

October 2012/25

Core funding/operations

Request for data

Returns should be uploaded to the HEFCE extranet by noon on Tuesday 11 December 2012

This document asks higher education institutions to complete the annual survey of students on recognised higher education courses. The data will: enable us to review teaching funding and monitor recruitment against the student number control for 2012-13; give an early indication of the number of higher education students studying in the academic year 2012-13; and, with data supplied to the Higher Education Statistics Agency, inform our initial allocation of teaching funds for 2013-14.

HESES12

Higher Education Students Early Statistics Survey 2012-13

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HESES12: Higher Education Students Early Statistics Survey 2012-13

To	Heads of HEFCE-funded higher education institutions
Of interest to those responsible for	Student data, Funding
Reference	2012/25
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Enquiries to	heses@hefce.ac.uk

Executive summary

Purpose

1. This document asks higher education institutions to complete the annual survey of students on recognised higher education (HE) courses.

Key points

2. The data will:
 - a. Enable us to review teaching funding and monitor recruitment against the student number control for the academic year 2012-13.
 - b. Together with data supplied to the Higher Education Statistics Agency, inform our initial allocation of teaching funds for the academic year 2013-14.
 - c. Give an early indication, including for government planning purposes, of the number of HE students studying in the academic year 2012-13.
3. This document provides:
 - a. An introduction to the Higher Education Students Early Statistics Survey 2012-13 (HESES12) and how we use it to inform our funding.
 - b. Guidance notes for completing the HESES12 survey.
 - c. Definitions used in the HESES12 survey.
 - d. Examples of the survey tables, which will be available to download from the HEFCE extranet in November 2012.
 - e. A summary of changes since HESES11 ([Annex B](#)) including those previously announced in 'Early notification of planned changes to HESES and HEIFES and implications for 2012-13 student number control' ([HEFCE Circular letter 15/2012](#))¹.

¹ All HEFCE publications are available at www.hefce.ac.uk/pubs.

Action required

4. HESES12 should be completed by all HE institutions receiving HEFCE recurrent funds for teaching. Returns must be uploaded to the HEFCE extranet by **noon on Tuesday 11 December 2012**. Workbooks will be available to institutions in November 2012.

Outline timetable for HESES12 return and 2013-14 funding round

5. The provisional timetable is summarised below.

November 2012	Extranet keys issued to institutions. HESES workbooks available to institutions.
December 2012	11 December – deadline to return HESES data. Mid-December – validation and credibility checks by HEFCE Mid-December – we will write to institutions, asking them to verify the data, answer any questions about the data and submit any appeals against formulaic grant adjustments arising from recruitment against their student number control limit. Institutions will have five working days to answer questions about data.
14 January 2013	Institutions must have signed off their HESES data as being correct at 1 December 2012. Deadline for submission of appeals.
18 January 2013	Institutions notified of provisional student number control limit for 2013-14.
February 2013	Institutions notified of final grant adjustments arising from recruitment against the student number control limit, including the outcome of appeals.
18 March 2013 (provisional)	Institutions notified of initial allocations of recurrent grant for 2013-14 and adjusted allocations of recurrent grant for 2012-13.
21 March 2013 (provisional)	Publication for all institutions of initial allocations of recurrent grant for 2013-14 and adjusted allocations for 2012-13.
To be confirmed	Deadline for institutions to request transfers of provision and other amendments to provisional allocations.
Late July 2013	Institutions receive their funding agreements and where appropriate, updated initial allocations for 2013-14.

The HESES12 survey and data used for funding purposes

Introduction

6. The Higher Education Students Early Statistics (HESES) survey is the primary data source that informs our initial allocations of formula-based recurrent teaching funding for higher education institutions (HEIs). It collects aggregate information on students who are counted for funding purposes, as well as other students, but it does not, in itself, define what we fund, or what our funding is for. Rather, the students whom we count for funding purposes serve as a proxy for all the teaching and related activities that we fund.

Formula funding and student number controls

7. Our recurrent grants to institutions are almost entirely allocated by formula. This ensures we are fair, transparent and efficient in how we distribute grants to institutions.

8. We provide our recurrent funding as a 'block grant' that institutions may spend largely as they choose; they are not expected to mirror our calculations in their own internal spending. This allows institutions to target spending towards their own priorities, as long as these relate to teaching, research and related activities – the activities that we are empowered to fund. The block grant supports institutions' autonomy and means they do not have the burden of accounting in detail for their expenditure.

9. HEFCE has a fixed budget. Our funding methods are therefore designed to ensure institutions receive an appropriate share of this budget, given the nature and level of their activities. To ensure we distribute this budget fairly between institutions, we need to ensure that institutions' activities are reported in a consistent way. So, when we collect information on student numbers, we need to ensure these are reported against common definitions. If we change definitions, we will do so for all institutions in the same year – it would be unfair to have one rule or definition for one group of institutions and another for a different group, given that in any one year all institutions are effectively competing with each other for a share of our fixed budget. Similarly, if we decide to change how we count activity, this does not necessarily mean a change to our overall budget, though it may affect how that budget is shared between institutions.

10. Government reforms of higher education (HE) financing mean that in future much more income for institutions is expected to come through students' tuition fees and much less through HEFCE block grants. To enable students to meet the cost of tuition fees, most undergraduates will be able to access enhanced loans, which will generally not be repayable until after the student has finished their studies. Reductions to HEFCE grant contribute to meeting the cost to Government of providing these loans. However, to keep control of this student support expenditure and avoid unplanned costs, the Government wishes to limit the overall number of students that can be recruited.

11. Following a request from Government, HEFCE therefore introduced controls on student numbers in 2010-11. In 2012-13 this student number control applies to certain students starting full-time undergraduate study or a Postgraduate/Professional

The HESES12 survey and data used for funding purposes

Graduate Certificate in Education (PGCE) who may count for funding purposes ('HEFCE-fundable'). Although we cannot control all costs, by limiting recruitment of these students at each provider we reduce the risk of over-recruitment that results in unplanned costs to Government.

12. The changes to the finance arrangements for HE require significant reductions to HEFCE's teaching grant. These are being phased in as successive cohorts of students enter HE under the new tuition fee regime. HEFCE grant needs to reflect each year the changing balance of student numbers between those recruited before the fee regime changed (in respect of whom we pay higher rates of grant) and those recruited afterwards (where grant rates are much lower). However, we also need to pay grant from the beginning of the academic year, before we have any certainty about the student numbers involved. This requires us to have an iterative process of refining allocations as we get more certainty over the student numbers involved.

13. We are therefore adopting a three-stage process to calculate and review allocations in order to balance the need to pay grant from August, before student numbers for the year are known, with the need to ensure, in the interests of fairness and accountability, that allocations finally reflect actual student numbers in the year. For 2012-13, this process comprises:

- a. Stage 1: An initial allocation in March 2012, using funding rates derived from the aggregate 2011-12 Higher Education Students Early Statistics (HESES11) survey completed by HEIs; and also forecast 2012-13 student full-time equivalents (FTEs) submitted in HESES11.
- b. Stage 2: An adjusted allocation in March 2013, using funding rates derived from the final 2011-12 individualised student data reported to the Higher Education Statistics Agency (HESA); and also updated 2012-13 student FTEs submitted by institutions in HESES12.
- c. Stage 3: A final allocation in 2014, still using funding rates derived from 2011-12 HESA data, but also using final student numbers from 2012-13 HESA data.

14. A similar iterative approach will apply for our funding for 2013-14. There is further information about our methods for funding institutions in 'Recurrent grants and student number controls for 2012-13' (HEFCE 2012/08) and on our web-site at www.hefce.ac.uk/whatwedo/invest/institns/annallocns/.

15. 'Student number controls and teaching: Consultation on arrangements for 2013-14 and beyond' (HEFCE 2012/04) set out our proposed changes to the way we fund teaching and allocate student numbers from 2013-14. The outcomes of that consultation were announced in 'Student number controls and teaching funding in 2013-14 and beyond: Summary of responses to consultation and decisions made' ([HEFCE 2012/19](#)).

Data returns used to inform funding

16. There are two main data returns that we use to inform our teaching grant for HEIs. These are:

a. **The HESES survey.** This return is submitted directly to us and provides aggregate information on the numbers of students. It is submitted by institutions in December each year and reports on the student numbers in the current academic year and a forecast of student numbers in the following academic year. We use the numbers for the current academic year to review and adjust the funding we have previously announced for the year (stage 2 of our three-stage process, using HESES Tables 1 to 3) and also to monitor recruitment against the student number control (using HESES Table 6). We use the forecast numbers in the following academic year to inform our initial allocations for that year (stage 1 of our three-stage process, using HESES Table 7).

b. **The HESA individualised student record.** This is submitted at the end of the academic year, so we receive it approximately 12 months after the equivalent HESES data. We will use this data to review and finalise allocations of teaching grant for all institutions after the year end (stage 3 of our three-stage process). We also use HESA data to gain information about student characteristics that are used in our funding allocations, such as for student opportunity. Information about the HESA individualised student record is available from www.hesa.ac.uk/stream/student.

