

## Annex N

### Validation checks

1. A number of validation checks are built into the Excel workbook. Validation cells above each column in each table in the workbook return **Validation: OK** if the data have passed validation. If data in a table fail validation, a message describing the error will be displayed below the table and the value(s) in the cell(s) causing the error(s) will turn red.

#### Tables 1, 2 and 3

2. For each column, the total for each level – excluding students in the ITT (QTS) and INSET (QTS) price groups – must be a whole number (except for Column 4a on Table 3).
3. For each column, the ITT (QTS) and INSET (QTS) cells, where present, must contain whole numbers (except for Column 4a on Table 3).
4. For all cells except cells in Column 3, the value  $\geq 0$ .
5. For all cells, Column 3  $\leq 0$ .
6. For each row, Column 5  $\leq$  Columns 1 + 2.
7. For each row, Column 6  $\leq$  Column 1 ((a) + (b)) + Column 2 ((a) +(b)).
8. For Table 3 only – for each row, Column 4a  $\leq$  Column 4.
9. For Table 3 only – for each row, Column 4a  $\div$  Column 4  $\geq 0.03$ .
10. For all cells, the value entered must be to no more than two decimal places.

#### Table 4

11. For each cell, the value entered must be a whole number.
12. For each level, excluding the ITT (QTS) price group, the total should equal the total in Tables 1, 2 or 3 as follows:

<b>Table 4</b>		<b>Table 1</b>
Column 1 (a)(i)	=	Column 1 (a) + (b)
Column 1 (a)(ii)	=	Column 1 (c)
Column 2 (a)(i)	=	Column 2 (a) + (b)
Column 2 (a)(ii)	=	Column 2 (c)

		<b>Table 2</b>
Column 1 (b)(i)	=	Column 1 (a) + (b)
Column 1 (b)(ii)	=	Column 1 (c)
Column 2 (b)(i)	=	Column 2 (a) + (b)
Column 2 (b)(ii)	=	Column 2 (c)

**Table 3**

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Column 1 (c)(i)	=	Column 1 (a) + (b)
Column 1 (c)(ii)	=	Column 1 (c)
Column 2 (c)(i)	=	Column 2 (a) + (b)
Column 2 (c)(ii)	=	Column 2 (c)

13. For each level, for the ITT (QTS) price group, the total should equal the total in Tables 1 or 3 as follows:

<b>Table 4</b>		<b>Table 1</b>
Column 1 (a)(ii)	=	Column 1 (c)
Column 2 (a)(ii)	=	Column 2 (c)

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		<b>Table 3</b>
Column 1 (c)(ii)	=	Column 1 (c)
Column 2 (c)(ii)	=	Column 2 (c)

Table 5

14. For each column, the total for each qualification aim (excluding the INSET (QTS) price group) must be a whole number.

15. For each column, the cells in the INSET (QTS) price group must contain whole numbers.

16. For each column and price group, the total should be less than or equal to the total for undergraduate level (standard length + long length) in Tables 1, 2 or 3 as follows:

<b>Table 5</b>		<b>Table 1</b>
Column 1(a) – (i), (ii), (iii), (iv)	≤	Column 1 – (a), (b), (c), (d)
Column 2(a) – (i), (ii), (iii), (iv)	≤	Column 2 – (a), (b), (c), (d)

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		<b>Table 2</b>
Column 1(b) – (i), (ii), (iii), (iv)	≤	Column 1 – (a), (b), (c), (d)
Column 2(b) – (i), (ii), (iii), (iv)	≤	Column 2 – (a), (b), (c), (d)

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		<b>Table 3</b>
Column 1(c) – (i), (ii), (iii), (iv)	≤	Column 1 – (a), (b), (c), (d)
Column 2(c) – (i), (ii), (iii), (iv)	≤	Column 2 – (a), (b), (c), (d)

17. For all cells, the value entered must be to no more than two decimal places.

18. For all cells, the value  $\geq 0$ .

19. For each column, the combined total by price group of the corresponding cells in Tables 5 and 6 should be less than or equal to the equivalent cells in Tables 1 or 3 as follows:

<b>Tables 5+6</b>		<b>Table 1</b>
Table 5, Column 1(a) – (i)+(ii), (iii), (iv) plus Column 2(a) - (i)+(ii), (iii), (iv) plus Table 6 Column 1(a) – (i), (ii), (iii)	≤	Column 1 – (a)+(b), (c), (d) plus Column 2 – (a)+(b), (c), (d)
		<b>Table 3</b>
Table 5, Column 1(c) – (i)+(ii), (iii), (iv) plus Column 2(c) - (i)+(ii), (iii), (iv) plus Table 6 Column 1(b) – (i), (ii), (iii) (student numbers only)	≤	Column 1 – (a)+(b), (c), (d) plus Column 2 – (a)+(b), (c), (d)

