.

GR003: Not applicable. Institution founded 2009.

GR004 – GR040: Data at the end of the Academic Year 2007/2008 (enrolled/registered students, large numbers of students that remain inactive and go over the typical years required for this specific department).

**DC2 Number of students ISCED6**

Data at the end of the Academic Year 2007/2008). There are no available data concerning International students.

GR001: Distance education institution.

GR002: Not applicable.

GR003: Not applicable. Institution founded 2009.

GR025 – GR040: Not applicable (do not award doctorates).

**DC2 Number of students ISCED6 by field of education**

Data at the end of the Academic Year 2007/2008). GR001: Distance education institution.

GR001: Not available.

GR002: Not applicable.

GR003: Not applicable. Institution founded 2009.

GR004, GR008: Data consists of zeros only.

GR025 – GR040: Not applicable (do not award doctorates).

**DC2 Number of degrees awarded by national/international**

Information for the country expert:

Attention to the degree structure (categories and duration) that does not fit with the EUMIDA definitions provided.

If the Greek case is to fit in, the following amendments should be made:

-Bachelor or equivalent 1st level ISCED 5 (A or B) qualification (duration 3 to 6 years)

-Master or equivalent 2nd level ISCED 5 (A or B) qualification (duration 1 or 2 years)

Separation between national/international not available.

GR001: Not available.

GR002: Not applicable.

GR003: Not applicable. Institution founded 2009.

GR004: Total number of degrees reported as zero (no other data, flags or comments).

**DC2 Number of degrees awarded by educational fields**

GR001: Not available.

GR002: Not applicable.

GR003: Not applicable. Institution founded 2009.

**DC2 R&D expenditures**

GR001: Not available.

GR002: Not applicable.

GR003: Not applicable. Institution founded 2009.

GR004 – GR024. Values probably in EUR1000 (to be checked).  
Data are not verified by the Hellenic Statistical Authority.

GR025 – GR040: Not available.

**DC2 Funding from the private sector**

GR001: Not available.

GR002: Not applicable.

GR003: Not applicable. Institution founded 2009.

GR004, GR005, GR006, GR008: No data and no flag.

GR007, GR009 – GR024. Values probably in EUR1000 (to be checked).  
Data are not verified by the Hellenic Statistical Authority.

GR025 – GR040: Not available.

**DC2 Patent applications and spin-offs**

No data on patent applications filed by HEI for any institution.

GR001: Not available.

GR002: Not applicable.

GR003: Not applicable. Institution founded 2009.

GR004, GR005, GR006,: No data and no flag.

GR025 – GR040: Not available.

## 10 Hungary

### Data collection 1

HU056: Specific college for the training of disabled.

#### DC1 Distance education

HU031: 70% distance education - difficult to determine whether threshold was met; maybe necessary to be more exact in defining "majority. Flagged as "Deviates from definition" in database.

HU047: 57% distance education - difficult to determine whether threshold was met; maybe necessary to be more exact in defining "majority". Flagged as "Deviates from definition" in database.

### Data collection 2

#### DC2 Expenditures

An institution 'Berzsenyi Dániel Főiskola' not in DC1 is included in DC2 with expenditures data. This institution is not yet included in the database, since its basic characteristics and other data is missing.

Numbers for medical attendance not included in data

HU018 – HU025, HU035, HU037 – HU071: No data available.

#### DC2 Income

An institution 'Berzsenyi Dániel Főiskola' not in DC1 is included in DC2 with income data. This institution is not yet included in the database, since its basic characteristics and other data is missing.

Numbers for medical attendance not included in data

Fees are the estimation of possible maximum income.

HU018 – HU025, HU035, HU037 – HU071: No data available.

#### DC2 Staff

Non-academic staff includes non-academic staff and researchers. There is no data collection on foreign staff.

Date of data collection missing.

#### DC2 Staff by academic field

No data available for any institution.

#### DC2 Number of students ISCED5

#### DC2 Number of students ISCED5 by field of education

#### DC2 Number of students ISCED6

HU026 – HU072: Not applicable.

**DC2 Number of students ISCED6 by field of education**

HU026 – HU072: Not applicable.

**DC2 Number of degrees awarded by national/international**

HU041: No data available.

**DC2 Number of degrees awarded by educational fields**

No data or information in excel sheet. Flagged as 'Not available' in database.

**DC2 R&D expenditures**

HU019, HU020, HU037, HU059: Not available.

**DC2 Funding from the private sector**

HU018 – HU025, HU035, HU037 – HU071: Data on total funding from the private sector not available.

**DC2 Patent applications and spin-offs**

No. of patent applications filed by HEIs and HEI staff is not available for any institution. HCSO can provide data on the number of patent applications abroad, not at EPO.

Number of spin-offs not available for any institution.

## 11 Ireland

### Data collection 1

#### DC1 Educational fields

Revised from new file received 09.07.2010.

#### DC1 Students ISCED 6

The number of ISCED 6 students is confirmed by national expert to be zero at:

IE019 Letterkenny Institute of Technology

IE011 Dún Laoghaire Institute of Art, Design and Technology

Even though Letterkenny offers PhDs, it seems that there are no students enrolled in PhDs in 2007/2008.

Dún Laoghaire does not offer PhD so it makes sense that there are zero PhD students.

Number of students ISCED 6 flagged as Not applicable.

### Data collection 2

#### Comments on: EUMIDA Extended data collection for Ireland

*Federica Rossi and Aldo Geuna*

The following pages present some comments on the extended data collection exercise, explaining in more detail the comments already included in the "comments" section in the excel file. There are a number of deviations from the guidelines.

The list of research active institutions for the data collection includes all 21 institutions in the perimeter.

#### DC2 Expenditures

The data on expenditures are given in the national currency (EUR) at current prices, as requested; however, they do not refer to the calendar year (1.1-31.12) but to the institutions' financial year, i.e. the period 1 October – 30 September (in this case 1.10.2007 – 30.9.2008), as this is the way in which they are collected by HEA.

Furthermore, HEA's record of audited current and capital accounts for universities and institutes of technology is not fully up to date. The latest audited account that HEA has available for the 7 universities refers to the period 1/10/2004-30/9/2005; while the latest audited accounts that HEA has available for the 14 Institutes of Technology refers to the period 1/10/2007-30/9/2008.

#### Total expenditures

The total expenditures made by each institution are drawn from the institutions' consolidated income and expenditure accounts, as provided to us by HEA.

Total expenditures correspond to the line marked as "Total expenditure" in the account sheet.

For universities, total expenditure is the sum of:

- Staff cost

- Other operating expenses
- Interest payable
- Depreciation

For institutes of technology, total expenditure is the sum of

- Academic departments
- Academic support services
- Premises
- Central administration and services
- General education expenses
- Student facilities and amenities
- Research consultancy and development
- Depreciation
- Other

### **Current expenditures: Personnel**

The total personnel expenditures made by each institution are drawn from the institutions' consolidated income and expenditure accounts, as provided to us by HEA.

For universities, total personnel expenditures correspond to the line marked as "Staff costs" in the account sheet.

For institutes of technology, staff costs are provided in the detailed expenditure account sheets. Total staff costs are computed of the sum of (i) Central administration and services – Staff, (ii) General education expenses – Staff, (iii) Student facilities and amenities – Staff, (iv) academic departments – staff, (v) academic support services – staff, (vi) premises - staff

### **Current expenditures: Non-personnel**

Computed as the difference between total expenditure and personnel expenditure

### **Capital expenditures**

The data have been requested from HEA. They have sent us the information on capital grants released by HEA to universities, referred to the calendar year 1/1/2008-31/12/2008 (taken from HEA's yearly accounts, available at <http://www.heai.ie/files/files/file/HEA%20Accounts%202008.pdf>). For institutes of technology, the item "state grants for capital expenditure" can be found on the institution's detailed income accounts, and refer to the period 1/10/2007-30/9/2008 (State grants for capital expenditures are issued by HEA to universities, and by the Department of Education and Skills to Institutes of Technology, therefore information about them is collected in different ways and with different reference period: the calendar year in the former case, the academic year in the latter).

### **DC2 Income**

The data on income are given in the national currency (EUR) at current prices, as requested; however, they do not refer to the calendar year (1.1-31.12) but to the institutions' financial year, i.e. the period 1 October – 30 September (in this case 1.10.2007 – 30.9.2008), as this is the way in which they are collected by HEA.

Furthermore, HEA's record of audited current and capital accounts for universities and institutes of technology is not fully up to date. The latest audited account that HEA has available for the 7

universities refers to the period 1/10/2004-30/9/2005; while the latest audited accounts that HEA has available for the 14 Institutes of Technology refers to the period 1/10/2007-30/9/2008.

### Total funding

The total income received by each institution is drawn from the institutions' consolidated income and expenditure accounts, as provided to us by HEA.

Total income corresponds to the line marked as "Total income" in the account sheet.

For universities, it is computed as the sum of:

- State grants
- Academic fees
- Research grants and contracts
- Amortization of deferred capital grants
- Other income
- Interest income

For Institutes of Technology, it is computed as the sum of:

- State grants
- Tuition fees
- Student registration charge
- Research, consultancy and development
- Release from capital account
- Other income
- Interest income

### Core budget

The core funding received by each institution is drawn from the institutions' consolidated income and expenditure accounts, as provided to us by HEA. It is computed as the sum of State grants and Interest income.