17. Further education colleges (FECs) make equivalent data returns. These are the Higher Education in Further Education: Students (HEIFES) survey (the equivalent of HESES) and the individualised learner record (ILR), which is submitted to the Data Service and is the equivalent of the HESA individualised student record.

18. Although HESES is primarily intended to collect information on students counted for funding purposes, it also collects information on other HE students. This helps to provide a more complete picture of institutions' HE activities, supporting our understanding of their circumstances and student population, including for audits and reconciliations with HESA data, and informing government planning.

19. The guidance in HESES defines a student population covered by the return. Within that population, we need to ensure that activity for a given student on a given programme of study (known as an 'instance') is counted once and once only. Instances are broken down into separate years of study, and the guidance in HESES defines whether such a year of instance is countable in HESES12, or whether it is countable in the return for a different year. These years of instance are further disaggregated according to their:

a. **Residential and funding status.** Residential status is broken down between Home and European Union (EU) students and overseas students. The funding status of Home and EU students is broken down between HEFCE-fundable and non-fundable.

- b. **Mode of study.** The three modes identified separately in HESES are full-time, sandwich year-out and part-time. Our funding method distinguishes between these modes of study because we need to reflect the intensity of study and the tuition fee regime which, together with HEFCE grant, is designed by Government to support HE teaching.
- c. **Level of study.** The main HESES tables require a disaggregation between undergraduate, postgraduate taught and postgraduate research. Table 5 of HESES requires a further disaggregation of undergraduate numbers.
- d. **Subject-related price group.** For 2012-13, there are four price groups used for funding purposes (A, B, C and D) reflecting the broad relative costs of provision in different subject areas. From 2013-14, there are some changes to price groups with, in particular, price group C being split between C1 and C2. HESES also collects information separately on Initial Teacher Training (ITT) leading to qualified teacher status (QTS), and In-service Education And Training (INSET) for those holding QTS. The Teaching Agency, rather than HEFCE, has the funding responsibility for these two categories.
- e. **Length of study in the year.** Years of instance are classified as either standard length or long, depending generally on the number of weeks of study in the year.
- f. **Completion status.** The main volume measure in our teaching funding method relates to students who complete their year of instance. This is because we want to emphasise the importance of students completing their year of instance and to encourage institutions to support students through to the completion of all they intended to do during the year, for which they will have paid a tuition fee. Further information about the reason for our approach can be found at www.hefce.ac.uk/whatwedo/lt/howfund/studentcompletion/.

Content of the HESES survey

20. The HESES12 survey contains seven tables for completion:
- Table 1 – Full-time counts of years of instance
 - Table 2 – Sandwich year-out counts of years of instance
 - Table 3 – Part-time counts of years of instance and FTEs
 - Table 4 – Home and EU undergraduate whole years abroad
 - Table 5 – Further student breakdowns for planning purposes
 - Table 6 – Counts of years of instance monitored for student number control purposes
 - Table 7 – 2013-14 forecast of counts of HEFCE-fundable and employer co-funded years of instance and FTE.

21. Annexes to the HESES12 survey provide definitions and guidance on completion of the tables. These include:

- a. **Annexes A and B.** These provide an introduction to the guidance in HESES and report on changes since last year.
- b. **Annexes C and D.** These contain descriptions of the tables themselves, and a sample of those tables.
- c. **Annex E.** This explains what should be done when the tables have been completed, including a description of the data verification process.
- d. **Annexes F and G.** These define the HESES population and recognised HE courses.
- e. **Annexes H and J.** These define when activity by students in the HESES population should be counted and how to determine the full-time equivalence of part-time students.
- f. **Annex I.** This defines whether a student should be recorded as a completion or non-completion.
- g. **Annexes K to O.** These explain how to record different categories of activity and include the definitions of residential and funding status, price group, mode, level and length of study in the year.
- h. **Annex P.** This contains guidance on assigning undergraduate whole years abroad to the appropriate fee level category in Table 4.
- i. **Annex Q.** This contains guidance on how to identify 'old-regime' and 'new-regime' students.

22. Appendices to the HESES12 survey contain detailed technical information related to the HESES12 survey tables for completion, and will be available once HESES12 workbooks are released. These are:

- a. **Appendix 1.** This details the methods we intend to adopt when re-creating HESES12 from the HESA 2012-13 student record.
- b. **Appendix 2.** This describes a series of validation checks, contained within the HESES12 survey tables, which help to ensure incorrect data are not submitted.
- c. **Appendix 3.** This describes the additional worksheet relating to the calculation of estimated grant adjustments arising from compliance with student number controls.
- d. **Appendix 4.** This describes a series of credibility checks, contained within the HESES12 survey tables in the form of first-stage credibility warnings on Tables 1-7 and automatic check highlighting on the comparison tables, to help institutions check data credibility prior to submission to HEFCE.

- e. **Appendix 5.** This describes two additional worksheets that give indicative adjusted funding for 2012-13 for old- and new-regime students and indicative initial funding for 2013-14 for old-regime students.

23. All activity that meets the criteria set out in Annexes F to H should be reported, even if it will not be used directly to allocate funds. For example, HEFCE will not count for funding purposes students ordinarily resident outside the EU or specified overseas territories, but these students should still be included in the 'Island and overseas' column in the tables.

24. The main sources of data that will inform our allocations of recurrent grant are:

- Tables 1 to 4, 6 and 7 of HESES12
- the individualised student data submitted to HESA.

25. In addition to their primary purpose of collecting data to inform initial funding allocations, Tables 1 to 4 and 7 of HESES12 provide us with information about institutions as a whole, including HE activity that we do not count for funding. Data returned in Table 5 are collected for planning and monitoring purposes, including those of the Department for Business, Innovation and Skills and the UK Border Agency. Data returned on Table 6 will be used to monitor the student number control for 2012-13.

26. For funding allocation and other purposes we source various kinds of information from the HESA individualised student data. The algorithms we expect to use are shown in 'HESA funding and monitoring data 2011-12: web facility', which will be available shortly on the HEFCE web-site at

www.hefce.ac.uk/data/famd/webfacility/hesawebfacility/. This information includes:

- re-creations of HEFCE funding returns (including a HESES11 re-creation)
- derived statistics likely to inform HEFCE funding (including indicative 2013-14 allocations for widening participation and teaching enhancement and student success)
- derived statistics we intend to publish, for verification by institutions
- data summaries for verification by institutions.

Institutions should note that incomplete or incorrect records may adversely affect funding allocations and that we may not increase allocations where initial allocations are understated due to incomplete or incorrect data.

Reporting the activity of 'connected undertakings'

27. In counting the number of students to be included within an institution's student number control limit and for the institution's reporting obligations relating to students set out in its funding agreement with us, students registered at the institution's **connected undertakings** must be included with the students registered at the institution, except where those connected undertakings are subject to a separate funding agreement directly with the Council. We will regard an undertaking as connected with the institution if it falls within any one or more of the categories specified in paragraph 28.

28. An **undertaking** will be regarded as a connected undertaking of the institution if:
- a. The institution **controls** that undertaking.
 - b. The institution and another undertaking or other undertakings connected with the institution together control that undertaking.
 - c. Another undertaking or other undertakings connected with the institution control that undertaking.
 - d. That undertaking is recognised by us as a connected institution as defined by section 27 of the Teaching and Higher Education Act 1998. Or
 - e. We consider that the sole purpose, or one of the main purposes, of registering students at that undertaking is to avoid those students being included within the institution's student number control limit.
29. For the purpose of paragraph 28 of this document:
- a. An 'undertaking' includes a body corporate, a partnership, an unincorporated association or a trust.
 - b. An undertaking is under the 'control' of another if any of the following apply:
 - i. That other holds a majority of the shares in the undertaking.
 - ii. That other holds a majority of the **voting rights in the undertaking**.
 - iii. That other has the **right to appoint or remove a majority of the board of directors** or other governing body of the undertaking.
 - iv. That other has the **right to exercise dominant influence** over the undertaking by virtue of provisions contained in the undertaking's articles of association or any other constitution, **control contract**, memorandum of understanding or other document regulating the undertaking or any other undertaking.
 - v. That other has the right to a share of more than half the assets, or of more than half the income, of the undertaking.
 - vi. Both are managed on a uniform basis.
 - vii. That other has the power, by any other means, to secure that the affairs of the undertaking are conducted in accordance with its wishes.
 - c. The expressions 'voting rights in an undertaking', 'right to appoint or remove a majority of the directors', 'right to exercise a dominant influence' and 'control contract' have the meanings given in schedule 7 to the Companies Act 2006.