Table 6

20. For each column and level, the total must be a whole number.
21. Each cell in Column 2 must be less than or equal to the equivalent cell in Column 1.
22. The total student numbers returned against 'bridging course' in Column 1, for home and EC students only, should be equal to the total returned against foundation degree bridging course in Columns 1 and 2 of Table 4.
23. For all cells, the value  $\geq 0$ .
24. For each column, the total should be less than or equal to the total in Tables 1 or 3 as follows:

<b>Table 6</b>		<b>Table 1</b>
Column 1(a) – (i), (ii), (iii)	≤	Column 1 – (a)+(b), (c), (d) plus Column 2 – (a)+(b), (c), (d)
Column 2(a) – (i), (ii), (iii)	≤	Column 5 – (a)+ (b), (c), (d)
		<b>Table 3</b>
Column 1(b) – (i), (ii), (iii)	≤	Column 1 – (a)+(b), (c), (d) plus Column 2 – (a)+(b), (c), (d)
Column 2(b) – (i), (ii), (iii)	≤	Column 5 – (a)+(b), (c), (d)

25. For all cells, the value entered must be to no more than two decimal places.
26. For each column, the combined total by price group of the corresponding cells in Tables 5 and 6 should be less than or equal to the equivalent undergraduate cells in Tables 1 and 3 as in paragraph 19 above.

## Annex O

### Workbook notes

1. Workbooks with spreadsheet versions of the tables in Annex P will be available for download by colleges in November 2002. College principals and HEIFES contacts will be issued with a password in November to access the workbook through a secure web-site.
2. The workbook will be saved in Excel 97 format and called HEI\_\_\_\_.xls, where the suffix identifies the college. The workbook will contain six worksheets for completion, each with the same suffix as the workbook. These are as follows:

Name of worksheet	HEIFES02 tables
FTS____	Full-time and sandwich data. Table 1.
OUT____	Sandwich year-out data. Table 2.
PT____	Part-time data. Table 3.
FEE____	Home and EC fees data. Table 4.
SUB____	Data on qualifications below degree level. Table 5.
FD____	Data on foundation degrees and foundation degree bridging courses. Table 6.

3. We do not expect that all colleges will have data to return in all tables. If colleges have no data in a particular table, then the table should be left blank (as on the original worksheet). Do not delete any tables or worksheets.

4. Below is an example of how the worksheets are laid out in the workbook. Each table is contained in a separate worksheet which is accessed by clicking on the tab at the bottom of the screen. The name of the worksheet is displayed on the tab.

50		PGR	0.00	0.00	0.00	0.00	0.00	0.00	0.00
51		Long UG	0.00	0.00	0.00	0.00	0.00	0.00	0.00
52		PGT	0.00	0.00	0.00	0.00	0.00	0.00	0.00
53		PGR	0.00	0.00	0.00	0.00	0.00	0.00	0.00
54	ITT(QTS)	UG			0.00	0.00			
55		PGT			0.00	0.00			
56		Long UG							
57		PGT							
58	INSET(QTS)	UG			0.00	0.00			
59		PGT			0.00	0.00			
60		PGR			0.00	0.00			
61		Long UG			0.00	0.00			
62		PGT			0.00	0.00			
63		PGR			0.00	0.00			
64	<b>All price groups</b>	UG	0.00	0.00	0.00	0.00	0.00	0.00	0.00
65		PGT	0.00	0.00	0.00	0.00	0.00	0.00	0.00
66		PGR	0.00	0.00	0.00	0.00	0.00	0.00	0.00
67		Long UG	0.00	0.00	0.00	0.00	0.00	0.00	0.00
68		PGT	0.00	0.00	0.00	0.00	0.00	0.00	0.00

Ready NUM

Click on these tabs to open the worksheet containing the table you want to fill in

5. All labels and table formats will be protected. Colleges must not attempt to alter the format of the worksheets by adding or deleting columns or rows. Only cells where data are required should be altered. Worksheets contain information critical to accurate loading of the data; it is essential that this is preserved.

6. The following cells contain formulae and must not be edited:

- column totals on all tables
- totals by level on Tables 1, 2, 3 and 4
- totals by qualification aim on Tables 5 and 6
- cells relating to the FTE of foundation degree bridging courses on Table 6
- Column 4 on Tables 1, 2 and 3.

7. Each worksheet contains a number of validation checks; these are listed in Annex N. Colleges should ensure that their data pass all validation checks before returning them.

8. All worksheets returned should have the same name and format as those originally supplied. All worksheets in the workbook should be returned even if they contain no data.

9. Completed returns should be e-mailed to [heifes@hefce.ac.uk](mailto:heifes@hefce.ac.uk) no later than Tuesday 26 November 2002. We will confirm receipt of all submissions.