### Third party funding

The third party funding received by each institution is drawn from the institutions' consolidated income and expenditure accounts, as provided to us by HEA. It is computed as the sum of:

For universities: Research Grants and Contracts, Other income and Amortization of Deferred Capital Grants

For institutes of technology: Research, consultancy and development, Other income and Release from capital account

### Fees

The third party funding received by each institution is drawn from the institutions' consolidated income and expenditure accounts, as provided to us by HEA.

For universities: tuition fees correspond to the line marked as "Academic fees" in the account sheet (sum of academic fee income + miscellaneous fee income)

For institutes of technology: tuition fees correspond to the sum of the lines marked "Fees" and "Student registration charge"

Therefore, total income is exactly equal to the sum of core funding, third party funding and fees.

## DC2 Staff

### Total academic and non-academic staff

Data on total staff and on academic and non-academic staff have been provided by HEA. The data is provided as FTE, with census date December 31st 2008.

### Foreign academic staff

This information is not available from HEA (email from Vivienne Patterson, HEA, dated 10 may 2010)

### DC2 Staff by academic field

This information is not available from HEA (email from Vivienne Patterson, HEA, dated 10 may 2010)

### DC2 Number of students ISCED5

Data on students enrolled at level ISCED 5 are drawn from the HEA website HEA (<http://www.heai.ie/en/node/1216>). The data are headcount, they refer to academic year 2007/2008 and census date was March 1st 2008.

The data on enrolments at level ISCED 5 are obtained as the sum of data on enrolments in:

- Honours Degrees
- Diplomas, Certificates & Ordinary Degrees
- Undergraduate Total
- Masters (Research)
- Masters (Taught)
- Postgraduate Diploma & Certificates

The data on national and international students enrolled at level ISCED 5 have been provided by HEA and are based on the domiciliary of origin of the students.

### DC2 Number of students ISCED5 by field of education

The data on enrolments at level ISCED 5 by field of education are drawn from HEA's website (<http://www.heai.ie/en/node/1216>).

HEA uses the ISCED classification of Fields of Education so the data are already provided according to the requested categories.

### DC2 Number of students ISCED6

Data on students enrolled at level ISCED 6 are drawn from the HEA website (<http://www.heai.ie/en/node/1216>). The data are headcount, they refer to academic year 2007/2008 and census date was March 1st 2008.

The data on enrolments at level ISCED 6 correspond to enrolments in Ph.D. courses.

The data on national and international students enrolled at level ISCED 6 have been provided by HEA and are based on the domiciliary of origin of the students.

### DC2 Number of students ISCED6 by field of education

The data on enrolments at level ISCED 6 by field of education are drawn from HEA's website (<http://www.heai.ie/en/node/1216>).

HEA uses the ISCED classification of Fields of Education so the data are already provided according to the requested categories.

### **DC2 Number of degrees awarded by national/international**

The data on the number of degrees awarded by programme level are drawn from the HEA website (<http://www.hea.ie/en/node/1312>). Data on domiciliary of origin of students by programme level have been provided by HEA office (such data however is not available for the Dublin Institute of Technology).

Data refer to academic year 2007/2008. The census date for students is the 1st of March of the academic year.

The qualifications at different levels have been classified as follows:

- Diploma includes: undergraduate diplomas, certificates and ordinary bachelor degrees;
- Bachelor includes: Honour Bachelor degrees; In Ireland ordinary bachelors are considered ISCED 5B, hence they are grouped with undergraduate diplomas & certificates in the statistical tables.
- Masters or pre-Bologna equivalent includes: Research and Taught Masters;
- Doctorate includes: PhDs.

### **DC2 Number of degrees awarded by educational fields**

The data on the number of degrees awarded by programme level and field of education are drawn from the HESA website (<http://www.hea.ie/en/node/1312>).

HEA uses the ISCED classification of Fields of Education so the data are already provided according to the requested categories.

The qualifications at different levels have been classified as follows:

- Diploma includes: undergraduate diplomas, certificates and ordinary bachelor degrees;
- Bachelor includes: Honour Bachelor degrees; In Ireland ordinary bachelors are considered ISCED 5B, hence they are grouped with undergraduate diplomas & certificates in the statistical tables.
- Masters or pre-Bologna equivalent includes: Research and Taught Masters;
- Doctorate includes: PhDs.

### **DC2 R&D expenditures**

Information about the amount of time spent on research by academic staff in Irish higher education institutions has been collected by Forfás (Ireland's national policy advisory body for enterprise and science) through their Higher Education Research and Development Survey (HERD 2006); they have collected both headcount and FTE data. Data captured in the survey relates to the 2005/2006 academic year (Sep 2005 to Sep 2006). However such data are confidential and not disclosed. HEA makes publicly available the amount of research grants that it issues to universities and institutes of technology, which is the figure that we have included in the database. The figures on research grants are drawn from HEA's yearly accounts (<http://www.hea.ie/files/files/file/HEA%20Accounts%202008.pdf>) and refer to the period 1/1/2008-31/12/2008.

### **DC2 Funding from the private sector**

#### **Total funding from the private sector**

The data on income are given in the national currency (EUR) at current prices, as requested; however, they do not refer to the calendar year (1.1-31.12) but to the institutions' financial year, i.e.

the period 1 October – 30 September (in this case 1.10.2007 – 30.9.2008), as this is the way in which they are collected by HEA.

Furthermore, HEA's record of audited current and capital accounts for universities and institutes of technology is not fully up to date. The latest audited account that HEA has available for the 7 universities refers to the period 1/10/2004-30/9/2005; while the latest audited accounts that HEA has available for the 14 Institutes of Technology refers to the period 1/10/2007-30/9/2008.

The data on total funding from the private sector received by each institution are drawn from the institutions' consolidated income and expenditure accounts, as provided to us by HEA.

For universities, total funding from the private sector is computed as the sum of

- Research grants and contracts from industry
- Other income (which includes: catering and conferences, residences, other rental income, medical testing income, academic facilities and departments, funded post income, research income, profit on land/fixed assets disposals, sports complex income dental hospital income, other income/ancillary services/funded programmes/deferred pensions)

For institutes of technology, total funding from the private sector is computed as the sum of

- Contracts (there is no way to distinguish between industry and non-industry research funds from the account, it is only possible to distinguish between grants and contracts)
- Other income (which includes: capitation, transfer to capital reserve, transfer to restricted reserve/other, international student programme, rent, superannuation deductions retained, examination/concession fees, amount released on disposal of fixed assets, canteen/catering, other)

### **Funding from the private sector for R&D**

The data on total funding from the private sector for R&D received by each institution are drawn from the institutions' consolidated income and expenditure accounts, as provided to us by HEA.

For universities, total funding from the private sector for R&D is found in the detailed expenditure account sheet, at the line marked "Research grants and contracts from industry"

For institutes of technology, total funding from the private sector for R&D is found in the detailed expenditure account sheet, at the line marked "Research grants and contracts - contracts" (in fact there is no way to distinguish between industry and non-industry research funds from the account, it is only possible to distinguish between grants and contracts)

### **DC2 Patent applications and spin-offs**

This data is not collected systematically.

Forfás and Enterprise Ireland have conducted a joint survey of Research Commercialization Performance in Irish universities (we have a copy of the questionnaire used for this survey). The survey is an ad-hoc exercise done as a pilot study, and any future reporting on this will be done by Enterprise Ireland. Data by institutions are not made public as the information is commercially sensitive and Forfás and Enterprise Ireland are specifically bound by confidentiality. Also, universities and higher education institutions are under no obligation to provide data to them.

## 12 Italy

### Data collection 1

#### Students ISCED 5

The number of students ISCED 5 is confirmed to be zero for the following institutions:

IT024	Istituto Italiano di Scienze Umane
IT031	Scuola IMT Alti Studi
IT057	Scuola Normale Superiore

These institutions provide ISCED 6 programmes only.

Flagged as 'Not applicable' in database.

Data on 24 'Scuola Superiore per Mediatori Linguistici' confirmed to be 'Not available'.

Zeros removed in database and flagged as 'Not available'.

### Data collection 2

#### DC2 Expenditures

Expenditures on debt servicing and financial repayments are not included. Ancillary services - accommodation, meals, supports and grant for students- sustained by Regions are not included.

IT022, IT072: No data available.

#### DC2 Income

Financial revenues at net of debt servicing and repayments.

IT022, IT072: No data available.

#### DC2 Staff

Data in head count. No double counting of academic staff allowed (about 5% of academic staff with permanent position in one University work as contract professor in other private universities; the exact number is highlighted in comments on single institution). Data on personnel with permanent position refer to 31/12/2007; data on contract staff refer to academic year 2007/2008.

Some institutions have contract professors with permanent position in another University. The number is in the Comments field.

IT031: No data available.

#### DC2 Staff by academic field

Data in head count. FoS not defined for a number of academic staff.

IT031: No data available.

#### DC2 Number of students ISCED5

IT024, IT031, IT057: No ISCED 5 students.

IT053, IT058, IT086: Only postgraduate students

**DC2 Number of students ISCED5 by field of education**

No educational fields breakdown for postgraduate students.

IT024, IT031, IT057: No ISCED 5 students.

IT053, IT058, IT086: Only postgraduate students

**DC2 Number of students ISCED6**

**DC2 Number of students ISCED6 by field of education**

Not available for any institution.

**DC2 Number of degrees awarded by national/international**

Provisional data for master level of study.

Doctorate degrees refers to 2007.

IT024, IT031, IT053, IT057, IT058, IT086: Only postgraduate courses. No data available.

**DC2 Number of degrees awarded by educational fields**

Provisional data for master level of study. FoE breakdown not defined for Doctorate level due to cross fields programmes.