Data preparation and submission

30. An Excel workbook with spreadsheet versions of the tables in Annex C will be available on the HEFCE extranet, <https://data.hefce.ac.uk/>, in November 2012. Heads of institutions and HESES contacts will be issued with a key (unique to their institution and to the HESES12 survey) to enable access to this workbook via the HEFCE extranet. Institutions will need to upload the completed workbook to the same web-site. In addition to the extranet key, heads of institutions and HESES contacts will be issued with guidance on how to use the extranet and a checklist for use before submission of the completed workbook.

31. Returns must be uploaded to the HEFCE extranet no later than **noon on Tuesday 11 December 2012**. We will not give extensions to this deadline.

32. The data do not need to be formally signed off by the vice-chancellor or principal at this stage. However, it is good practice for someone independent of the compiler of the return to review it carefully to ensure that the figures make sense in relation to the supporting data, and that basic inputting errors have not occurred. A senior member of the institution should also agree the return prior to submission.

33. Where an institution fails to return data on time, or the returned data are not credible, we may base the allocation of funds on our own estimate of student activity. Institutions that do not submit credible data on time are more likely to be audited.

34. Good practice guidance relating to the preparation of the HESES return can be found in the shaded box titled 'Audit issues' in paragraphs 46 to 63 and throughout this publication.

Data verification and sign-off of HESES12 data

35. A number of validation and credibility checks are carried out automatically within the workbook (detailed in [Annex E](#), Appendix 2 and Appendix 4).

a. **Validation checks** ensure numerical consistency within the return (for example that certain figures on one table match figures on another).

b. **Credibility checks.** Some of these are built into the HESES Excel workbooks and will generate warning messages if certain thresholds are breached. In addition, HEFCE staff carry out credibility checks of all data returns and will question institutions about them. Credibility checks will relate to data values or changes that, while possible, appear unexpected or unlikely.

36. The workbook also contains a worksheet showing the estimated student number control grant adjustments for 2012-13 (detailed in Appendix 3). Worksheets are also included which give indicative adjusted funding allocations for 2012-13 for old- and new-regime students, and indicative initial funding allocations for 2013-14 for old-regime students (detailed in Appendix 5). The appendices are available to download alongside this document at www.hefce.ac.uk/pubs.

Data assurance

37. We will carry out further credibility checks when we receive the workbook. During December, we will write to institutions, attaching their HESES data and the comparison and grant adjustment reports generated from them. Institutions will be asked to:

- verify that the data are accurate, or make corrections
- answer any questions we may have about the data and the explanations already provided.

The timetable for this is tight: if corrections to data are made, we then reissue the data for re-verification by institutions, along with further queries where necessary. We expect institutions to answer any questions about data within five working days. We may refuse to revise allocations once data have been verified and signed off. Annex E contains further detail on the data verification process.

38. By 14 January 2013, all institutions must have signed off their HESES data as being correct as at 1 December 2012. Given its significance to institutions' funding, we require the principal of the college to sign off the finalised HESES return. This requires them to have an understanding of our data collection requirements, to ensure that the institution has systems capable of producing an accurate, complete return and that the preparer of the return has compiled it competently. If it is anticipated that the vice-chancellor or principal will be unavailable to sign off the data during the data verification period, institutions should e-mail dataverification@hefce.ac.uk to agree interim arrangements. We will expect the vice-chancellor or principal to sign off the data on their return. If an institution fails to meet the deadline for signing off data, or we believe the data to be inaccurate, we reserve the right to use our own estimates of data to inform funding allocations (see paragraph 18 of 'Model Financial Memorandum between HEFCE and institutions', HEFCE 2010/19). We cannot guarantee that any amendments to data after 14 January 2013 will be taken into account.

Data assurance

39. We will continue to consider aspects of the HESES return for audit activity on a risk basis, and review aspects of data used for funding purposes. Institutions should therefore keep an adequate audit trail recording how the data have been derived. This is especially important where institutions are including estimates or making judgements; for example, the basis for forecasting non-completions should be recorded. Institutions must ensure that estimates are reasonable and have sufficient supporting data. Evidence of enrolment should be available for inspection. Our auditors will also seek to rely on any relevant internal audit work that has been carried out on the student record system or the method for compiling the HESES return, where appropriate.

40. We no longer audit the HESES return on a cyclical basis, but audit particular areas of data related to the return on a risk basis. Data audit tests institutions' systems and processes in preparing the aspect of the data return under review. It may involve desk-based work and visits to institutions to review their management information systems and the documentation that provides an audit trail showing how the return was produced, and substantial testing of the assumptions underpinning and values reported

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on the return. This will involve selecting samples (or whole populations) of students and testing how they have been reported in the return. The audits will often include a review of the outturn position of students at the end of the academic year to assess the reasonableness of how they have been included in the HESES return.

41. Data reconciliation occurs in the following academic year. We use the student data submitted to HESA by the HEI to reconstruct what the original HESES return for the institution would have looked like. Where differences between the original and re-created HESES return result in significant funding discrepancies, the institution is selected to go through a funding and monitoring data reconciliation exercise; this involves explaining the reasons for data differences and, if necessary, submitting amendments to HESA data. At the end of the process, we will treat the final (amended) HESA data as superseding the original HESES return, and we will implement any consequential funding adjustments for all relevant years (subject to an appeals process where appropriate).

42. As part of our audit and reconciliation processes we will also compare HESA data with a variety of other data, most notably individualised ILR, National Pupil Database and Student Loans Company data as these become available. Details of how we expect to compare HESES to HESA data are given in 'HESA funding and monitoring data 2011-12: web facility', which will be available shortly on the HEFCE web-site at www.hefce.ac.uk/learning/datacoll/derived/webfacility/, and in Appendix 1.

43. Paragraph 34 of Annex B of 'Model Financial Memorandum between HEFCE and institutions' (HEFCE 2010/19) states that the annual report of the institution's audit committee must include the committee's conclusions on the adequacy and effectiveness of the HEI's arrangements for the management and quality assurance of data submitted to HESA and to HEFCE and other funding bodies. This is to ensure adequate governance oversight of the systems used to generate funding data by the HEI, since poor data may represent a significant financial risk for HEIs that audit committees need to consider. Further guidance for audit committees on data assurance can be found at www.hefce.ac.uk/whatwedo/reg/assurance/guidance/auditarrangements/.

44. Previous audits of HESES data have identified a number of areas where some institutions were incorrectly interpreting the HESES definitions, or where internal institutional systems and practices did not facilitate the production of the HESES return. These have included:

- inadequate recording of entry qualifications
- incorrect application of the rules on student completion, particularly those around the requirement for submission of the final assessment in all modules intended to be studied in the year
- lack of identification of students' study intentions for the year for the purpose of determining completion status

Data assurance

- lack of robustness in the estimation of non-completions and forecast countable years
- incorrect calculation of FTE and incorrect assignment of multiple instances to part-time students following modular programmes
- incorrect assignment of activity to price groups
- incorrect identification of mode of study
- poor communication within collaborative arrangements
- inadequate audit trail between the student record system and the HESES return
- lack of systems notes both for recording of data on student activity and for the HESES preparation process
- lack of analytical review of figures in the return to identify anomalies and ensure that the data make sense
- lack of reconciliation between HESES and HESA returns before submission to HESA.

45. To assist with future compliance, we strongly recommend that each institution undertakes a formal review of existing arrangements, taking into account the information below and the 'Audit issues' sections in the annexes. As new areas of risk arise we need to gain assurance over these areas, and for this reason our audit activity is continuously developing. Institutions should give particular attention to new developments within HESES12 and ensure they have assurance over all aspects of the return in case of audit activity. As we develop audit programmes we will publish them on our web-site.

Audit issues

Inadequate audit trail

46. In some cases, the audit trail between student record systems and the HESES return was inadequate or had not been retained at all. A record of the basis for making estimates of non-completions and forecast countable years should be kept, along with any relevant electronically stored data, printouts and working papers used in completing the return. The audit trail should be retained for at least five years. Source documents such as registration forms should also be retained. This should include information on students' detailed study intentions for the academic year.

47. There should be an audit trail to individual figures in the return for all Column 1 figures, identifying individual students within those figures. During audit we ask for a sample of these figures to be rebuilt. In the case of the estimates, that is Columns 2 and 3, there must be a clear rationale for the figures and back-up data justifying what is being returned.

48. Where the institution is involved in franchise or other collaborative arrangements, the audit trail must include evidence for the inclusion or exclusion of students, and forecasts relating to such students.

Knowledge management

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

50. In addition, institutions should ensure 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 the HESES guidance each year and make any necessary changes to their systems.

51. There are, quite reasonably, differences between academic regulations of institutions and the rules relating to the counting of students for funding purposes. It is essential that individuals involved in completing student data fields which are used for funding purposes fully understand the fields they are completing in the student record. For these fields, student activity should be reported with regard to funding rules and not in accordance with the institution's own academic regulations and progression rules. This is discussed in more detail in [Annex I](#).