**Annex P**  
**Sample tables (Excel files)**

## Annex Q

### HEIFES02 fundamentals

1. This annex is a summary of the HEIFES guidance and should be used in conjunction with the other annexes.

#### Which students are in the HEIFES population?

2. A definition of the HEIFES population is in Annex B. The population includes students who meet all of the following criteria:

- a. They are actively pursuing studies with the college for at least part of the academic year 2002-03. This includes outgoing exchange students.
- b. They are studying towards a recognised HE qualification aim.
- c. They have an individual record returned on the LSC ILR.
- d. They are not being returned on any other institution's HEIFES or HESSES return for that year of programme of study.

3. Students spending most of their time for the whole course outside the UK should not generally be included in the population.

#### Are they countable on this year's HEIFES?

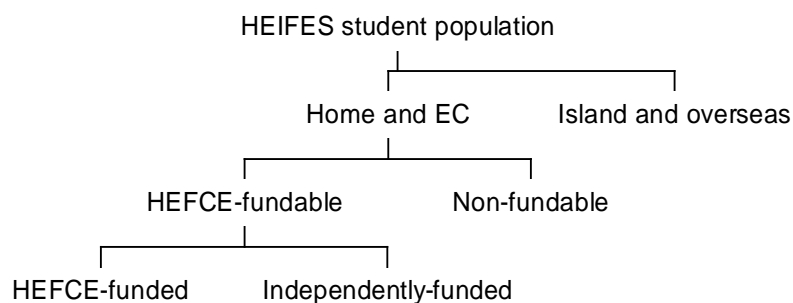
4. A student within the HEIFES02 student population must meet the following criteria to be counted:

- a. A tuition fee is charged for the course (the fee may be waived).
- b. The FTE for the year of programme of study is at least 0.03.
- c. The student is not writing-up for the whole of the year.

5. Students on standard academic years are counted at the start of each year of programme of study. Students on non-standard academic years are counted on 1 August of each academic year in which they have activity except the first. See Annex D.

#### What is their fundability status?

6. Annex F provides the strict definitions on residential and fundability status. In HEIFES, students are disaggregated between home and EC, and island and overseas. Home and EC students are disaggregated between HEFCE-fundable and non-fundable. HEFCE-fundable students are then further disaggregated between HEFCE-funded and independently-funded. This hierarchy is shown in the diagram below.



#### Home and EC; island and overseas

7. Island and overseas students are generally those from the Channel Islands, Isle of Man or from outside the EC. They are not included in any of our funding allocations or student number targets for 2002-03. Students who are not island and overseas are home and EC.

#### HEFCE-fundable; non-fundable

8. The three main categories of home and EC non-fundable students are those who are:

- a. Funded from another EC public source: for example, the Department of Health, the Modern Apprenticeship scheme or the TTA, or from European grant such as the ESF. In some cases, where the public funding does not cover HEFCE standard resource rates, a proportion of the students on the course may be returned as fundable, as long as the students are not excluded for other reasons – see paragraphs 5a, 5c and 5d of Annex F.
- b. On closed courses, which are not open to any suitably qualified candidate. This will cover, for example, courses which are provided solely for the employees of particular companies.
- c. On courses which are franchised-out to an organisation which is neither an HEI nor an FEC, unless we have given specific approval to include them as fundable.

9. Non-fundable students are only included in our calculation of average fee rates per student FTE; these are used to inform assumed resource. Home and EC students who do not meet the definition of non-fundable are HEFCE-fundable.

#### HEFCE-funded; independently-funded

10. Colleges may choose to record home and EC HEFCE-fundable students as independently-funded, if they receive sufficient funding from non-public sources to cover the HEFCE standard resource level for the particular category of student. Independently-funded students are not included in our calculations of standard and assumed resource, but do still count towards FTE targets for funding conditional upon delivery of growth. In general, the declaration of eligible students as independently-funded will only benefit colleges that are currently under-resourced from public funds (below the  $\pm 5$  per cent tolerance band around standard resource), as an aid to migration. We expect very few students at FECs to meet the eligibility criteria for inclusion as independently-funded. Colleges that record such students may be asked to provide evidence that they meet the criteria. Home and EC-fundable students that the college chooses not to record as independently-funded are HEFCE-funded.

#### **Is the qualification aim a recognised HE qualification?**

11. Recognised HE qualifications comprise HNCs, HNDs, DipHEs, first degrees (including foundation degrees), foundation degree bridging courses, higher degrees, PGCEs and CertEds, where they are awarded by a recognised body. Not included are professional



qualifications, Certificates in Higher Education and Certificates of Management, NVQs and free-standing foundation years. See Annex C.

### **What is considered a non-completion?**

12. Non-completions are students who do not attend the final exam or assessment for the year of programme of study (not for the whole course). Academic failures are not necessarily counted as non-completions. See Annex D, paragraphs 15-19.

### **How are students classified into mode?**

13. Students are classified into either full-time and sandwich, sandwich year-out or part-time according to the definitions in Annex H. Students following the same course with the same pattern of activity should generally be returned with the same mode.