IT024, IT031, IT053, IT057, IT058, IT086: Only postgraduate courses. No data available.

**DC2 R&D expenditures**

Not available for any institution.

**DC2 Funding from the private sector**

IT010, IT016, IT018, IT022, IT034, IT036, IT037, IT039, IT043, IT064 – IT067: No data on Total funding from the private sector available.

IT029, IT031: No data on Private sector funding for R&D available.

IT072: No data available.

**DC2 Patent applications and spin-offs**

Number of patents comes from CNVSU survey and only applies to universities with a specific unit responsible of management of European patents.

'Number of patent applications filed by HEI' unavailable for many institutions. See database.

'Number of patent applications filed by HEI staff' and 'Number of spin-offs' unavailable for all institutions.

## 13 Latvia

### Data collection 1

#### DC1 Distance education

LV056: Confirmed by country expert to be distance education institution.

#### DC1 Number of students ISCED 6

Set to 'Not applicable' for institutions not awarding a PhD. Was zero in previous version.

#### DC1 Number of international students ISCED 6

Set to 'Not applicable' for institutions not awarding a PhD. Was zero in previous version.

### Data collection 2

#### DC2 Expenditures

Personnel expenditures='salaries'+ 'compulsory payments of social insurance'; Capital expenditures='movable and immovable property'; Non-personnel expenditures='total expenditures'- 'personnel expenditures'- 'capital expenditures'.

LV020 – LV031: Confidential; no data available.

#### DC2 Income

Core funding='endowment from general income'- 'EU SF funding'+ 'income from the rent of premises'+ 'other non-identified income'; Third party funding='total funding'- 'core funding'- 'fees'.

LV020 – LV031: Confidential; no data available.

#### DC2 Staff

Foreign academic staff: 2009; headcount; Central Statistical Office.

#### DC2 Staff by academic field

Distribution by field of science only for researchers with a doctoral degree.

LV020 – LV031: Confidential; no data available.

#### DC2 Number of students ISCED5

#### DC2 Number of students ISCED5 by field of education

LV004 has 39 additional students thematically unclassified.

**DC2 Number of students ISCED6**

**DC2 Number of students ISCED6 by field of education**

**DC2 Number of degrees awarded by national/international**

No programmes in Latvia fall under the category "Masters and equivalents without 1st level qualifications".

**DC2 Number of degrees awarded by educational fields**

LV004: Additional 19 degrees at the diploma level and 12 degrees at the Master level in other non-classified thematic fields.

**DC2 R&D expenditures**

LV020 – LV031: Confidential; no data available.

**DC2 Funding from the private sector**

Confidential for all institutions, no data available.

**DC2 Patent applications and spin-offs**

No data on spin-offs available.

## 14 Lithuania

### Data collection 2

#### DC2 Expenditures

Confidential for all institutions, no data.

#### DC2 Income

Confidential for all institutions, no data.

#### DC2 Staff

LT042: Confidential, no data.

#### DC2 Staff by academic field

Not available for any institution.

#### DC2 Number of students ISCED5

LT042: Confidential, no data.

#### DC2 Number of students ISCED5 by field of education

LT042: Confidential, no data.

#### DC2 Number of students ISCED6

LT042: Confidential, no data.

#### DC2 Number of students ISCED6 by field of education

LT042: Confidential, no data.

#### DC2 Number of degrees awarded by national/international

LT042: Confidential, no data.

#### DC2 Number of degrees awarded by educational fields

LT042: Confidential, no data.

#### DC2 R&D expenditures

Confidential, no data.

#### DC2 Funding from the private sector

No data, no flag.

#### DC2 Patent applications and spin-offs

No data, no flag.

## 15 Luxembourg

### Data collection 2

#### Comments from country expert

University of Luxembourg

The NSI contact for Luxembourg, M. B. Jung was contacted at the beginning of May 2010. According to his suggestions, all data come from two sources: EUROSTAT and the university of Luxembourg annual report of 2009. As some data for some variables are not available in these two data sources, a person from the financial department of the University of Luxembourg, M. Mueller, was also contacted beginning of June but he did not reply so far.

#### DC2 Expenditures

Data have been extracted from the University annual report.  
Data on capital expenditures are not reported.

#### DC2 Income

Only the total incomes are reported in the annual report.

#### DC2 Staff

Only the total number of staff is reported in the annual report.

#### DC2 Staff by academic field

Not available.

#### DC2 Number of students ISCED5

#### DC2 Number of students ISCED5 by field of education

The number of students enrolled at level ISCED 5 by educational fields (headcount) is not reported in the annual report.

#### DC2 Number of students ISCED6

#### DC2 Number of students ISCED6 by field of education

The number of students enrolled at level ISCED 6 by educational fields (headcount) is not reported in the annual report.

#### DC2 Number of degrees awarded by national/international

#### DC2 Number of degrees awarded by educational fields

This information is available and the collection is done.

#### Variable 8: additional data

Only the total R&D expenditure and the share funded by the private sector are available.

**DC2 R&D expenditures**

R&D expenditures provisional value for 2008.

**DC2 Funding from the private sector**

Funding from the private sector for R&D (estimated value for 2007).

Total funding from the private sector not available.

**DC2 Patent applications and spin-offs**

Not available.

## 16 Malta

### Data collection 2

Comments from country expert.

#### DC2 Expenditures

Educational expenditures of the University are available in the University's audited financial statements through the NSO. Latest data is available for the year 2008. In this respect, the UOM financial (academic year) covers the period 1st October 2007 - 30th September 2008. For National Accounts purposes, these accounts are treated as covering data for the whole 2008, since 9 out of 12 months are actually in 2008.

It should be noted that included within the University of Malta's audited financial statements is the activity of the Junior College, an institution which falls under the responsibility of the UOM but which is not a research active institution. Where possible financial figures between the UOM and Junior College have been disaggregated. However, such disaggregation was not possible in all cases. Data flagged as 'Confidential' in excel sheet and consequently in database.

#### DC2 Income

Revenues of the University are available in the University's audited financial statements through the NSO. Latest data is available for the year 2008. In this case, the UOM financial (academic year) covers the period 1st October 2007 - 30th September 2008. For National Accounts purposes, these accounts are treated as covering data for the whole 2008, since 9 out of 12 months are actually in 2008.

It should be noted that included within the University of Malta's audited financial statements is the activity of the Junior College, an institution which falls under the responsibility of the UOM but which is not a research active institution. Where possible financial figures between the UOM and Junior College have been disaggregated. However, such disaggregation was not possible in all cases. Data flagged as 'Confidential' in excel sheet and consequently in database.

#### DC2 Staff

Part-time staff was considered as working half the hours of a full timer; 2006 refers to academic year 2005/ 2006. Breakdown of academic staff between national and foreign staff and by field of science is not available.

Figures for non-academic staff and international staff are not available at NSO.

#### DC2 Staff by academic field

Not available.

#### DC2 Number of students ISCED5

Reference year 2007 refers to academic year 2006/ 2007.

**DC2 Number of students ISCED5 by field of education**

Reference year 2007 refers to academic year 2006/ 2007.

**DC2 Number of students ISCED6**

Reference year 2007 refers to academic year 2006/ 2007.

**DC2 Number of students ISCED6 by field of education**

Reference year 2007 refers to academic year 2006/ 2007.

**DC2 Number of degrees awarded by national/international**

2007 refers to academic year 2006/ 2007. Data collection for Masters qualification in Malta does not distinguish between Master or pre-Bologna equivalents and Masters and equivalents without 1st level qualification. A Masters degree is referred to as "Second and further degree" in official statistics, whilst a Bachelor degree is referred to as a "First degree".

**DC2 Number of degrees awarded by educational fields**

2007 refers to academic year 2006/ 2007. Data collection for Masters qualification in Malta does not distinguish between Master or pre-Bologna equivalents and Masters and equivalents without 1st level qualification. A Masters degree is referred to as "Second and further degree" in official statistics, whilst a Bachelor degree is referred to as a "First degree".

**DC2 R&D expenditures**

Data flagged as 'Confidential' in excel sheet and consequently in database.

**DC2 Funding from the private sector**

Funding from the private sector for R&D in 2008 includes funding from Business Enterprise (€43,237) and funding from Private non-profit organisations (€35,376); both of which are treated as private in NSO's news releases.

With respect to total funding from the private sector, no disaggregation exists between private and other type of funding from the third party funding figure for 2008 of €4,769,000 (as already inputted in Sheet 2 - Income).

Data flagged as 'Confidential' in excel sheet and consequently in database.

**DC2 Patent applications and spin-offs**

Not available.

## 17 Netherlands

### Data collection 1

#### DC1 Students ISCED 6

NL016 No data or flag in excel sheet. Flagged as 'Not available' in database.

#### DC1 International students ISCED 6

Not available for any institution.

### Data collection 2

#### DC2 Expenditures

NL016: No data available.

NL017: Capital expenditures not available.

NL024, NL059: No data on capital expenditures because of merger.

#### DC2 Income

NL016: No data available.

#### DC2 Staff

Data on foreign academic staff not available.

#### DC2 Staff by academic field

Not available for any institution.

#### DC2 Number of students ISCED5

NL014, NL015, NK017, NL018: No breakdown between national and international students provided.

NL016: No data and no flag provided.

#### DC2 Number of students ISCED5 by field of education

The Netherlands' allocation of programmes to fields differs slightly from international conventions (e.g. Informatics is part of engineering - not of Natural sciences).

NL014, NL016: No data and no flag provided.

#### DC2 Number of students ISCED6

NL001 – NL015, NL017, NL019: No breakdown national/international students in data.