Analytical reviews and data reconciliations

52. A reconciliation between HESES12 and HESA 2012-13 returns should be made before the HESA data are submitted. Differences should be examined as part of the process for identifying possible data error, and amendments made to HESA data if necessary. This will be useful preparation for the HESA-HESES Funding and Monitoring Data reconciliation exercise if differences are substantial. It should also help to eliminate inconsistencies in students' treatment in the two returns for future reference, and reduce systems problems with the way students are returned in HESA data before submission. In summer 2013 we will give institutions access to a web facility that will be able to generate a re-creation of HESES12 from the HESA 2012-13 return. An equivalent exercise on the previous year's return may highlight errors in HESES11 that can be avoided in HESES12.

Management information

53. The student record system is not only important from the point of view of HESES and other data returns, it is also a source of management information for the institution. However, the opportunity to use this resource is being lost at many institutions we visited. Typically, student records are only cleaned up at the time of end-of-year examinations and assessments, because academic staff have to rely on the data at that

time. The opportunity to use the data throughout the year as a management tool for identifying problem areas or potentially failing students is lost.

54. It is important to encourage use of the main student record system for recording marks within the year if possible, and to the level of detail required to comply with the rules on correctly assessing student completion status. This will now particularly include accurate recording of final assessment submission dates to assess student completion status according to the '13-month rule' (see [Annex I](#)). Use of separate databases held locally at departmental, school or faculty level will hinder the ability of the HEI to ensure that the main student record is up to date and hence useful as a management tool.

55. Management information is only useful if it is complete, accurate and timely. In turn, complete and accurate data would produce a more accurate HESSES return.

56. Particularly where institutions are implementing new student record systems, there can be a lack of attention to reporting requirements. During audit we do not ask for any reports that could not reasonably be expected to be used in everyday activity. However, some institutions have great difficulty in extracting these standard data from the student record system, and many do not even hold the required data. An awareness of reports required for everyday activities should be considered as part of the overall project, and scoping for these should be given priority. Data that cannot be extracted and reported on are of little value.

57. Developing exception reporting and using such reporting to highlight data issues for review and subsequent amendment will help to ensure that high-quality data are returned in the future. Data quality will also be enhanced by data management reviews by those with a good understanding of the data.

58. We encourage institutions to liaise with appropriate HEFCE staff when issues concerning the correct returning of data arise.

Variable practices

59. Although institutions have academic regulations and procedures for managing student data in the student record system, the audit visits picked up many instances of inconsistent practice within institutions.

60. Differential practices did not necessarily mean that procedures were not being followed; in a number of instances it was clear that the procedures were inadequate to cope with the complexity of the area in question. For example, faculties of health studies often have requirements over and above those of the rest of the institution. However, in other areas it was clear that the staff managing the data were not sufficiently trained in the institution's requirements.

61. Data quality will be improved if the requirements of all data users are fully understood and taken into account by staff who manage and maintain the student record system. Many instances were found where staff were responsible for completing key fields required for funding purposes but they had no training on the rules governing completion of those fields in accordance with funding rules. In many cases the data

Outline process for the 2013-14 funding round

required to complete those fields correctly were not recorded on the main student record system, so robust centralised systems could not be implemented, and reliance was placed on inadequately trained staff. All users should also be trained in the data requirements of the institution, with reference to differences between academic regulation requirements and funding rule requirements, so that they understand why they are asked to perform particular tasks.

Problems with implementing new student record systems

62. Implementing a new student record system is a major undertaking. It is essential that institutions manage this process carefully to ensure that the system does not fall into disrepute before the process is complete.

63. One problem we found with new systems (even proprietary systems) was the lack of ability to draw out management information and basic reports from the system (see also paragraph 56). As part of the overall implementation project, it is essential to include the requirements both for everyday reports needed by academic and administrative staff and for top-level management reports, and to make arrangements to ensure that they are delivered.

Outline process for the 2013-14 funding round

64. During January we will consider any appeals against student number control grant adjustments and student number adjustments for over-recruitment against the medical and dental intake targets. Institutions will be notified of the outcomes of their appeals in February. We intend to notify institutions of their adjusted allocations of recurrent grant for 2012-13 and their initial allocations of recurrent grant for 2013-14 on 18 March 2013. We also intend to notify institutions of their provisional student number control limit for 2013-14 on 18 January 2013.

65. In 2014, we will review our allocations for 2012-13 using the 2012-13 HESA student record and finalise our allocations accordingly. In March 2014, we will also review and adjust our allocations for 2013-14 in the light of HESES13 data.

66. If we find, either through reconciliations with HESA data or through any data audit, that erroneous data have resulted in institutions receiving incorrect funding allocations (including for student opportunity and other targeted allocations), we will adjust their funding accordingly for all relevant years (subject to the appeals process and the availability of our funds).

Queries and further information

67. Queries about this survey should be e-mailed to heses@hefce.ac.uk. In addition, the HEFCE web-site contains a web page with answers to frequently asked questions (FAQs). It can be found at www.hefce.ac.uk/data/datacollection/heses-highereducationstudentsearlystatisticssurvey/ under 'FAQs'. The page will also contain any amendments or clarifications that need to be made after the publication and workbook are available. Institutions are expected to look there for guidance before and

Queries and further information

during completion of their HESES return. We will use an e-mail list of HESES contacts to notify institutions of any significant changes or updates.

HESES contacts at institutions

68. Each institution has sent us details of a contact for the HESES survey. If institutions wish to check or change their HESES contact details, they should contact their HEFCE higher education policy adviser. Contact details for the HE policy adviser for each institution can be found on the HEFCE web-site at www.hefce.ac.uk/contact/contactsforinstitutions/.

Annex A HESES12: Getting started

1. This annex is aimed at those with responsibility for completing the Higher Education Students Early Statistics (HESES) survey. It provides an introduction to the structure of the survey and to where guidance and definitions can be found in subsequent annexes, but it does not attempt to summarise the guidance in those other annexes. This annex points to guidance on which students can be counted in HESES12, then goes through each table in turn and points to where guidance may be found on each column and row heading. It also points to where guidance may be found on what to do when the HESES tables have been completed.
2. Additionally, throughout the annexes there are many 'example' boxes, and shaded boxes titled 'Audit issues', which contain common issues found by our auditors and good practice tips.
3. It is recommended that this annex is read alongside the sample tables in Annex C.

Which students are counted in HESES?

4. The guidance in HESES defines a student population covered by the return. Within that population, we need to ensure that activity for a given student on a given programme of study (known as an 'instance') is counted once and once only. Instances are broken down into separate years of study and the guidance in HESES defines whether such a year of instance is countable in HESES12, or whether it is countable in the return for a different year. HESES12 therefore records counts of years of instance for students aiming for a recognised higher education (HE) qualification. This is not the same as counting students or modules. Further information on recognised HE qualifications is in [Annex G](#).
5. An 'instance' is defined as a 'coherent engagement with the institution by a student aiming towards the award of a qualification(s) or credit' (see [Annex F](#) paragraph 2). This period may be split into one or more years of instance (see [Annex H](#) paragraph 2).
6. To be counted in HESES12, a year of instance must be generated by a student in the HESES12 population. Paragraph 4 of [Annex F](#) defines criteria that instances must meet to be included in the population. Paragraphs 5 and 7 of [Annex F](#) also identify particular cases that are excluded from the population.
7. Not all students in the HESES12 student population will generate a year of instance that is countable in HESES12. Paragraph 10 of [Annex H](#) provides additional criteria that a year of instance must meet to be counted in the HESES12 population, relating to the need to charge a tuition fee, the minimum amount of activity and the requirement that the student is not writing up a thesis (or similar) for the whole year of instance. Some years of instance may be generated by students who are in the HESES12 population and meet the criteria in paragraph 10 of [Annex H](#), but may instead

have been counted in a previous HESES survey rather than HESES12. The flow chart in Figure H2 of [Annex H](#) will help determine whether a year of instance should be returned in Tables 1 to 5 of HESES12 and whether it should be returned in Column 1 or 2 of HESES Tables 1, 2 and 3.

Things to note

8. Care should be taken if the institution is involved in a collaborative arrangement with another institution to ensure years of instance are not being double-counted (collaborative arrangements, excluding those solely for validation, are treated as franchises for HESES purposes). See paragraphs 11 to 18 of [Annex F](#) for guidance on the return of franchised activity in HESES.
9. [Annex H](#) paragraph 4 contains guidance on how to treat students who are studying towards two or more independent qualifications at the same time.
10. [Annex H](#) paragraphs 40 to 52 explain how to return the following kinds of summer school in HESES:
 - summer schools for potential HE students
 - access provision
 - within-course periods of study in vacation time
 - foundation degree bridging courses.

How should I return years of instance on Tables 1, 2 and 3?