- a. Full-time and sandwich students will usually be on a course where they are required to attend for at least 24 weeks, 21 hours a week for the year of programme of study, and a full-time fee is chargeable for the year (even if it is waived).
- b. Sandwich year-out students are those on sandwich courses as defined in Regulation 5 of the Education (Student Support) Regulations 2002 (SI 2002 No. 195), who are on their year out.
- c. Part-time students are all other students. This includes HNC students who are expected to complete in one year, but whose course is not subject to regulated fees.

### **How are students classified into level?**

14. Undergraduates are students studying for a first degree (including foundation degree), foundation degree bridging course, HNC, HND, DipHE or CertEd. Provision below degree level comprises HNC, HND, DipHE and CertEd. Postgraduate qualifications (higher degrees and PGCEs) are those where the normal condition of entry is a qualification at degree level (that is, the student is already qualified at level H of the QAA national qualifications framework).

### **What counts as a long year of programme of study?**

15. For full-time courses, the year of programme of study is returned as long if:
- a. The students are normally required to attend for 45 weeks or more within that year of programme of study, or
  - b. The year of programme of study includes a within-course short period of study, awarded as a summer school through an additional student numbers bidding exercise and explicitly notified by the HEFCE.
16. For part-time courses, the distinction depends on the length of each year for an equivalent full-time course.

### **Which price group should the student be returned under?**

17. The price group a student is returned under depends on the Superclass II code of the course they are on. Superclass II codes can be found on the LSC Learning Aim Database. The mapping in Annex G between Superclass II code and price group should be used to find the price group a student is returned under. If there is no Superclass II code for a particular course or the college thinks that the wrong Superclass II code has been assigned, it should contact the LSC funding and statistics support desk in the first instance. Special arrangements are made for students on ITT and INSET courses (see Annex G).

### **How should students be returned on Table 4, the fee table?**

18. Generally, full-time undergraduates (including those aiming for a qualification below degree level) and PGCEs are subject to the regulated £1,100 fee; and part-time ITT students, sandwich year-out students and language year abroad students are subject to the regulated £540 fee. Only full-year outgoing exchange students on SOCRATES/ERASMUS exchanges should be returned with a regulated fee of £0. Most postgraduates and part-time students are not subject to regulated fees and should be returned with a fee level of 'Non-regulated', regardless of what they actually pay. See Annex L, paragraphs 11-16.

### **How is the FTE calculated for part-time students?**

19. The FTE for a part-time course is calculated by comparing the number of years, or terms, taken to achieve the qualification, compared with an equivalent full-time course, as shown in the FTE table in Annex E. For example, if an HND is studied over four years part-time, and the usual full-time HND is studied over two years, then the FTE of the part-time student is 0.5 in each year of programme of study. This gives a total FTE of 2 for the whole course, the same as the full-time course.

### **Which tables should be completed?**

20. All full-time students should be returned on Table 1, the full-time table, whatever level they are studying at. Students studying for qualifications below degree level should be included in the undergraduate row. Similarly, all sandwich year-out and all part-time students should be returned on Tables 2 and 3 respectively.

21. All home and EC students returned in Columns 1 and 2 of Tables 1, 2 and 3 should also be returned on the fee table, Table 4, even if every student is recorded as having a fee level of 'Non-regulated'. Island and overseas students should **not** be included in Table 4.

22. Table 5 should be completed if the college has students studying for qualifications below degree level, and should contain a subset of the undergraduate students returned in Columns 1 and 2 of Tables 1, 2 and 3.

23. Table 6 should be completed if the college has students studying for foundation degrees or foundation degree bridging courses, and should contain a subset of the students returned in Columns 1 and 2 of Tables 1 and 3.

## Which columns should be completed?

### Tables 1, 2 and 3

24. The main HEIFES tables, Tables 1, 2 and 3, ask for:

- Column 1: Student data as at the HEIFES census date (1 November). Students who have withdrawn prior to 1 November are excluded (although students who have completed before this date are included)
- Column 2: Forecast data after the HEIFES census date (2 November to 31 July)
- Column 3: Forecast non-completions (after 1 November). These are recorded as negative values
- Column 4: Estimated completions for the year – the sum of the previous three columns
- Column 4a (Table 3 only): Full-time equivalent (FTE) of estimated part-time completions.

25. Column 4 of Tables 1 and 2 and Column 4a of Table 3, HEFCE-funded data, are used in our resource calculations. Column 4 of Tables 1 and 2 and Column 4a of Table 3, HEFCE-fundable data, are used in monitoring against the FTE targets for funding conditional upon delivery of growth.

26. Students who follow standard academic years should normally be returned in Column 1. Where it is known that a student will start their course late (after 1 November), but that they intend to catch up with the rest of the students on the course which follows a standard academic year, the student should also be included in Column 1. Students who are on courses which start after 1 November, but the year of programme of study for the course finishes before the end of the academic year, should be returned in Column 2.