NL001, NL007, NL015: Health & welfare students not covered (part of Hospital).

NL020 – NL069: Zero for all values. Flagged as 'Not applicable' in database.

#### DC2 Number of students ISCED6 by field of education

NL001, NL007: Health & welfare students not covered (part of Hospital).

NL002 – NL006, NL008 – NK011: commented 'Breakdown unreliable'. Flagged as 'Unreliable or uncertain data' in database.

NL012: No data and flag.

NL014, NL016: No data available.

NL020 – NL069: Zero for all values. Flagged as 'Not applicable' in database.

### **DC2 Number of degrees awarded by national/international**

Masters diplomas includes old (pre-Bologna) degrees. Distinction between national-international not available (this holds for all universities).

NL014, NL016: Only data for doctorates available.

### **DC2 Number of degrees awarded by educational fields**

Diplomas don't exist in the Netherlands

NL001 – NL013: No breakdown available except for doctorates.

NL014, NL016: No data available.

### **DC2 R&D expenditures**

No data available for any institution.

### **DC2 Funding from the private sector**

No data available for any institution.

### **DC2 Patent applications and spin-offs**

No data available for any institution.

## 18 Norway

### Data collection 1

#### DC1 Educational fields

Classification based on national standards by National statistical office. Some deviation for Science and Engineering, manufacturing and construction

### Data collection 2

#### DC2 Expenditures

NO002, NO003, NO005, NO006: Capital expenditures not available.

#### DC2 Income

Most institutions do not charge fees.

NO039: No data on fees available.

#### DC2 Staff

##### DC2 Staff by academic field

For several institutions it has not been possible to give a field attribution to all staff. The number of staff not included in the attribution is to be found in the comments column. Total non-attributed is 568.1 FTE.

##### DC2 Number of students ISCED5

Breakdown national/international not available.

##### DC2 Number of students ISCED5 by field of education

##### DC2 Number of students ISCED6

Breakdown national/international not available.

##### DC2 Number of students ISCED6 by field of education

##### DC2 Number of degrees awarded by national/international

Breakdown national/international not available.

##### DC2 Number of degrees awarded by educational fields

##### DC2 R&D expenditures

Confidential, except NO001, NO002, NO003, NO005, NO006, NO007, NO011, NO013, NO014

##### DC2 Funding from the private sector

Funding from the private sector for R&D confidential, except NO001, NO002, NO003, NO005, NO006, NO007, NO011, NO013, NO014.

NO001, NO002, NO003, NO005, NO006, NO007, NO011, NO013, NO014: Reference year 2007 for Funding from the private sector for R&D.

**DC2 Patent applications and spin-offs**

Data on patent applications by HEI staff and Number of spin-off companies not available.

## 19 Poland

### Data collection 1

#### Students ISCED 6

29 institutions are awarding a PhD without having ISCED 6 students. This is confirmed as a consequence of the fact that some HEIs in Poland can award a doctorate without having PhD students. There are two ways leading to PhD in Poland: 1) PhD study (III level of Bologna) or 2) Without PhD study (exams+ thesis+ Defence).

### Data collection 2

#### DC2 Expenditures

Available as percentages only. Figures not inserted in database, flagged as 'Not available' in database. Capital expenditures unavailable.

#### DC2 Income

Available as percentages only. Figures not inserted in database, flagged as 'Not available' in database.

#### DC2 Staff

Headcounts (full time + 50% part time).  
Foreign academic staff not available for any institution.

#### DC2 Staff by academic field

Not available for any institution.

#### DC2 Number of students ISCED5

#### DC2 Number of students ISCED5 by field of education

#### DC2 Number of students ISCED6

#### DC2 Number of students ISCED6 by field of education

Not available for any institution.

#### DC2 Number of degrees awarded by national/international

Data doctorate degrees by national/international not available.

#### DC2 Number of degrees awarded by educational fields

#### DC2 R&D expenditures

No data, commented as Available for the fee from Processing Information Centre. Flagged as 'Not available' in database.

**DC2 Funding from the private sector**

No data, commented as Available for the fee from Processing Information Centre. Flagged as 'Not available' in database.

**DC2 Patent applications and spin-offs**

No data, commented as Available for the fee from Processing Information Centre. Flagged as 'Not available' in database.

## 20 Portugal

### Data collection 2

#### DC2 Expenditures

Total expenditures refer to current expenditures and include personnel and non-personnel expenditures.

PT041, PT067, PT076, PT080: No data available.

#### DC2 Income

"Third Party Funding" refers to all income except Core Funding and Fees, representing transfers from EU.

PT041, PT067, PT076, PT080: No data available.

#### DC2 Staff

No data and no flag in excel sheet. Flagged as '\*Not available\*' in database.

#### DC2 Staff by academic field

No data and no flag in excel sheet. Flagged as '\*Not available\*' in database.

#### DC2 Number of students ISCED5

#### DC2 Number of students ISCED5 by field of education

#### DC2 Number of students ISCED6

PT067 does not have doctorate programmes. Flagged as 'Not applicable' in database.

#### DC2 Number of students ISCED6 by field of education

#### DC2 Number of degrees awarded by national/international

"Diploma" refers to post-bachelor specializations; "Master or pre-Bologna equivalents" only include pre-Bologna masters; Bologna masters are included into "masters and equivalents without 1st level qualifications".

#### DC2 Number of degrees awarded by educational fields

"Diploma" refers to post-bachelor specializations; "Master or pre-Bologna equivalents" only include pre-Bologna masters; Bologna masters are included into "masters and equivalents without 1st level qualifications".

#### DC2 Funding from the private sector

Total funding from private sector not available for any institution.

#### DC2 Patent applications and spin-offs

No data and no flag in excel sheet. Flagged as '\*Not available\*' in database.

## 21 Romania

### Data collection 1

#### DC1 Distance education

- RO076: Comment from national expert: Titu Maiorescu University have 15006 students (12413 undergraduate and 2597 master) and the number of staff is 158, but the staff are counted as FTE. However, this university has 12413 registered students from which 6395 students are registered for distance learning (over 50%). Flagged as 'Deviates from definition' in database.
- RO079: 57% distance education - difficult to determine whether threshold was met; maybe necessary to be more exact in defining "majority". Flagged as 'Deviates from definition' in database.

### Data collection 2

#### DC2 Expenditures

- RO007, RO017, RO023, RO035: Not available.
- RO082: Confidential

#### DC2 Income

Not available for any institution.

#### DC2 Staff

Data on foreign academic staff not available.

- RO082: Confidential

#### DC2 Staff by academic field

Data broken down by field of education or field of science are not available.

#### DC2 Number of students ISCED5

- RO082: Confidential

#### DC2 Number of students ISCED5 by field of education

- RO082: Confidential

#### DC2 Number of students ISCED6

- RO082: Confidential

#### DC2 Number of students ISCED6 by field of education

- RO082: Confidential

**DC2 Number of degrees awarded by national/international**

Category "Diploma (less than 3years)" does not exist in Romania.

RO082: Confidential

**DC2 Number of degrees awarded by educational fields**

Category "Diploma (less than 3years)" does not exist in Romania.

RO082: Confidential

**DC2 R&D expenditures**

Confidential for all institutions.

**DC2 Funding from the private sector**

No data or flag in excel sheet. Flagged as 'Not available' in database.

**DC2 Patent applications and spin-offs**

Not available for any institution.

## 22 Slovakia

### Data collection 2

#### DC2 Expenditures

SK006, SK008, SK009, SK010; SK011, SK022, SK023, SK024, SK025, SK031, SK032, SK033: Not available.

#### DC2 Income

Fees included in third party financing.

SK006, SK008, SK009, SK010; SK011, SK022, SK023, SK024, SK025, SK031, SK032, SK033: Not available.

#### DC2 Staff

Foreign academic staff not available for any institution.

SK006, SK008, SK009, SK010; SK011, SK022, SK023, SK024, SK025, SK031, SK032, SK033: Only academic staff available.

#### DC2 Staff by academic field

#### DC2 Number of students ISCED5

#### DC2 Number of students ISCED5 by field of education

#### DC2 Number of students ISCED6

#### DC2 Number of students ISCED6 by field of education

#### DC2 Number of degrees awarded by national/international

#### DC2 Number of degrees awarded by educational fields

#### DC2 R&D expenditures

SK006, SK008, SK009, SK010; SK011, SK022, SK023, SK024, SK025, SK031, SK032, SK033: Not available.

#### DC2 Funding from the private sector

SK006, SK008, SK009, SK010; SK011, SK022, SK023, SK024, SK025, SK031, SK032, SK033: Not available.

#### DC2 Patent applications and spin-offs

Not available for any institution.

## 23 Slovenia

### Data collection 2

#### DC2 Expenditures

SI004: No data on expenditures. This University is active since year 2008.

#### DC2 Income

SI004: No data on income. This University is active since year 2008.

#### DC2 Staff

Foreign academic staff is reported in head counts.

#### DC2 Staff by academic field

Not available for any institution. The reason is that in Slovenia the Frascati classification of academic personnel by field of science has been never used).

#### DC2 Number of students ISCED5

Data on international students refer to mobile students (foreign country of permanent residence).

#### DC2 Number of students ISCED5 by field of education

#### DC2 Number of students ISCED6

Data on international students refer to mobile students (foreign country of permanent residence).

#### DC2 Number of students ISCED6 by field of education

#### DC2 Number of degrees awarded by national/international

#### DC2 Number of degrees awarded by educational fields

#### DC2 R&D expenditures

#### DC2 Funding from the private sector

Total funding from the private sector not available.