11. Tables 1, 2 and 3 record counts of years of instance for full-time, sandwich year-out and part-time students respectively, and are mutually exclusive. To determine whether a year of instance should be returned on Table 1, 2 or 3, see [Annex M](#) which contains guidance on mode of study.
12. Paragraphs 16 to 36 of this annex consider the column and row headings in Tables 1, 2 and 3 and point to the guidance on assigning years of instance to the appropriate column and row in these tables.
13. Paragraphs 5 to 13 of [Annex D](#) contain more detail on how activity should be assigned to Tables 1, 2 and 3 and the columns within them.

Things to note

14. Occasionally a student's mode of study changes, either between years or mid-year. See paragraphs 9 to 11 of [Annex M](#) for guidance on how to return such years of instance.
15. For the purposes of meeting the attendance definition for a full-time course, full-time study can include learning in the workplace, where this is a course requirement. Paragraphs 12 to 15 of [Annex M](#) provide guidance on this.

Columns 1 and 2

16. Columns 1 and 2 are mutually exclusive. Whether a year of instance should be recorded in Column 1 or 2 depends on when they become countable, and this in turn depends on the start date for the student's first year of instance. The flow chart in Figure H2 of [Annex H](#) will help determine whether a year of instance should be returned in HESES12 and whether it should be returned in Column 1 or 2.

17. [Annex D](#) paragraph 6 contains further guidance on what should be returned in Column 2.

Things to note

18. Care needs to be taken where modules span two years of instance. Paragraph 21 of [Annex H](#) and the flow chart in Figure H1 provide guidance on how to assign these to years of instance in such cases.

Column 3 (forecast of years not completed)

19. The main volume measures in our teaching funding methods relate to students who complete their year of instance. This is because we want to emphasise the importance of students completing their year of instance and to encourage institutions to support students through to the completion of all they intended to do during the year, for which they will have paid a tuition fee. Further information about the reasons for our approach is on the HEFCE web-site at www.hefce.ac.uk/whatwedo/lt/howfund/studentcompletion/. Column 3 of Tables 1, 2 and 3 should therefore contain an estimate of the number of years of instance returned in Column 1 or 2 which students will not complete. [Annex I](#) provides the definition of completion and non-completion. These estimates should be supported by historical data and shown as a negative number.

20. Some guidance on the completion of the HESA fields FUNDCOMP and MODOUT, which explicitly relate to completion status, can be found in the 'audit issues' in [Annex I](#) paragraphs 26 and 33 to 35.

Column 4 (estimated countable years for 2012-13)

21. This is calculated automatically within the workbook as the sum of Columns 1, 2 and 3.

Column 4a (Table 3 only)

22. Column 4a should contain the estimated full-time equivalence (FTE) for the academic year for part-time years of instance, and reflect the sum of the FTE for the years of instance returned in Column 4. [Annex J](#) contains guidance on calculating FTE for part-time students.

Things to note

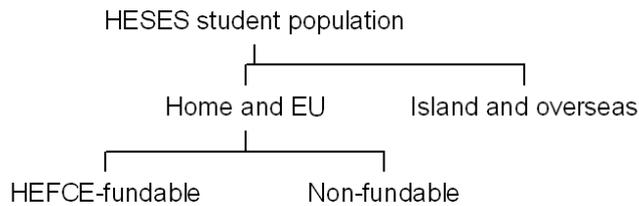
23. Care should be taken when determining the FTE of a student who has changed their mode of study mid-year, or who is exempt from part of a course due to, for example, accredited prior learning. See paragraphs 5 and 8 in [Annex J](#).

Columns 5 and 5a

24. Column 5 should contain a subset of non-fundable numbers included in Column 4. It will identify estimated completed years of instance for students aiming for the same qualification at the same institution, where this instance counted prior to 2012-13 towards the delivery of funding or student number targets relating to student numbers co-funded with employers. Column 5a (in Table 3 only) should contain a subset of non-fundable FTEs included in Column 4a of that table. It will identify the estimated FTE for the completed years of instance returned in Column 5. See paragraph 10b of [Annex K](#) and paragraphs 10 and 11 of [Annex D](#).

Fundability status

25. There are three fundability statuses collected in HESES: HEFCE-fundable, non-fundable, and Island and overseas. Students in the HESES population are disaggregated as follows:



26. [Annex K](#) paragraphs 2 to 6 explain how to distinguish between Home and European Union (EU) students and Island and overseas students.

27. [Annex K](#) paragraphs 8 to 11 explain how to determine which Home and EU students are HEFCE-fundable and which are non-fundable. Home and EU students aiming for an equivalent or lower qualification (ELQ) compared with one they already hold are classed as non-fundable (unless they are exempt from this policy). [Annex K](#) paragraphs 12 to 34 contain guidance on assessing a student’s ELQ status and the exemptions that apply for our funding purposes.

Old-regime and new-regime

28. Within Columns 1 to 4 of Tables 1 to 3, HEFCE-fundable years of instance are disaggregated between old-regime and new-regime. [Annex Q](#) explains how to determine which are old-regime and which are new-regime.

Things to note

29. For old-regime students funded by another EU public source, years of instance will typically need to be reported as non-fundable, depending in part on whether the level of contribution from that other source is at the HEFCE standard rate or higher.

Annex K paragraphs 41 to 47 contain examples of how to determine the number of old-regime students supported from other EU public funds (and therefore to be reported as non-fundable), where the available money is not enough to cover HEFCE standard rate for all relevant students. There is an Excel template on the HEFCE web-site at www.hefce.ac.uk/data/datacollection/heses-highereducationstudentsearlystatisticsurvey/ under 'FAQs' which will calculate the number of students who are non-fundable in individual cases.

30. The guidance in paragraph 29 does not apply to new-regime students; students fully or partly supported from an EU public source will normally be HEFCE-fundable unless they are non-fundable by virtue of sub-paragraphs 10d, 10e, 10f or 10j of Annex K.

Price groups

31. These reflect the broad relative costs of provision in different subject areas. Price groups are defined in terms of academic cost centres. Annex L contains guidance on how to assign a year of instance to the appropriate price group(s).

Things to note

32. Annex L contains particular guidance on how to treat sandwich years out, medicine, dentistry, veterinary science, social work and social policy, education, media studies, sports and leisure studies and computing, when assigning activity in these areas to price groups.

33. Care should be taken where students study two or more subjects at an institution, or where a student is taught a different subject under a franchise arrangement. See paragraphs 21 to 31 of Annex L.

Long years of instance

34. Years of instance are classified as either standard length or long. Full-time years of instance are normally treated as long based on the number of weeks' study in the year; for part-time years of instance, it depends on the length of each year for an equivalent full-time course. Annex O paragraphs 2 to 4 define 'long' for full-time courses, and Annex O paragraph 8 defines 'long' for part-time courses.

Things to note

35. Care should be taken where a year of instance includes a period of work-based study – see paragraphs 4 and 5 of Annex O.

Level

36. Annex N describes how to determine whether a student should be classed as an undergraduate or postgraduate, and whether a postgraduate student should be classed as postgraduate taught or postgraduate research.

How should I return years of instance on Table 4?

37. Table 4 collects information about undergraduates taking a whole year abroad in 2012-13. This is a subset of the years of instance included within Columns 1 or 2 of Tables 1 and 2. We use these data to determine allocations of Erasmus fee compensation for 2013-14². We will also use them to aid our planning for supporting years abroad from 2014-15.

38. Paragraphs 40 to 44 of this annex consider the column and row headings in Table 4 and point to the guidance on assigning years of instance to the appropriate column and row.

39. Paragraphs 14 to 18 of [Annex D](#) contain more detail on Table 4 and the columns within it.

Columns 1 and 2

40. Columns 1 and 2 in Table 4 are the same as Columns 1 and 2 in Tables 1 and 2.

Mode of study

41. The full-time and sandwich year-out column headings are consistent with those in Tables 1 and 2 and are defined in [Annex M](#).

Fundability status

42. [Annex K](#) contains guidance on how to determine fundability status. Island and overseas students are not included in Table 4.

Fee level

43. Guidance on how to record years of instance in the appropriate fee level category can be found in [Annex P](#).

Things to note

44. In general, fee levels are an attribute of the year of the course, not of the individual student. See paragraph 2 of [Annex P](#).

How should I return years of instance on Table 5?

45. Table 5 collects further information about students included within Columns 1 or 2 of Tables 1, 2 and 3.

46. Paragraphs 48 to 53 of this annex consider the column and row headings in Table 5 and point to the guidance on how to assign years of instance to the appropriate column and row.

47. Paragraphs 19 to 27 of [Annex D](#) contain more detail on Table 5 and the columns within it.

² Erasmus is the European Community action scheme for the mobility of university students, and is part of the European Commission's Lifelong Learning Programme.

Column 1

48. In total, these data should equal the totals reported in Columns 1 and 2 of Tables 1, 2 and 3.

Column 2

49. Column 2 should contain new entrants, and is a subset of the data contained in Column 1. 'New entrant' is defined in paragraph 27 of [Annex D](#).