27. Students who follow non-standard academic years should also be returned in Column 1. However, they will be counted on 1 August in each academic year in which they have activity except the first. For example, if a student starts a two-year course in December 2001, with each year of programme of study running from December to November, they will be counted at 1 August 2002 (on HEIFES02) and at 1 August 2003 (on HEIFES03). They will not have been counted on HEIFES01. They are counted twice, once for each year of programme of study. We would not usually expect to see any students following non-standard academic years returned in Column 2. See Annex D for further explanation.

28. An estimate of students who will not complete the year of programme of study after 1 November should be returned in Column 3. The estimate should usually be based on past experience of non-completions. Negative numbers should be returned in this column.

29. Column 4 is calculated in the tables and is the sum of Columns 1, 2 and 3.

30. On the part-time table, Table 3, only the FTE of the students in Column 4 should be returned in Column 4a. For example, if there are 10 students in Column 4, five who have an FTE of 0.5 and five who have an FTE of 0.3 then  $(5 \times 0.5 + 5 \times 0.3) = 4$  should be returned in Column 4a.

31. New entrants (a subset of the students returned in Columns 1 and 2) should be returned in Column 5. A definition of new entrants is in Annex D, paragraph 20.

32. The numbers of students wholly franchised-out, partially franchised-out or part of a HEFCE-recognised funding consortium, should be returned in Column 6. Again, the data in this column are a subset of the data in Columns 1 and 2.

#### Tables 4, 5 and 6

33. Home and EC students who have been returned in Columns 1 and 2 of Tables 1, 2 and 3 should also be returned in Columns 1 and 2, respectively, of Table 4, under the appropriate mode of study.

34. Students studying for qualifications below degree level who have been returned in Columns 1 and 2 of Tables 1, 2 and 3 should also be returned in Columns 1 and 2, respectively, of Table 5, under the appropriate mode of study.

35. Students studying for foundation degrees or foundation degree bridging courses who have been returned in Columns 1 and 2 of Tables 1 and 3 should also be returned in Column 1 of Table 6, again under the appropriate mode of study. Column 2 of Table 6, referring to new entrants, is a subset of Column 5 of Tables 1 and 3. The part-time FTE sections of Columns 1 and 2 in Table 6 are a subset of the part-time FTE data in Column 4a of Table 3.

36. Examples of completed HEIFES tables are on the HEFCE web-site under 'Questions', then 'HEIFES frequently asked questions'.

#### **When the tables have been completed**

37. Each worksheet contains a number of validation checks. If an error or inconsistency is detected in a completed worksheet, a message reading **Validation: Failure (see below table)** will appear above the column in the table in which there is a validation failure, and the value in the cell which is causing the error will turn red. Below the table, the error will be described in more detail. These errors should be corrected before submitting the tables to the HEFCE. If the error cannot be identified, colleges should send an e-mail to [heifes@hefce.ac.uk](mailto:heifes@hefce.ac.uk). The validation checks are described in more detail in Annex N.

## **Annex R**

### **Audit of HEIFES01**

1. We carried out audits of the HEIFES data returns from a number of colleges during 2002. Common errors made by colleges in completing the HEIFES survey last year and problems encountered during the audits include:

- Column 2 on Tables 1, 2 and 3 was filled in incorrectly (see paragraph 2)
- students were returned against the wrong fee level on Table 4 (see paragraphs 7 and 8)
- students were attributed to incorrect price groups (see paragraphs 9-12)
- colleges filled in the FTE column on the part-time table, Table 3, incorrectly (see paragraphs 13 and 14)
- colleges did not estimate non-completions reasonably (see paragraphs 15-17)
- students were returned with incorrect fundability status (see paragraph 18)
- there was poor communication within collaborative arrangements (see paragraph 19)
- there was an inadequate audit trail between the student record system and the HEIFES return (see paragraphs 20 and 21)
- there were significant discrepancies between ISR and HEIFES data (see paragraph 22)
- HEIFES returns were not authorised by the most appropriate person (see paragraph 23)
- there was a lack of knowledge management (see paragraphs 24 and 25).

#### Forecast of years countable data (Column 2)

2. There was some confusion about what should be included in Column 2. Common mistakes were filling in Columns 1 and 2 with the same students or returning students on non-standard academic years in Column 2.

3. Students should be reported in HEIFES in a way that is consistent with the way they are reported in the ILR (see Annex D, paragraphs 1-14.) Errors arose in reporting students whose year of programme of study spans two academic years. The example below shows how such students should be reported.

#### Example

4. A two-year course runs from January to December. Students continuing their course who started in January 2001 (now in their second year) and January 2002 (in their first year) should be included in HEIFES02, in Column 1. Those starting in January 2003 should not be shown as forecasts in Column 2 of HEIFES02, but instead should be counted in Column 1 of HEIFES03.