#### DC2 Patent applications and spin-offs

Number of patent applications filed by HEI staff not available

## 24 Spain

### Data collection 2

#### DC2 Expenditures

Last data available is 2006. Data from 2008 is still under collection since February 2010 and the information is still not available for 2008. The Spanish National Statistic Institute (INE) does not collect this information with the detail requested; for this reason we provide data collected by CRUE (official data).

#### DC2 Income

General comment: last data available is 2006. Data from 2008 is still under collection since February 2010 and the information is still not available for 2008. The Spanish National Statistic Institute (INE) does not collect this information with the detail requested; for this reason we provide data collected by CRUE (official data).

#### DC2 Staff

PhD/doctorate students employed by the institution are not included as academic staff. Data for foreign academic staff are not very reliable.

#### DC2 Staff by academic field

PhD/doctorate students employed by the institution are not included as academic staff. Regarding data split by field of study, 5 groups are considered: Natural Science; Engineering, Medical Sciences; Social Sciences; Humanities. Agriculture Science (group 4 in the OECD Manual) is included: group 4.1 in Engineering and group 4.2 in Medical Sciences.

#### DC2 Number of students ISCED5

#### DC2 Number of students ISCED5 by field of education

Regarding data split by field of study, 5 groups are considered: Natural Sciences; Engineering, Medical Sciences; Social Sciences; Humanities. Education is included in Social Sciences. Agriculture Science (group 4 in the OECD Manual) is included: group 4.1 in Engineering and group 4.2 in Medical Sciences. International students based on nationality.

#### DC2 Number of students ISCED6

#### DC2 Number of students ISCED6 by field of education

Regarding data split by field of study, 5 groups are considered: Natural Sciences; Engineering, Medical Sciences; Social Sciences; Humanities. Education is included in Social Sciences. Agriculture Science (group 4 in the OECD Manual) is included: group 4.1 in Engineering and group 4.2 in Medical Sciences. International students based on nationality.

**DC2 Number of degrees awarded by national/international**

Degrees awarded by level and split by national and international students are not available.

**DC2 Number of degrees awarded by educational fields**

General comment: when data is split by field of education, different degrees got by the same person are not registered, that is, double accounting is not made. Therefore, number of degrees awarded are the same that number of graduates. Regarding data split by field of study, 5 groups are considered: Natural Sciences; Engineering, Medical Sciences; Social Sciences; Humanities. Education is included in Social Sciences. Agriculture Science (group 4 in the OECD Manual) is included: group 4.1 in Engineering and group 4.2 in Medical Sciences.

**DC2 R&D expenditures**

Reference year 2006.

**DC2 Funding from the private sector**

Reference year 2006.

**DC2 Patent applications and spin-offs**

Regarding Patent applications filed by staff at the HEIs: the Spanish Law of Patents (1986) does not allow that individuals from the HEIs patent something under their name, that is, all patents are institutional patents.

## 25 Sweden

### Data collection 2

#### DC2 Expenditures

The data refer to costs and not expenditures.

#### DC2 Income

Income refers to revenues.

#### DC2 Staff

There is no statistics on foreign academic staff.

#### DC2 Staff by academic field

Personnel in field of other/general sciences not included in "by field classification" , though technically it's possible.

#### DC2 Number of students ISCED5

No of students in autumn 2008: in headcounts for total, nat., int, but in FTE by fields.

#### DC2 Number of students ISCED5 by field of education

No of students in FTE. The official source uses national classification of FoE.  
Agriculture included in Sciences.  
Other reported under Services.

#### DC2 Number of students ISCED6

Autumn 2008 for total, calendar year 2008 for international students.  
No data for national students.  
SE022 – SE047:Not applicable.

#### DC2 Number of students ISCED6 by field of education

The official source uses national classification of FoE.  
Other fields are reported under Service in "by field" classification.

#### DC2 Number of degrees awarded by national/international

Doctorate includes Licentiate degree and PhD degree.  
Division by national/international not available.

#### DC2 Number of degrees awarded by educational fields

No General Education.  
Teacher Education is reported as Bachelor.  
Other reported under Services.

**DC2 R&D expenditures**

R&D expenditures include expenditures on research level education.

**DC2 Funding from the private sector**

Private sector is identical to companies.

**DC2 Patent applications and spin-offs**

Data on patents and spinoffs not available.

## 26 Switzerland

### Data collection 2

#### DC2 Expenditures

Data on capital expenditures not available for any institution.

CH020, CH033, CH034, CH035, CH036: No data or flag in excel sheet. Flagged as 'Not available' in database.

#### DC2 Income

CH020, CH033, CH034, CH035, CH036: No data or flag in excel sheet. Flagged as 'Not available' in database.

#### DC2 Staff

Academic staff include: professors, others teachers and assistants.

CH036: No data available.

#### DC2 Staff by academic field

Academic staff include: professors, others teachers and assistants.

CH001 – CH012: Humanities includes: theology, linguistic and Literature, History, Humanities multidisciplinary.

Social Sciences include: Economy, Law, other social sciences.

Agriculture includes: agriculture and silviculture.

Medical Sciences include: Medicine and pharmacy.

Engineering and technology includes: building sciences, mechanical engineering, electrical engineering, multidisciplinary engineering.

Natural Sciences include: experimental and natural sciences.

There are a few number of academic staff included in "others" and not recovered in this disciplinary classification.

CH013 – CH035: Humanities includes: linguistic, design, music and arts.

Social Sciences include: economic sciences, psychology and education sciences.

Agricultural sciences includes: agronomy and forest economy.

Medical Sciences includes: Health sciences.

Engineering includes: architecture, building and technology.

Natural Sciences include: chemistry and life sciences.

CH036: No data available.

#### DC2 Number of students ISCED5

ISCED 5 includes only Bachelor and master, while UOE data collection includes also a small number of students in continuing education and other studies.

**DC2 Number of students ISCED5 by field of education**

ISCED 5 includes only Bachelor and master, while UOE data collection includes also a small number of students in continuing education and other studies.

**DC2 Number of students ISCED6**

Number of international students based on country of prior education.

CH013 – CH036: Not applicable.

**DC2 Number of students ISCED6 by field of education**

CH013 – CH036: Not applicable.

**DC2 Number of degrees awarded by national/international**

CH001 – CH012: Old university diploma (licence) under masters without 1st level qualification. Diploma not applicable.

CH016 – CH020: Old UAS diploma under bachelor. Masters and equivalents without 1st level qualifications and doctorate not applicable.

CH021 – CH034: Master or pre-Bologna equivalents, Masters and equivalents without 1st level qualifications, Doctorate not applicable.

CH035, CH036: No data available.

**DC2 Number of degrees awarded by educational fields**

CH001 – CH012: Diploma not applicable.

CH013 – CH034: Master or pre-Bologna equivalents and Doctorate not applicable.

CH035, CH036: No data available.

**DC2 R&D expenditures**

CH001 – CH012, CH035, CH036: No data available.

CH033, CH034: No data or flag in excel sheet. Flagged as 'Not available' in database.

**DC2 Funding from the private sector**

CH001 – CH012: Funding from the private sector for R&D not available.

CH020, CH033, CH034: No data or flag in excel sheet. Flagged as 'Not available' in database.

CH036: No data available.

**DC2 Patent applications and spin-offs**

No data available for any institution.

## 27 UK

### Data collection 1

ISCED 6 includes doctorates and research masters, while ISCED 5 includes all undergraduate and postgraduate not included in ISCED 6 (including taught masters) For the extended data collection, we have been able to complete several missing tables, including data on international staff, data on international student enrolments at levels ISCED 5 and ISCED 6 (divided as above), data on degrees by national/international students and by field of education (including information on doctorates as separate from masters, which was not previously available; however, for national/international degrees we have not been able to provide a division between diplomas and bachelors, therefore we have provided the aggregate figure for all undergraduates).

### DC1 Educational fields

Revised August 2010 based on revised data.

Based on number of total undergraduate students enrolled in each educational field in 2007/2008. If there are less than 100 students, field is "present", if more than 100, "yes". Concordance had to be made between JACS classification system and UOE classification.

### DC1 Students ISCED 5

Last version divides student enrolments into the ISCED 5 and ISCED 6 categories, thanks to further data provided by HESA.

Headcount undergraduate students. Includes students active at the institution at any point in the reporting period 1 August 2007 to 31 July 2008, enrolled at levels H, I, J, C, M of HESA collection, corresponding to level ISCED 5A and 5B, as well as taught masters and other postgraduate at level 5A.

UK009, UK066, UK073: Not available.

The number of undergraduate students reported by HESA is confirmed to be zero for the following institutions:

- UK021 The Institute of Cancer Research
- UK031 Cranfield University
- UK071 London Business School
- UK076 London School of Hygiene and Tropical Medicine
- UK101 Royal College of Art

The Institute of Cancer Research, Cranfield University and London School of Hygiene and Tropical Medicine are primarily postgraduate institutions.

London Business School and Royal College of Arts. The other two institutions without students ISCED 5 cannot be explained by the country expert.

### DC1 International students ISCED 5

Last version divides student enrolments into the ISCED 5 and ISCED 6 categories, thanks to further data provided by HESA.

Headcount. Based on country of normal residence. Includes students active at the institution at any point in the reporting period 1 August 2007 to 31 July 2008. Includes students at levels H, I, J, C, M of HESA collection, corresponding to level ISCED 5A and 5B.

UK009, UK066, UK073: Not available.