Column 3

50. Column 3 should contain counts of years of instance franchised out, and is a subset of the data contained in Column 1. Guidance on what is treated as a franchise for HESES purposes can be found in paragraphs 10 to 18 of [Annex F](#), and guidance on the completion of Column 3 can be found in paragraphs 23 and 24 of [Annex D](#).

Mode of study

51. The full-time, sandwich year-out and part-time column headings are consistent with those in Tables 1, 2 and 3 and these modes of study are defined in [Annex M](#), but full-time and sandwich year-out are aggregated in Table 5.

Home/other/Island and overseas split

52. The students recorded in Table 5 are split between Home students, 'others entitled to pay Home and EU fees' and Island and overseas. Guidance on how to disaggregate Home and EU students into 'Home' and 'other' is in paragraph 19 of [Annex D](#) and depends on the DOMICILE field on the HESA student record.

Level

53. [Annex N](#) describes how to determine the level of study for a student. However, undergraduate students are disaggregated into different groups from those in Tables 1 to 4. Guidance on how to disaggregate undergraduate students in Table 5 is in paragraph 20 of [Annex D](#).

How should I return years of instance on Table 6?

54. Table 6 collects information to monitor the student number control for 2012-13 and applies largely to full-time students (as defined in [Annex M](#)), plus, depending on circumstances, others who switch mode to or from full-time during the year of instance. For the purposes of the definition of the coverage of Table 6 which follows, part-time students in receipt of full-time student support (as defined in [Annex M](#), paragraphs 7 and 8) should be treated as if they were full-time students. Paragraphs 22 to 38 of [Annex H](#) contain guidance on how to count years of instance in Table 6, including the definition of the population to be included in the table and the categories within it.

55. Paragraphs 59 to 65 of this annex consider the column and row headings in Table 6 and point to the guidance on assigning years of instance to the appropriate column and row.

56. Paragraphs 28 to 31 of [Annex D](#) contain more detail on Table 6 and the columns within it.

Things to note

57. Years of instance are counted in Table 6 in a slightly different way from the other tables. Treatment differs between Table 6 and the other tables where students withdraw from their year of instance in the 2012-13 academic year or change mode of study during the year. Guidance on this is provided in paragraphs 33 to 35 of [Annex H](#).

58. Not all years of instance counted in Table 6 will be for 'entrants' to the institution (as defined in [Annex D](#), paragraph 27). This may be the case where, for example, students have previously studied part-time, or on programmes of study that were not fundable by HEFCE. Paragraphs 36 to 38 of [Annex H](#) provide guidance on this.

Column 1

59. Columns 1(a) and 1(b) should contain years of instance starting between 1 August 2012 and 1 December 2012 inclusive, with the disaggregation between them depending on whether and when the student has withdrawn. Paragraph 29 of [Annex D](#) contains guidance on how to complete this column.

Column 2

60. Column 2 should contain a forecast of years of instance starting after 1 December 2012 and before 1 August 2013. Paragraph 30 of [Annex D](#) contains guidance on how to complete this column.

Column 3

61. Column 3 is calculated automatically within the workbook as the sum of Columns 1(a), 1(b) and 2.

First registrable medical and dental students and all other students

62. 'First registrable medical and dental students' applies to those who are on a course leading to a first registrable medical or dental qualification.

AAB+ equivalent population

63. 'AAB+ equivalent population' applies to those not on courses leading to a first registrable medical or dental qualification who fall within the AAB+ equivalent population – see paragraphs 27 and 28 of [Annex H](#).

Fundability

64. 'Employer co-funded' applies to years of instance that are non-fundable on the basis that the student is aiming for the same qualification at the same institution, where this instance counted prior to 2012-13 towards the delivery of funding or student number targets relating to student numbers co-funded with employers – see paragraph 10b of [Annex K](#). None of these will be new-regime and we expect there to be very few, if any, in Table 6.

Level

65. 'UG' should contain undergraduates as defined in [Annex N](#). 'PGCE' should contain students starting on a Postgraduate or Professional Graduate Certificate in Education.

How should I return years of instance on Table 7?

66. Table 7 collects information on forecasts of the 2013-14 HEFCE-fundable and employer co-funded student counts and FTEs that institutions expect to report in Column 4 of Tables 1, 2 and 3 and Column 4a of Table 3 of HESES13.

67. Paragraphs 71 to 78 of this annex consider the column and row headings in Table 7 and point to the guidance on assigning years of instance to the appropriate column and row.

68. Paragraphs 32 to 40 of [Annex D](#) contain more detail on Table 7 and the columns within it.

Things to note

69. Each column records completed years of instance and therefore **excludes** students who are non-completions, according to the definition in [Annex I](#).

70. From 2012-13, we will not be making new allocations of funding separately for employer co-funded provision. New-regime students who are on programmes that in previous years were employer co-funded should be reported as HEFCE-fundable if they meet the definition in [Annex K](#). Details can be found in paragraph 35 of [Annex D](#).

Column 1

71. Column 1 should contain a forecast of completed full-time years of instance, disaggregated into HEFCE-fundable and employer co-funded years of instance. See paragraph 37 of [Annex D](#).

Column 2

72. Column 2 should contain a forecast of completed sandwich year-out years of instance, disaggregated into HEFCE-fundable and employer co-funded years of instance. See paragraph 38 of [Annex D](#).

Column 3

73. Column 3 should contain a forecast of completed part-time years of instance, disaggregated into HEFCE-fundable and employer co-funded years of instance. See paragraph 39 of [Annex D](#).

Column 3a

74. Column 3a should contain a forecast of the FTE of completed part-time years of instance, disaggregated into HEFCE-fundable and employer co-funded years of instance. See paragraph 40 of [Annex D](#).

Fee and funding regime

75. Each column of Table 7 is split between old-regime and new-regime students. Definitions of these categories are provided in [Annex Q](#).

Mode of study

76. Table 7 contains the forecast number of years of instance for all modes of study. Mode of study is defined in [Annex M](#).

Price group

77. Table 7 contains two additional price groups that are not on Tables 1 to 3. These are price groups C1 and C2, which will replace price group C for new-regime students from 2013-14. Table 7 also excludes Initial Teacher Training (ITT) leading to qualified teacher status (QTS) and In-service Education And Training (INSET) for those holding QTS. [Annex L](#) contains guidance on how to assign students to the appropriate price group(s).

Level

78. 'UG' should contain undergraduates, 'PGT (UG fee)' should contain postgraduate taught students who are charged undergraduate fees and 'PGT' should contain other postgraduate taught students. These are defined in [Annex N](#). Postgraduate research students are not included.

What should I do when the tables have been completed?

Validation and credibility checks

79. Validation and credibility checks exist within the workbook to try to ensure that inconsistent and potentially erroneous data are not submitted. Paragraphs 3 to 10 of [Annex E](#) explain how validation and credibility checks are shown in the workbook and what to do if they highlight validation failures or warnings within the completed workbook. Appendices 2 and 4 provide detail on each check that is carried out.

Grant adjustments worksheet

80. There is a worksheet called 'HBK' which contains the estimated student number control grant adjustments for 2012-13. Institutions should check the figures shown on this worksheet before uploading the completed workbook to the extranet, to ensure that any estimated grant adjustments are not the result of data error. Further information on these worksheets can be found in paragraphs 11 and 12 of [Annex E](#) and in Appendix 3.

Indicative funding for 2012-13 and 2013-14 worksheets

81. A further two worksheets contain tables that will give the indicative revised funding for 2012-13 for old- and new-regime students and the indicative initial funding for 2013-14 for old-regime students, before any new scaling factors are incorporated. These worksheets contain cells that institutions need to complete, and can be used for modelling once the scaling factors have been confirmed in early 2013. Further information on these worksheets can be found in Appendix 5.

Data verification

82. When we receive the HESES12 returns, we will review the data and explanations for outstanding credibility checks. Further information on this data verification process can be found in paragraphs 18 to 20 of [Annex E](#).

Sign-off of HESES12 data

83. By 14 January 2013 the vice-chancellor or principal should sign off the institution's HESES12 data. Further guidance on the sign-off of HESES12 data can be found in paragraph 38 of the main guidance and paragraph 21 of [Annex E](#).

Annex B Summary of changes and clarifications since HESES11

1. This annex summarises changes to the Higher Education Early Statistics (HESES) survey since last year. We notified institutions of most of these in 'Early notification of planned changes to HESES and HEIFES and implications for 2012-13 student number control' (HEFCE [Circular letter 15/2012](#)), but there are also a small number of further changes and this annex therefore also identifies where changes were not included in HEFCE Circular letter 15/2012. The changes to be implemented in HESES12 are:

Changes to tables

Tables 1 to 3

2. We are no longer collecting Table 1b in HESES. (We will instead monitor compliance with medical and dental intake targets using the separate Medical and Dental Students survey 2012 that relevant higher education institutions (HEIs) complete in October.)