5. Cases where students may be recorded as forecasts in Column 2 are:

- a. Students on years of study entirely contained within the 2002-03 academic year, but which begin after 1 November. This will include, for example, courses running in the spring and summer terms only. However, such forecasts will be uncommon as most students are aiming for a higher degree, postgraduate certificate in education (PGCE), first degree (including foundation degree), DipHE, HND, HNC or

CertEd. Students who are studying for credits which may count towards one of the listed qualifications, but who are not specifically aiming for such a qualification, are excluded from HEIFES. Funding responsibility for these students remains with the LSC.

b. Exceptionally, where students are on new courses which will normally span a standard academic year (for example September to July), but where the first cohort has been delayed until after 1 November as a one-off measure because of start-up difficulties.

6. Students who start their year of study late (after 1 November), but are expected to catch up with others on their course who are following a standard year of programme of study, should be returned in Column 1.

#### Fee levels

7. There was some confusion about which students are subject to the regulated fees, and whether those who are not subject to them should be returned on the fee table, Table 4. For example, part-time HND students are not subject to the regulated fees but some colleges returned them in the 'Regulated £1,075' row in HEIFES01.

8. All home and EC students should be returned on the fee table regardless of whether they pay regulated fees. If, taking account of the mode of study, the course is subject to regulated fees, then the students on that course should be returned under the appropriate fee level irrespective of their personal eligibility for an award. If the course is not subject to regulated fees then the students on that course should be returned under the 'non-regulated' fee level. See Annex L, paragraphs 11-16.

#### Attribution of students to price groups

9. See Annex G. Students should be attributed to price groups according to the Superclass II code(s) of the course they are on. Superclass II codes are taken from the LSC Learning Aim Database. Some colleges had difficulty in finding the correct Superclass II code for particular courses last year. If a college cannot find the Superclass II code for a course, or thinks a code may have been wrongly assigned, then it should contact the LSC funding and statistics support desk in the first instance.

10. Media studies students (Superclass II codes KE to KG) must be recorded in the media studies price group only, and should not be attributed to other price groups according to how colleges consider they should be funded. The attribution of media studies students to price groups for funding purposes has been determined by a review panel, and any split between price groups for media studies provision will be carried out in the funding model.

11. Psychology students (Superclass II code PK) should be recorded in the psychology price group only. A review of the attribution of psychology students to price groups for funding purposes has already taken place. Any split between price groups for psychology provision will be carried out in the funding model.

12. Students with Superclass II codes which map to price group B should be recorded in price group B only. Any split between the price group B and price group C subject weightings as a result of the review of price group B provision will be carried out in the funding model.

#### FTE in Column 4a of the part-time table, Table 3

13. The table containing load factors in Annex E should be used to determine the FTE of a part-time course. The sum of the total student load allocated to a part-time student should be equivalent, over the duration of the course, to that allocated to a full-time student. For example, if the FTE for the full-time course is 3 (each full-time year counts as a load of 1) then the sum of the part-time loads over the duration of the part-time course should also be 3. We have found examples where this is not the case, due to many factors, including a lack of understanding of what the student load is meant to represent. Colleges are reminded that the extra costs associated with part-time students are recognised in our funding model through a premium, and that the use of student load factors to deal with this issue is not appropriate.

14. The FTE returned in Column 4a should be in relation to the part-time numbers included in Column 4 (estimated total completions for the year), and not the numbers in Column 1 (students countable between 1 August and 1 November inclusive).

#### Estimation of non-completions

15. The definition of a non-completion is included in Annex D. The audits identified a common misconception that withdrawals notified from an academic department are the sole source of data for that department's non-completion estimate. Estimation of the number of non-completions should normally be based on the non-completion rate for the previous year for the particular course. Where this is not the case, there should be a clear rationale for any alternative methods used or adjustments made. Completion is not determined by academic success but by whether the student has completed the end-of-year assessment or exam.

16. In using the previous year's non-completion rate for a course as the basis of the current year estimate, it is important to make sure that the non-completion rate for the previous year is accurately known. We have found several instances where this has not been the case. Non-completion status should be recorded **in** the year of programme of study. This would normally mean that students should not be pre-enrolled for the following year if they did not complete the current year.

17. Colleges may also find it useful to demonstrate the validity of their non-completion estimates by analysing the non-completion rates over different courses for, say, three to five years. This would help to identify trends, and years where the result is atypical compared with the trend.

#### Fundability status

18. In some audits each year, we find cases where students have been included in the HEIFES return as fundable when they were clearly being fully funded from another EC public

source, such as the NHS or HM Forces. This is inappropriate and implies there has been a failure in the system for preparing the return. Staff preparing the return should ensure that such students are correctly treated in accordance with Annex F.