### DC1 Students ISCED 6

Last version divides student enrolments into the ISCED 5 and ISCED 6 categories, thanks to further data provided by HESA.

Headcount postgraduate students. Includes students active at the institution at any point in the reporting period 1 August 2007 to 31 July 2008, enrolled at levels L and D of HESA collection: doctorates and research masters at ISCED level 6.

UK009, UK066, UK073: Not available.

### DC1 International students ISCED 6

Headcount. Based on country of normal residence. Includes students active at the institution at any point in the reporting period 1 August 2007 to 31 July 2008. Includes levels L and D of HESA collection: doctorates and research masters at ISCED level 6.

UK009, UK066, UK073: Not available.

## Data collection 2

### Comments on: EUMIDA Extended data collection for the UK by country experts

The following pages present some comments on the extended data collection exercise, explaining in more detail the comments already included in the "comments" section in the excel file. There are a number of deviations from the guidelines.

**Please note: we have not sought permission by HESA to make the data available to the public. So if any public report or paper is to be made using these data, they must be presented only in aggregate form or in charts.**

The list of research active institutions for the data collection includes all institutions in the perimeter (see core data collection) that take part in the Research Assessment Exercise (REA).

One note on the perimeter: Dartington Art College merged with University College Falmouth in 2008, but continues to report separately to HESA. Therefore in order to compute any figures for University College Falmouth, we have summed the two separate figures for University College Falmouth and Dartington Art College.

### DC2 Expenditures

Expenditures are given in the national currency at current prices, as requested; however, they do not refer to the calendar year (1.1-31.12) but to Financial data relates to the institutions' financial year, i.e. 1 August to 31 July (in this case 1.8.2007 – 31.7.2008), as this is the way in which they are collected by HESA.

### Total expenditures

The total expenditures made by each institution are drawn from the HESA Resources CD, Table 2a, column I.

These are the sum of expenditures for:

- Academic departments: This includes all expenditure directly incurred by or on behalf of academic departments (including departments of continuing education) and expenditure incurred in connection with special and short courses, which is not reimbursable by research councils or other bodies in respect of work carried out on their behalf.
- Academic services: This includes expenditure incurred on centralised academic services such as the library and learning resource centres, central computers and computer networks (including maintenance and operating costs), expenditure on centrally run museums, galleries and observatories, and any other general academic services not covered elsewhere.
- Administration & central services: This includes expenditure incurred on central administration, staff and student facilities and amenities and general educational expenditure. In particular: Central administration & services includes expenditure in respect of central administrative staff and such payments to Heads of Institutions, Professors, Deans, Tutors, Faculty Officers and the like as are made in respect of central (as distinct from departmental) administrative work. This category also includes expenditure associated with the running costs of an administrative computer system and the following other costs if not charged to their relevant cost centre: public relations, advertising, recruitment, removal expenses of all staff, publications (excluding educational publications), rating or council tax advisors, security of wages, bank charges (excluding interest), central postage, superannuation management, expenses of head of institution, legal and audit fees, general insurance costs not included elsewhere and telephone costs where centrally charged. Staff & student facilities includes expenditure incurred on the provision of facilities and amenities for the use of students and/or staff, e.g. Careers Advisory Service, all grants to student societies, emoluments to wardens of halls of residence, accommodation office, athletic and sporting facilities (excluding maintenance) and the institution's health service. General educational expenditure includes expenditure incurred on examinations, fellowships, scholarships, prizes and other expenditure of a general educational nature. It includes the direct costs of examinations for example of external examiners, salaries, printing, etc. Also included are fee remission and provisions for bad debts in respect of unpaid fees and the following items that cannot be appropriately charged elsewhere: educational publications, public lectures, concerts and exhibitions, subscriptions and contributions to learned societies and similar bodies, contributions to representative bodies and agencies, works of art, contributions to the institution's Press, research projects not returned under other heads, representation at conferences, explorations and expeditions, administration of non-departmental arts centres, widening participation activity and student recruitment costs from home and overseas.
- Premises, Residences & catering operations (including conferences): This includes all expenditure incurred (whether centrally or departmentally) on the management of premises (including academic buildings, central academic services, art centres, institution's health service premises, pavilions, sports buildings, etc) and on roads and grounds, except residences and catering. In particular: Repairs and maintenance expenditure includes the maintenance of premises including the pay of staff involved (including estates administrative staff) and maintenance provision charges. Other expenditure includes rates (the uniform business rate charged by local authorities), payments made for the rental of premises,

recurrent costs of energy, water and sewerage, depreciation of all buildings except residential, catering and conference buildings, costs of insuring all premises and their contents, cost of cleaning (i.e. salaries, wages and materials, and payments in respect of contract cleaning) and the

- cost of portering and security services.
- Residences & catering operations (including conferences): This includes the gross expenditure incurred in providing the residence, catering and any conference operations, including the cost of maintenance of residential and catering premises, salaries and any other identifiable costs relating to these operations. The depreciation costs and financing costs of these operations are included in the appropriate categories of expenditure.
- Research grants & contracts: This includes the total of the direct costs attributed to research grants & contracts as detailed for research grants & contracts income.
- Other expenditure. Pension cost adjustment includes any adjustment made to staff pension costs in the income and expenditure account (i.e. the difference between actual contributions made and current service cost figure). Other includes the total direct costs attributed to other services rendered and all other expenditure not covered above.

UK020, UK021\*\*\*, UK053, UK076 and UK105 are University of Cambridge, The Institute of Cancer Research, Imperial College, London School of Hygiene and Tropical Medicine and The Royal Veterinary College respectively. These institutions are research intensive and can be expected to have a high ratio of total expenditures/total number of students.

UK031, UK071: the high total expenditure/total students ratio may be due to the fact that they are both postgraduate-only institutions (they do not have any undergraduate students) and therefore also quite research-intensive.

### **Current expenditures: Personnel**

The total personnel expenditures made by each institution are drawn from the HESA Resources CD, Table 2b, column O (named "total staff costs").

This covers all, and only, those full-time and part-time staff who have a contract of employment with the institution and includes any redundancy or restructuring payments (that are not treated as exceptional items) made to these staff.

Total staff cost is the sum of:

- Academic staff costs: includes costs in respect of academic professionals, whose primary function is planning, directing and undertaking academic teaching and/or research, paid from within the budgets of academic departments and allocated to the appropriate cost centre.
- Other staff costs: includes costs in respect of all other staff paid from within the budgets of academic departments and allocated to the appropriate cost centre.
- PhD-students/doctorates or post docs are included insofar as they are on contracts with the institution

### **Current expenditures: Non-personnel**

Computed as the difference between total expenditure and total staff costs

### **Capital expenditures**

Capital expenditures made by each institution are drawn from the HESA HE Finance Plus CD, Table 7, column AA.

Capital expenditure covers all expenditure that increases the value of an institution's (or a subsidiary undertaking's) fixed assets, including the purchase of land, buildings, and those items of equipment which are included in the institution's register of fixed assets and shown in the balance sheet. The capital expenditure should thus be consistent with the additions to fixed assets shown in a note to the balance sheet. Capital expenditure includes fees and irrecoverable VAT.

UK083, UK090: No data or flag in excel sheet for capital expenditure.

### **DC2 Income**

Funding data is stated in the national currency (GBP) at current prices, as requested; however, they do not refer to the calendar year (1.1-31.12) but to Financial data relates to the institutions' financial year, i.e. 1 August to 31 July (in this case 1.8.2007 – 31.7.2008), as this is the way in which they are collected by HESA.

### **Total funding**

The total income received by each institution is drawn from the HESA Resources CD, Table 1a, column H.

It is computed as the sum of:

- Funding body grants: include those from the Higher Education Funding Council for England (HEFCE), the Higher Education Funding Council for Wales (HEFCW), the Scottish Further and Higher Education Funding Council (SFC), the Training and Development Agency for Schools (TDA) and the Department for Employment and Learning Northern Ireland (DEL(NI)).
- Tuition fees & education contracts: This includes all income received in respect of fees for students on all courses for which fees are charged. Where fees are waived in whole or in part, the income due though not received is included.
- Research grants & contracts: This includes all income in respect of externally sponsored research carried out by the institution or its subsidiary undertaking for which directly related expenditure has been incurred.
- Other income -other services rendered: This includes all income in respect of services rendered to outside bodies, including the supply of goods and consultancies.
- Other income –other: Residences & catering operations (including conferences) includes the gross income from residences, catering and conference operations. Grants from local authorities include income from local authorities providing capital or revenue for the purpose to which the grant will be applied. Income from health & hospital authorities (excluding teaching contracts for student provision) includes income received from UK health or hospital authorities for the funding of any employees of the institution, including posts in academic teaching, except for those relating to the provision of a service, and excluding income provided for research. Release of deferred capital grants includes an institution's capital grant from a source other than a funding council, to finance, or partly finance, the construction or acquisition of a fixed asset. Income from intellectual property rights includes all income received from intellectual property rights such as licences and patents. Other operating income includes all other operating income not covered above such as Trans-European

Mobility Scheme for University Studies (TEMPUS) and European Community Action Scheme for the Mobility of University Students (ERASMUS) grants.

- Endowment & investment income: This includes income from specific endowment asset investments, general endowment asset investments, other investment income and other interest receivable.

### Core budget

The total income received by each institution is drawn from the HESA Resources CD, Table 1a, and is computed as the sum of Funding body grants (column B) and Endowment and Investment income (column G)

### Third party funding

The third party funding received by each institution is drawn from the HESA Resources CD, Table 1a, and is obtained as the sum of columns D (research grants and contracts) and E (other income – other services rendered) and F (Other income – other).