3. In line with our collection of 2012-13 forecast student numbers on Table 7 of HESES11, we have split the HEFCE-fundable category in all columns of these tables into 'old-regime' and 'new-regime'.

4. We no longer require a separate disaggregation of foundation degree students on these tables. There are therefore only three levels of study (undergraduate, postgraduate taught, and postgraduate research).

5. Media studies is no longer collected as a separate price group. Institutions are required to apportion their media studies students between price groups B, C and D on Tables 1 to 3, according to the proportions specified on their 2012-13 recurrent grant Table L.

Table 4

6. Most data previously collected on Table 4 are no longer required. These data were used to determine assumed fee income in the teaching funding method that applied up to 2011-12, but are not relevant to our funding methods from 2012-13. Instead, Table 4 collects information only on numbers of undergraduates taking a whole year abroad, broken down by mode (full-time or sandwich year-out) and fee status (regulated £0, applying to those on an Erasmus whole year abroad, or regulated half fee, applying to those on a non-Erasmus whole year abroad). Erasmus students are also further disaggregated according to the year in which they commenced their instance, this being a change that was not previously notified in HEFCE Circular letter 15/2012.

Table 5

7. Table 5 collects information that is used largely for government planning, rather than for funding purposes. It was previously restricted to Home and European Union (EU) students, but, as HEFCE Circular letter 15/2012 explained might happen, we have now been asked to extend it to collect information on Island and overseas students.

Table 6

8. Table 6 is used to monitor recruitment against the student number control. We have changed the data we collect in this table to reflect changes to the population covered by the student number control. The control applies to certain categories of students who are studying full-time. In this context, where a student is claiming full-time student support, but does not meet the definition of full-time according to Annex M of HESES12, they should still to be treated as full-time for the purposes of completing Table 6 and they will be counted against the student number control for 2012-13. Table 6 therefore continues to collect largely the same population as in HESES11, but within it we are asking institutions to identify separately those students who are outside the student number control from 2012-13. Annexes D and H provide further guidance on how such students should be recorded.

Table 7

9. Table 7 asks institutions to provide a forecast of their HEFCE-fundable and employer co-funded student numbers for 2013-14. Changes to this table for HESES12 are:

- a. New-regime students are split according to the new price group structure that is being introduced for 2013-14.
- b. Media studies is not collected as a separate price group. Institutions are required to apportion their old-regime media studies students between price groups B, C and D on Table 7, according to the proportions specified in their 2012-13 recurrent grant Table L, and their new-regime media studies students to the new price group C1.
- c. Postgraduate students on courses that are subject to regulated undergraduate fees are identified separately.

10. Annex D gives further guidance on the structure of this table. Institutions should note that changes to Table 7 for HESES12 are likely to be reflected in Tables 1 to 3 of HESES13.

Changes to definitions

The HESES population

11. We have provided new guidance (not included in HEFCE Circular letter 15/2012) to make clear the requirement for institutions to include in their HESES survey the activity of students registered at the institution's connected undertakings as well as the activity of students registered at the institution, except where those connected

undertakings are subject to a separate funding agreement directly with the Council. Further guidance can be found in [Annex F](#) paragraphs 3, 8 and 9.

12. We have amended the guidance on the inclusion in the HESES population of instances where more than half of the active study time for the whole instance is spent outside the UK. The amendment relates to students in receipt of UK student support from the Student Loans Company, and was not included in HEFCE Circular letter 15/2012. See [Annex F](#) sub-paragraph 5e.

13. We have also added a clarification (that was not included in HEFCE Circular letter 15/2012) in relation to the inclusion in HESES of students on courses which the institution has informed the Student Loans Company are being run on its behalf by another institution. See [Annex F](#) paragraph 14.

Residential status

14. [Annexes K](#) and [H](#) provide new guidance (not included in HEFCE Circular letter 15/2012) about the residential status (as overseas or Home and EU) of students from countries that accede to the EU during the year. For 2012-13, this applies to students from Croatia, which is expected to accede to the EU on 1 July 2013. For most Croatian students this will result in a different residential status between Tables 1 to 6 (which apply to the 2012-13 academic year) and Table 7 (the forecast for 2013-14). Further guidance is in paragraph 3 of [Annex K](#) and in footnote 5 to paragraph 23 of [Annex H](#).

15. St-Barthélemy has been added to the list of overseas territories whose students can be classified as Home and EU, referred to in [Annex K](#) paragraph 2. This change arises from Regulation 8 of the Education (Student Fees, Awards and Support) (Amendment) Regulations 2012 (statutory instrument 2012 No. 1653) and was not noted in HEFCE Circular letter 15/2012. The change applies from the 2012-13 academic year.

Funding status

16. We have made changes to the definitions of HEFCE-fundable and non-fundable in the following areas:

- a. In relation to students, particularly new-regime students, who are funded from another EU public source.
- b. In relation to new-regime students on courses that are franchised to institutions that are neither an HEI nor a further education college (FEC) funded from public funds.
- c. In relation to employer co-funded students.

17. From 2012-13, the treatment of students as being non-fundable on the basis that they are fully funded from another EU public source will apply only to old-regime students. Home and EU new-regime students will be treated as fundable, even where they are funded from another EU public source, unless they also come within one or more of the other categories of non-fundable student. However, we have added the following categories of non-fundable students, which apply to some new-regime

students who may be supported from another EU public source:

- a. New-regime students on courses which are provided under a contract with an NHS organisation and which lead on successful completion to professional registration as a dental hygienist, dental therapist, occupational therapist, operating department practitioner, orthoptist, physiotherapist, radiographer or radiotherapist.
- b. New-regime students on a course commissioned and funded by an NHS organisation, where the tuition fee charged to the student is zero, because that NHS organisation is meeting the tuition costs of the course.
- c. Undergraduate and postgraduate taught students at the Open University who are domiciled in Scotland or Wales. Subject to future decisions this may also apply from 2013-14 to the University's students who are domiciled in Northern Ireland.

18. In previous years, we required institutions to seek our permission before they record as fundable students who are franchised to institutions that are not a HEI or FEC supported from public funds. This requirement remains where old-regime students are concerned, because we need to ensure consistency in how we calculate funding that is being phased out over time relating to such students. However, we have removed this requirement to seek our permission from 2012-13 in relation to new-regime students. This means Home and EU new-regime students on courses that are franchised out in this way will be treated as fundable, unless they also come within one or more of the other categories of non-fundable student. Institutions are reminded that where provision is franchised out in whole or part to a non-publicly funded institution, specific designation is required if students on the course are to be eligible for student support³. Institutions seeking or having questions about course-specific designation for such provision should contact the Student Loans Company.

19. We have amended the definition of employer co-funded students from 2012-13 such that it applies only to those aiming for the same qualification as they commenced prior to 2012-13 at the same institution, where the instance counted up to 2011-12 towards the achievement of employer co-funded funding agreement targets. As such, almost all employer co-funded students will fall outside the student number control definition. However, where an undergraduate employer co-funded student was previously studying part-time at the institution, but switches mode in 2012-13 to be full-time, they will count towards the student number control. Such students are the only employer co-funded students who should be included in Table 6.

³ Regulations 5(1)(d) and 139(1)(d) of the Education (Student Support) Regulations 2011 (statutory instrument 2011/1986) allow for automatic designation of full-time and part-time courses respectively only where courses are 'wholly provided by a publicly funded educational institution or institutions in the United Kingdom or provided by such an institution or institutions in conjunction with an institution or institutions outside the United Kingdom.'

20. Further guidance on the funding status of Home and EU students can be found in paragraphs 8 to 11 of [Annex K](#).

Old-regime and new-regime

21. We have amended our definition of old-regime to ensure greater consistency with where students in receipt of student support in 2012-13 have retained their eligibility for student support under the regulations that applied up to 2011-12. We have provided more guidance on what is meant by students who transfer 'on the recommendation of the academic authority'. Further guidance is available in [Annex Q](#).

Recognised HE courses: higher apprenticeships

22. Higher Apprenticeships (also known as Higher Level Apprenticeships) may receive support from public funds through a variety of sources: HEFCE teaching grant for those elements that meet the definition of recognised higher education (HE) courses in [Annex G](#) of HESES; funding from the Skills Funding Agency for study towards other qualifications within apprenticeships; and tuition fees that may be supported through publicly funded loans from the Student Loans Company. Further guidance on when and how activity provided as part of a Higher Apprenticeship should be reported in data returns to us is included in [Annex G](#).