#### Collaborative arrangements

19. Some colleges are involved in collaborative arrangements with other institutions, such as franchise arrangements with other FECs. It is essential that exchanges of information and communications between all the partners are frequent, timely, open and effective. In particular, we highlight the importance of the lead institution being told promptly by the partner institutions about any non-completing students. This may require clear protocols with partner institutions regarding the exchange of information.

#### Inadequate audit trail

20. During the audits of colleges, in some cases the audit trail between the student record systems and the HEIFES return was inadequate. A record of the basis for making estimates of non-completions and forecast countable years should be kept, along with any relevant printouts and working papers used in completing the return. This is particularly important where only one person is responsible for the return, because it has to be reproducible even if they leave.

21. The audit trail should be retained for at least three years. Source documents such as registration forms should also be retained. Where a college uses document image processing or other methods to store such information, the original documents should normally be retained for at least one year and the copy retained for at least a further two years.

#### Significant discrepancies between the ISR and HEIFES

22. The audit found that in some cases there were significant discrepancies between the ISR and HEIFES data. For example, courses were incorrectly coded as HEFCE-fundable on the ISR but correctly excluded from HEIFES. Colleges should ensure that data in the HEIFES student population can be identified on the ILR. Links between ILR and HEIFES data are included in Annex M and describe how we will recreate HEIFES02 from ILRF04.

#### Authorisation of the HEIFES return

23. At some colleges, the person responsible for the production of the HEIFES return also signed it off on the college's behalf. We expect the HEIFES return to be signed off as described in paragraph 19 of the main document, and not by the preparer of the return. The person signing off the return should have an understanding of our data collection requirements to ensure that the college has systems capable of producing an accurate and complete return, and that the preparer of the return has compiled it competently.



### Knowledge management

24. At many institutions, the knowledge required to prepare the HEIFES return is undocumented and sometimes lies with only one person. This creates a risk that, in the absence of the person concerned, particularly at crucial times of the year, the college may not be able to prepare the return on time or to the appropriate standard. A good audit trail helps to reduce this risk. We also consider it good practice for all colleges to manage this risk effectively by ensuring that at least two people can both produce the information for the return and prepare the return itself.

25. In addition, colleges should consider ensuring that the relevant processes are adequately documented and that this documentation is kept up to date. This requires all relevant staff, including experienced staff, to consider HEIFES each year and to make the necessary changes to their systems.

## **Annex S**

### **Glossary**

Attendance	A student is considered to be attending the college whenever they undertake periods of study, tuition or work experience as part of the programme of study.
Base level of resource	For 2002-03, this is £2,870. Also known as base price.
EEA	European Economic Area (all EC countries plus Iceland, Liechtenstein and Norway).
ERASMUS	European Community action scheme for the mobility of university students.
ESF	European Social Fund.
FE	Further education
FEC	Further education college
Foundation degree	A two-year full-time higher education course, or the part-time equivalent, which has been validated by a higher education institution as a 'foundation degree', which is expected to incorporate the core features set out in the foundation degree prospectus, HEFCE 00/27.
Foundation degree bridging course	A short stand-alone course taken after a foundation degree has been completed to enable students to go on to the final year of an honours degree course.
Franchised-out	Any student who enrolls at one institution and pays them a fee for tuition, but undertakes all or part of their study at another institution, is considered to be franchised-out by the institution collecting the fee. This includes all collaborative arrangements except HEFCE-recognised funding consortia. See Annex B.
FTE	Full-time equivalent.
HE	Higher Education.
HEA	HEFCE higher education adviser.
HEFCE-recognised funding consortia	See Annex B, paragraphs 13 and 14.
HEI	Higher education institution

HEIFES student population	HEIFES records counts of students aiming for recognised HE qualifications. These students are called the HEIFES student population. See Annex B.
HESES	Higher Education Students Early Statistics survey.
HESA	Higher Education Statistics Agency.
HMSO	Her Majesty's Stationery Office.
ILR	The LSC individualised learner record.
INSET	In-service education of teachers.
ISR	The LSC individualised student record.
ITT	Initial teacher training.
LSC	Learning and Skills Council.
NHS bursaried course	Pre-registration course for which an NHS bursary may be payable.
NVQ	National Vocational Qualification.
PGCE	Postgraduate certificate in education.
Postgraduates	Students on courses where a normal condition of entry is that entrants are already qualified to degree level (in other words, already qualified to level H of the QAA national qualifications framework). See Annex I.
QAA	Quality Assurance Agency for Higher Education.
QTS	Qualified teacher status.
Recognised courses of HE	See Annex C.
Regulated fees	Fees as defined in the Education (Student Support) Regulations 2002 (SI 2002 No. 195). See Annex L.
SLC	Student Loans Company.
SOCRATES	European Commission action programme in the sphere of school and higher education.