### Fees

Data on tuition fees are drawn from the HESA Resources CD, Table 1a, column C ("Tuition fees & education contracts")

This includes all income received in respect of fees for students on all courses for which fees are charged. Where fees are waived in whole or in part, the income due though not received is included. Therefore, total income is exactly equal to the sum of core funding, third party funding and fees.

### DC2 Staff

#### Total academic and non-academic staff

Data on total staff and academic/non-academic staff are drawn from HESA Resources CD, Table 25, columns U (Total Staff FTE), and I (Total academic staff). Non-academic staff is computed as the difference between figures in column U and I.

Data include all contracts that were active on 1 December within the reporting period (1 August 2007 to 31 July 2008 inclusive). Atypical staff contracts are included in this population.

Academic staff are defined as academic professionals who are responsible for planning, directing and undertaking academic teaching and research within HE institutions. They also include vice-chancellors, medical practitioners, dentists, veterinarians and other health care professionals who undertake lecturing or research activities. Non-academic staff are defined as those that do not have an academic employment function such as managers, non-academic professionals, student welfare workers, secretaries, caretakers and cleaners. Staff employed under consultancy contracts, or on the basis of payment of fees for services, without a contract of employment, are not included in the record.

Staff full-time equivalent (FTE) indicates the percentage of a full-time equivalent year being undertaken over the course of the reporting period 1 August to 31 July. The FTE is therefore counted using a population of staff who were active during the reporting period, not just on a given snapshot date (using the HESA staff contract session population).

#### Foreign academic staff

This information is not available from HESA Student CD rom. We have requested it from HESA Information Provision service, which has provided it for a further charge.

Data is restricted to staff with non-UK nationality only. Nationality defines the country of legal nationality. This is not necessarily the domicile.

UK nationality staff are those whose country of legal nationality is the UK, and for analysis also includes Guernsey, Jersey and the Isle of Man. (Officially, the Crown Dependencies of Guernsey, Jersey and the Isle of Man are not part of the UK or the EU.)

Non-UK nationality staff are those whose country of legal nationality is a country other than that defined as UK nationality.

UK066, UK073: Not available.

### Academic staff by fields of science

The number of FTE academic staff divided according to cost centre are drawn from the HESA Resources CD Table 26b. Data are presented by 34 different cost centres. To achieve comparability with the OECD Frascati Manual classification into Fields of Science, we have aggregated them as follows:

1. Natural sciences (Pharmacy & pharmacology, Biosciences, Chemistry Physics, Earth, marine & environmental sciences, Mathematics, Information technology & systems sciences & computer software engineering);
2. Engineering and technology (General engineering, Chemical engineering, Mineral, metallurgy & materials engineering, Civil engineering, Electrical, electronic & computer engineering, Mechanical, aero & production engineering, Architecture, built environment & planning),
3. Medical sciences (Clinical medicine, Clinical dentistry, Veterinary science, Anatomy & physiology, Nursing & paramedical studies, Health & community studies, Psychology & behavioural sciences),
4. Agricultural sciences (Agriculture & forestry),
5. Social sciences (Catering & hospitality management, Business & management studies, Geography, Social studies, Media studies),
6. Humanities (Humanities & language based studies, Design & creative arts, Education, Modern languages, Archaeology, Sports science & leisure studies, Continuing education)

### **DC2 Number of students ISCED5**

Data on students enrolled at level ISCED 5 are drawn from the HESA student CD.

ISCED 6 includes doctorates and research masters, while ISCED 5 includes all undergraduate and postgraduate not included in ISCED 6 (including taught masters) For the extended data collection, we have been able to complete several missing tables, including data on international staff, data on international student enrolments at levels ISCED 5 and ISCED 6 (divided as above), data on degrees by national/international students and by field of education (including information on doctorates as separate from masters, which was not previously available; however,

The data made available in HESA's Student CD rom are divided into under undergraduate and postgraduate, where: undergraduate students include students enrolled at levels H, I, J, C of HESA collection, corresponding to level ISCED 5A and 5B; however, undergraduate students do NOT include taught masters and taught doctorates at level 5A, which are aggregated into postgraduate.

Therefore, in order to be able to divide student counts into ISCED 5 and ISCED 6 levels, we have requested this information from HESA Information Provision service, which has provided it for a further charge.

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Data are provided in headcounts, and include students active at the institution at any point in the reporting period 1 August 2007 to 31 July 2008.

Students ISCED 5 includes students enrolled at levels H, I, J, C, M of HESA collection, corresponding to level ISCED 5A and 5B (undergraduate; masters (taught); other postgraduate).

The attribution of domicile is based on the country of normal residence.

For educational fields, concordance had to be made between JACS classification system and UOE classification.

UK043: Includes data for University College Falmouth and Dartington Art College, which merged with Falmouth in 2008 (but continues to report separately to HESA).

UK066, UK073: Not available.

### DC2 Number of students ISCED5 by field of education

For educational fields, concordance had to be made between JACS classification system used by HESA and the UOE classification requested by EUMIDA. We have aggregated the students as follows:

UOE field	JACS field
· Education	Education
· Humanities and Arts	Languages
	Historical & philosophical studies
	Creative arts & design
· Social sciences, business and law	Social studies
	Law
	Business & administrative studies (minus Hospitality, leisure, tourism & transport)
	Mass communications & documentation
· Science	Physical sciences
	Mathematical sciences
	Computer science
	Biological sciences
· Engineering, manufacturing and construction	Engineering & technology
	Architecture, building & planning
· Agriculture	Veterinary science
	Agriculture & related subjects
· Health and welfare	Medicine & dentistry
	Subjects allied to medicine
· Services	Hospitality, leisure, tourism & transport

Student courses often involve combinations of subjects, and so cannot be described by a single JACS code. Within the HESA student data collection, there are two mechanisms for dealing with this. First, JACS has been slightly extended to allow codes to be assigned to highly integrated courses which cut

across principal subjects. Where such a broadly-based course falls within a single subject group, it can be coded as the group letter followed by three zeroes, for example F000 would code such a course in Physical sciences. This is known as a generic code, and is an extension of JACS for the purpose of coding complete student courses; generic codes may not be used in any other way, for example for coding modules. Courses which cut across subject groups are given the generic code Y000, which is equivalent to continuing to recognize the need for a 'Combined' subject group. The second mechanism is designed to describe less integrated courses of the kind often known as Joint Honours. The HESA Student record allows the reporting of up to three subject descriptors for each course and a proportion of time allocated for each subject studied on a course.

UK043: Includes data for University College Falmouth and Dartington Art College, which merged with Falmouth in 2008 (but continues to report separately to HESA).

UK066, UK073: Not available.

### **DC2 Number of students ISCED6**

HESA do not divide students into ISCED 5 and ISCED 6, but rather divide them into undergraduate and postgraduate, where postgraduate students includes levels M and above of HESA collection: doctorates and research masters at ISCED level 6 and taught masters and doctorates at level 5A. Data are provided in headcounts, and include students active at the institution at any point in the reporting period 1 August 2007 to 31 July 2008.

Students ISCED 6 includes students enrolled at levels D and L of HESA collection, corresponding to level ISCED 6 (masters (research) and doctorate).

The attribution of domicile is based on the country of normal residence.

UK043: Includes data for University College Falmouth and Dartington Art College, which merged with Falmouth in 2008 (but continues to report separately to HESA).

UK066, UK073: Not available.

### **DC2 Number of students ISCED6 by field of education**

The number of undergraduate students by educational field was drawn from HESA Students CD, Table 8g.

For educational fields, concordance had to be made between JACS classification system and UOE classification. requested by EUMIDA. We have aggregated the students in the same way used for ISCED 5.

Student courses often involve combinations of subjects, and so cannot be described by a single JACS code. Within the HESA student data collection, there are two mechanisms for dealing with this. First, JACS has been slightly extended to allow codes to be assigned to highly integrated courses which cut across principal subjects. Where such a broadly-based course falls within a single subject group, it can be coded as the group letter followed by three zeroes, for example F000 would code such a course in Physical sciences. This is known as a generic code, and is an extension of JACS for the purpose of coding complete student courses; generic codes may not be used in any other way, for example for coding modules. Courses which cut across subject groups are given the generic code Y000, which is equivalent to continuing to recognize the need for a 'Combined' subject group. The second mechanism is designed to describe less integrated courses of the kind often known as Joint Honours. The HESA Student record allows the reporting of up to three subject descriptors for each course and a proportion of time allocated for each subject studied on a course.

UK043: Includes data for University College Falmouth and Dartington Art College, which merged with Falmouth in 2008 (but continues to report separately to HESA).

UK066, UK073: Not available.

### **DC2 Number of degrees awarded by national/international**

The data on the number of degrees awarded by programme level are drawn from the HESA Students CD, Table 12a.

The data refer to the count of student instances associated with the award of a qualification during the period 1 August 2007 to 31 July 2008, differently from the EUMIDA guidelines which required to refer to the whole calendar year (1.1 – 31.12)..