Standard resource	Standard resource is used for funding purposes. It is calculated by multiplying the weighted FTE by the base price. See Annex F.
TTA	Teacher Training Agency.
Ufi	A government initiative to develop a 'university for industry', to help people improve employment prospects and to boost economic competitiveness. Learning services are provided through 'learndirect'.
Undergraduates	Students studying towards a first degree (including foundation degree), foundation degree bridging course, HND, HNC, DipHE or a CertEd. See Annex I.
Year of programme of study	Students study towards qualification aims over a period, which can be split into one or more years of programme of study. See Annex D.

## **Annex T**

### **Index**

References are to the paragraph number of the main document, or to the annex letter and paragraph number of annexes.

Note that some words and phrases are defined in the glossary at Annex S.

#### **A**

Assumed fee (Annex F)

Audit (27-29, Annex R)

#### **B**

Base level of resource (F20)

#### **C**

Collaborative arrangements (B4-14)

Consortia (See also HEFCE-recognised funding consortia) (B4-14, L10)

Cost centre (Annex G)

Counting student activity (Annex D)

#### **D**

Department of Health (F5)

Distance learners outside the UK (B3)

#### **E**

EC countries (F1)

EC public source (F3-5+13)

EC students (see Home and EC students)

Education (Student Support) Regulations (F1, L12-15)

EEA countries (F2)

Eligibility for HEFCE funding (Annex F)

ERASMUS (H1, L11+12)

ESF funding (F5)

Exchange students:

    incoming (B3)

    outgoing (B2, H1, L11+12)

#### **F**

Fee levels (see also regulated fees) (L11-16)

Foundation degree (A2, C2, D5, I1+2, J7, K6-8, L23-28)

Foundation degree bridging course (A2, C2, D5+29+30, I1+2, J7, K6-8, L23-28)

Foundation year (C7, D20)

Franchised (B3-12)

Frequently asked questions (13)

FTE (full-time equivalent) (Annex E)

Full-time (Annex H)

Full-time and sandwich (Annex H)

Full-time sandwich year-out (Annex H)

Fundable (see HEFCE-fundable)

Funding agreement (3, 17, 20, F18)

Funding conditional on delivery of growth (Q10+25)

## **H**

HEFCE-fundable (Annex F)  
HEFCE-funded (Annex F)  
HEFCE non-fundable (Annex F)  
HEFCE-recognised funding consortia (B3-14, L8-10)  
Home and EC students (Annex F)

## **I**

Independently-funded (Annex F)  
Ineligible for HEFCE funding (see HEFCE non-fundable)  
INSET students (F5, G8+9)  
Island and overseas students (Annex F)  
ISR-HEIFES links (A7, Annex M)  
ITT students (F5, G8+9, L12-14)

## **L**

Language year abroad (B3+6, H3+4)  
Level of study (Annex I)  
Long years of programme of study (Annex J)

## **M**

Mature students (F18)  
Media studies (Annex G)  
Mode of study (Annex H)

## **N**

New entrants (D20)  
NHS bursaried courses (L11+12)  
Non-completions (D15-19, L4)  
Non-fundable (see HEFCE non-fundable)  
Non-regulated fees (L13-15)  
Non-standard academic years (Annex D)  
Non-prototype foundation degree (K7, L24)  
NVQ (B3)

## **O**

Overseas students (see Island and overseas students)

## **P**

Part-time (Annex H)  
PGCE (C2, H1, L12-16)  
Postgraduate (Annex I)  
Premiums:  
    institution-related (F18)  
    student-related premiums (F18)  
Pre-registration courses (F5, L11+12)  
Price group (Annex G)  
Price group B subject weight (F19, G6+7)  
Professional qualifications (F5)  
Prototype foundation degrees (K7, L24)  
Psychology (Annex G)

## **Q**

QTS (see ITT, INSET)

**R**

Recognised HE qualifications (Annex C)  
Recurrent funds for teaching (F3-16)  
Regulated fees (see also fee levels) (F4, L11-16)  
Residential and fundability status (Annex F)  
Return date (6, 17, 21, 24)  
Returns (6, 13, O9)

**S**

Sandwich year-out (Annex H)  
SOCRATES (see ERASMUS)  
Standard academic years (Annex D)  
Standard funding (F6)  
Standard length (Annex J)  
Standard resource (F18)  
Student load (see FTE)  
Student population (Annex B)  
Student Support Regulations (see Education (Student Support) Regulations)  
Subject weight (F19)  
Submission of HEIFES02 (6, 13, O9)  
Summer schools (A3, D21-30, J1)  
Superclass II code (Annex G)  
Support from other EC public source (see EC public source)

**T**

Table descriptions (Annex K)  
TTA (F5, G9)

**U**

Undergraduate (Annex I)

**V**

Validation checks (16, Annex N)

**W**

Web-site (13)  
Weighted student FTE (F18)  
Widening participation (11)  
Workbook notes (Annex O)