The qualifications at different levels have been classified as follows

- Diploma includes "Other undergraduate" (qualification aims equivalent to and below first degree level, including, but not limited to, PGCE at level H (unless shown separately), foundation degrees (unless shown separately), diplomas in HE (including those with eligibility to register to practice with a health or social care regulatory body), Higher National Diploma (HND), Higher National Certificate (HNC), Diploma of Higher Education (DipHE), Certificate of Higher Education (CertHE), foundation courses at HE level, NVQ/SVQ levels 4 and 5, post-degree diplomas and certificates at undergraduate level, professional qualifications at undergraduate level, other undergraduate diplomas and certificates including post-registration health and social care courses, other formal HE qualifications of less than degree standard, institutional undergraduate credit and no formal undergraduate qualifications) (Table 12a, column O)
- Bachelor includes First degree (includes first degrees (including eligibility to register to practice with a health or social care or veterinary statutory regulatory body), first degrees with qualified teacher status (QTS)/registration with the General Teaching Council (GTC), enhanced first degrees, first degrees obtained concurrently with a diploma and intercalated first degrees) (Table 12a, column I)
- Master or pre-Bologna equivalent includes "Other higher degree" (research and taught masters) and "other postgraduate" (Table 12a, column E)
- Doctorate includes "doctorates" (Table 12a, column D).

We have asked HESA whether disaggregation at a finer level (distinguishing between masters and doctorates) is available upon request (we contacted them on May 26), and are awaiting their reply.

Data on degrees obtained by international students are not available disaggregated by both institution and level of study from the Students CD rom. We have requested this information from HESA Information Provision service, which has provided it for a further charge.

Please note that data for London Metropolitan University, Liverpool Hope University, and University College Birmingham are routinely excluded from many types of data supplied through the HESA Information Provision service.

In the case of degrees awarded to national and international students, we have not been able to divide undergraduate degrees into diplomas and bachelors, therefore the categories are the following:

- Bachelor includes programmes of study at level H, including, but not limited to, first degrees (including eligibility to register to practice with a health or social care or veterinary statutory regulatory body), first degrees with qualified teacher status (QTS)/registration with the

General Teaching Council (GTC), Postgraduate bachelors degrees at level H, enhanced first degrees, first degrees obtained concurrently with a diploma and intercalated first degrees, Professional Graduate Certificate in Education (PGCE at level H), foundation degrees, diplomas in HE with eligibility to register to practice with a health or social care regulatory body, Higher National Diploma (HND), Higher National Certificate (HNC), Diploma of Higher Education (DipHE), Certificate of Higher Education (CertHE), foundation courses at HE level, National qualifications framework levels 4 and 5, post-degree diplomas and certificates at undergraduate level, professional qualifications at undergraduate level and other undergraduate diplomas and certificates including post-registration health and social care courses. Entrants to these programmes of study do not usually require an HE qualification.

- Master or pre-Bologna equivalent includes "Other higher degree" (research and taught masters) and "other postgraduate"
- Doctorate includes "doctorates".

UK066, UK073: Breakdown national/international not available.

### **DC2 Number of degrees awarded by educational fields**

The data on the number of degrees awarded by programme level and field of education have been extracted from HESA Students CD Tables 15c and 15d (for Diploma and Bachelor levels) and have been requested from HESA Information Provision service (for Masters and Doctorate levels).

Please note that data for London Metropolitan University, Liverpool Hope University, and University College Birmingham are routinely excluded from many types of data supplied through the HESA Information Provision service.

The qualifications at different levels have been classified as follows:

- Diploma includes "Other undergraduate" (qualification aims equivalent to and below first degree level, including, but not limited to, PGCE at level H (unless shown separately), foundation degrees (unless shown separately), diplomas in HE (including those with eligibility to register to practice with a health or social care regulatory body), Higher National Diploma (HND), Higher National Certificate (HNC), Diploma of Higher Education (DipHE), Certificate of Higher Education (CertHE), foundation courses at HE level, NVQ/SVQ levels 4 and 5, post-degree diplomas and certificates at undergraduate level, professional qualifications at undergraduate level, other undergraduate diplomas and certificates including post-registration health and social care courses, other formal HE qualifications of less than degree standard, institutional undergraduate credit and no formal undergraduate qualifications) (Table 15c)
- Bachelor includes First degree (includes first degrees (including eligibility to register to practice with a health or social care or veterinary statutory regulatory body), first degrees with qualified teacher status (QTS)/registration with the General Teaching Council (GTC), enhanced first degrees, first degrees obtained concurrently with a diploma and intercalated first degrees) (Table 15d)
- Master or pre-Bologna equivalent includes "Other higher degree" (research and taught masters) and "other postgraduate"
- Doctorate includes "doctorates".

UK066, UK073: Master and doctorate not available.

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For educational fields, concordance had to be made between JACS classification system used by HESA and the UOE classification requested by EUMIDA. We have aggregated the JACS fields in the same way used for the students, that is:

<b>UOE field</b>	<b>JACS field</b>
· Education	Education
· Humanities and Arts	Languages
	Historical & philosophical studies
	Creative arts & design
· Social sciences, business and law	Social studies
	Law
	Business & administrative studies (minus Hospitality, leisure, tourism & transport)
	Mass communications & documentation
· Science	Physical sciences
	Mathematical sciences
	Computer science
	Biological sciences
· Engineering, manufacturing and construction	Engineering & technology
	Architecture, building & planning
· Agriculture	Veterinary science
	Agriculture & related subjects
· Health and welfare	Medicine & dentistry
	Subjects allied to medicine
· Services	Hospitality, leisure, tourism & transport

### DC2 R&D expenditures

In order to calculate a measure of research funds available to universities I have decided to follow HESA's strategy in the computation of performance indicators, and use data on research income from funding councils allocated for quality (source: HESA performance indicators 2007/2008, Table R1, column J), which is freely available online

(<http://www.hesa.ac.uk/index.php/content/category/2/32/141/>)

The research income from funding councils allocated for quality (QR funding), aims to provide an indicator that does take account of the varying level of resources available for research. It is based on the funding allocation model used to allocate the recurrent research funds. Such funds form part of the block grant, which institutions are free to distribute internally as they see fit. This measure assumes that this internal distribution will follow the funding allocation model used by the funding council. This, in general, will not be the case, so the measure will provide only a rough indication of

what funds go where. The research funding is allocated by 69 RAE units of assessment which have been mapped to the 32 cost centres.”

Further comments to deviating cases:

Quality managers has pointed out:

- a) The ratio R&D expenditure/total expenditure for the UK case does not exceed 20%.
- b) The ratio R&D private funding/R&D expenditure is higher than 1 in the following cases: UK022, 031,129,138,156,161).

Answer from country experts:

As there is no way to measure precisely how much of the total expenditure effectively goes to R&D (basically because it is not possible to split academic staff's remuneration into research and teaching expenditure) I have used a very rough proxy for R&D expenditure which is "The research income from funding councils allocated for quality".

This figure is a very inadequate variable to measure R&D expenditure, it only includes research income from funding councils and therefore it is not surprising that it is only a very small share of total funds assigned to R&D, nor that it is sometimes smaller than funding from the private sector from R&D.

I realize that this variable is really not very good and therefore

- (i) given that it may be confusing, it may be better to drop it completely
- (ii) alternatively, we may construct this variable by summing funding from the private sector from R&D and the research income from funding councils, but again it would remain a very rough estimate
- (iii) finally, we may ask HESA to attempt an estimate, but I know that they are keen to keep the extra work needed on this data collection to a minimum, so I have not looked further into this.

## **DC2 Funding from the private sector**

Financial data relates to the institutions' financial year, i.e. 1 August to 31 July (in this case 1.8.2007 – 31.7.2008), as this is the way in which they are collected by HESA. Data are in current prices, in GBP.

The total funding from the private sector is drawn from HESA Resources CD, Table 1c, as the sum of:

- funding from the private sector for research grants and contracts (sum of columns F, I, L), where
  - column F: UK industry, commerce & public corporations includes all research grants and contracts income from industrial and commercial companies and public corporations (defined as publicly owned trading bodies, usually statutory organisations with a substantial degree of financial independence) operating in the UK.
  - Column I: EU industry, commerce & public corporations includes all research grants and contracts income from industrial and commercial companies and public corporations (defined as publicly owned trading bodies, usually statutory corporations, with a substantial degree of financial independence) operating in the EU outside of the UK.
  - Column L: Non-EU industry, commerce & public corporations includes all research grants and contracts income from industrial and commercial companies and public

corporations (defined as publicly owned trading bodies, usually statutory corporations, with a substantial degree of financial independence) operating outside the EU.

- other services rendered - other (all non-research income for services rendered to industrial and commercial companies and public corporations. It includes all validation fees for courses such as those run by other institutions) (column Q)

Financial data relates to the institutions' financial year, i.e. 1 August to 31 July (in this case 1.8.2007 – 31.7.2008), as this is the way in which they are collected by HESA. Data are in current prices, in GBP.

The total funding from the private sector is drawn from HESA Resources CD, Table 1c, sum of columns F, I, L (see above).

### **DC2 Patent applications and spin-offs**

#### **Patent applications filed by the higher education institution**

Data on patent applications filed by or on behalf of the HEI in academic year 2007/2008 are drawn from the HE-BCI survey relative to 2007/2008, part B, Table 4, column D. The data refers to all patents filed by or on behalf of the HEI. It is not possible to disaggregate them into EPO/non EPO. It would be possible, however, to disaggregate them into patents filed in the UK and patents filed overseas.

UK019: No data available.

#### **Patent applications filed by staff at the higher education institution**

Data on patent applications to the European Patent Office (EPO) first applied for in the reference year (priority year) for which at least one of the inventors is an employee of the considered institution, are not available.

#### **Spin-off companies**

Data on number of spinoffs activated in academic year 2007/2008 are drawn from the HE-BCI survey relative to 2007/2008, part B, Table 4d, as the sum of columns D (Spin-offs with some HEI ownership) and P (Formal spin-offs, not HEI owned).