Price groups

23. [Annex L](#) includes a number of changes to price groups, which arise from the new academic cost centre structure of the HESA student record from 2012-13 and the consultation on our teaching funding method from 2013-14. Most of these changes were previously notified in HEFCE Circular letter 15/2012 and they include:

- a. Guidance on the assignment of the new HESA academic cost centres to price groups. For some cost centres, there are differences in these assignments for:
 - i. Tables 1 to 6 and for old-regime students on Table 7.
 - ii. New-regime students on Table 7.
- b. From 2013-14, the splitting of price group C between a higher-cost price group C1 and a lower-cost price group C2, affecting new-regime students reported on Table 7.
- c. The assignment of Media studies to price group C1 and of Sports science and leisure studies to price group C2 from 2013-14, affecting new-regime students reported on Table 7. As explained in paragraphs 5 and 9b of this annex, we are no longer asking for Media studies to be identified as a separate price group: for Tables 1 to 6 and for old-regime students on Table 7, Media studies should be assigned to price groups B, C and/or D using the proportions specified in institutions' 2012 funding agreements.

24. Since the issue of HEFCE Circular letter 15/2012, we have changed the guidance on the assignment to price groups of social work students within the new Social work

and social policy cost centre. Further guidance on this is in paragraphs 11 to 13 of [Annex L](#).

Mode of study

25. We have made a number of changes to [Annex M](#) to clarify how part-time students in receipt of full-time student support should be recorded in HESES. Such students should be treated differently between Table 6 and the other tables. Further guidance can be found in [Annex M](#) paragraphs 7 and 8 and [Annex H](#) paragraph 23, which was not included in HEFCE Circular letter 15/2012.

26. We have also revised (since issuing HEFCE Circular letter 15/2012) the guidance in [Annex M](#) that relates to fees chargeable to full-time and sandwich year-out students to reflect the new regulated tuition fee regime.

Fee categories for Table 4

27. We have revised [Annex P](#) (since issuing HEFCE Circular letter 15/2012) to reflect the changes made to Table 4, which collects data on those undergraduates taking a whole year abroad in 2012-13 as part of their instance.

Process changes

28. The workbook containing the HESES12 tables for completion is in Excel 2007 (file extension .xlsx) and not Excel 2003 (file extension .xls). Institutions which do not use Excel 2007 must ensure they have installed the Microsoft Compatibility Pack so that HESES12 tables can be opened, and subsequently saved in the Excel 2007 file format.

Annex C Sample tables (Excel files)

This annex shows samples of the tables which must be completed by institutions. The workbook containing the actual tables to be completed will be made available via the HEFCE extranet in November 2012.

This annex is available to download as an Excel file on the HEFCE web-site alongside this publication at www.hefce.ac.uk/pubs.HEFCE

Annex D Table and column descriptions

1. This annex provides further information on the tables that must be completed in the Higher Education Students Early Statistics survey 2012 (HESES12) and a description of the columns in each of these tables.
2. All numbers returned in all tables should be counts of years of instance **apart from** where full-time equivalents (FTEs) are required in Columns 4a and 5a in Table 3 and Column 3a in Table 7.
3. The HESES12 workbook contains seven tables for completion, which are described in detail in this annex:

Name of worksheet	HESES12 tables
FTS	Table 1 – Full-time counts of years of instance
OUT	Table 2 – Sandwich year-out counts of years of instance
PT	Table 3 – Part-time counts of years of instance and FTE
FEE	Table 4 – Home and European Union (EU) undergraduate whole years abroad
HEC	Table 5 – Further student breakdowns for planning purposes
SNC	Table 6 – Counts of years of instance monitored for student number control purposes
FOR	Table 7 – 2013-14 forecast of counts of HEFCE-fundable and employer co-funded years of instance and FTE

Tables 1, 2 and 3 – Counts of years of instance and student FTE

4. Tables 1, 2 and 3 correspond to the three modes of study (full-time, sandwich year-out and part-time respectively) defined in [Annex M](#). These tables are mutually exclusive, and taken together should sum to the total number of years of instance countable for the academic year.

What should be included in each column in Tables 1, 2 and 3?

5. Column 1: Number of years of instance countable between 1 August 2012 and 1 December 2012 inclusive. If the student has withdrawn from their year of instance on or before 1 December 2012, their year of instance should not be returned.
6. Column 2: Number of years of instance expected to become countable between 2 December 2012 and 31 July 2013 inclusive. Institutions should make sure that estimates included in this column are made on a reasonable basis, and that supporting evidence for the assumptions is kept for audit purposes. Column 2 should include those years of instance (including non-standard years) expected to start after 1 December 2012. Guidance on when years of instance become countable is given in [Annex H](#).

7. Column 3: Number of years of instance included in Columns 1 and 2 which students will not complete. Students who intermit or are known to have non-completed on or before 1 December 2012 but who have not withdrawn by that date should still be included in Column 1 and in Column 3 as appropriate. Numbers of non-completions should be entered as negative values in the workbook. Institutions should ensure that these estimates are supported by historical data.
8. Column 4: Overall estimated completed years of instance for the academic year. This is the sum of the first three columns; the addition will be carried out automatically in the workbook. This is an estimate of the number of students whose activity is countable in the academic year and who will complete the year of instance.
9. Column 4a (Table 3 only): Estimated FTE for the academic year. This is the sum of the FTE for the years of instance returned in Column 4. [Annex J](#) gives further guidance on determining FTE for part-time courses.
10. Column 5: Estimated completed years of instance for students aiming for the same qualification at the same institution where prior to 2012-13 this counted towards the delivery of employer co-funded student number targets. Provision for students in Column 5 is non-fundable, by virtue of the criterion in sub-paragraph 10b of [Annex K](#). Any students on employer co-funded courses who are non-fundable by virtue of the other criteria in paragraph 10 of [Annex K](#), other than paragraph 10i, should not be included in Column 5. Column 5 is a subset of the non-fundable years of instance recorded in Column 4.
11. Column 5a (Table 3 only): Estimated FTE (that is, the sum of the FTE) for the completed years of instance returned in Column 5. Column 5a is a subset of the non-fundable estimated FTE recorded in Column 4a.
12. Column 4 of Tables 1 and 2 and Column 4a of Table 3, the data on HEFCE fundability, are used in our funding calculations. They will primarily be used to calculate the adjusted allocations for 2012-13 and targeted allocations for 2013-14.
13. Column 5 of Tables 1 and 2 and Column 5a of Table 3 will primarily be used to calculate the adjusted allocations for 2012-13 for employer co-funded old-regime students.

Table 4 – Home and EU undergraduate whole years abroad

14. The data returned in Table 4 are a subset of Home and EU undergraduate students included within Columns 1 or 2 of Tables 1 and 2: those undergraduates taking a whole year abroad in 2012-13 as part of their instance. The data collected is to be disaggregated in terms of two regulated fee categories. Those taking an Erasmus full year abroad should be further disaggregated according to whether their instance commenced in 2011-12 or an earlier year.
15. Further information on how to record years of instance in the appropriate fee level category can be found in [Annex P](#).

What should be included in each column in Table 4?

16. Column 1: Number of years of instance for Home and EU students countable between 1 August 2012 and 1 December 2012 inclusive. The column is broken down by mode of study and fundability status as defined in Annexes M and K.

17. Column 2: Forecast of number of years of instance for Home and EU students expected to become countable between 2 December 2012 and 31 July 2013 inclusive. The column is broken down by mode of study and fundability status as defined in Annexes M and K.

18. Data returned in Table 4 will be used to determine allocations of Erasmus fee compensation for 2013-14: different rates of compensation will apply according to whether the year abroad is taken as the second year of instance, or as a later year. We will also use the information on Table 4 to aid our planning for supporting years abroad from 2014-15.

Table 5 – Further student breakdowns for planning purposes

19. The counts of years of instance in Table 5 are the same as the total counts collected in Columns 1 and 2 of Tables 1, 2 and 3. Table 5 contains the number of years of instance for all modes, split between Home students, 'others entitled to pay Home and EU fees', and Island and overseas. Home students are defined by the DOMICILE field on the HESA student record (that is, codes XF, XG, XH, XI and XK for England, Wales, Scotland, Northern Ireland and UK not otherwise specified, respectively). The data for 'others entitled to pay Home and EU fees', when added to the Home data, should give the totals of all Home and EU students returned in Columns 1 and 2 of Tables 1, 2 and 3.

20. The levels of qualification are grouped differently in this table than in the others. Those on foundation degree bridging courses should be included in 'Other UG degree'. Sub-degree qualifications (that is, excluding Higher National Diplomas) include Higher National Certificates (HNCs), Diplomas of Higher Education (DipHEs), Certificates of Education (CertEds), Diplomas for Teaching in the Lifelong Learning Sector (DTLLS), institutional credits and professional qualifications.

What should be included in each column in Table 5?

21. Column 1: Years of instance countable between 1 August 2012 and 31 July 2013 inclusive. These data are split by mode, then between Home students, others entitled to pay Home and EU fees, and Island and overseas. 'Home students' is defined in paragraph 19 of this annex. In total, these data are the same as the total data returned in Columns 1 and 2 of Tables 1, 2 and 3.

22. Column 2: New entrants included in Column 1 of this table, defined as the first countable year for an instance (see paragraph 27 of this annex). These data are split by mode, then between Home students, others entitled to pay Home and EU fees, and Island and overseas.

23. Column 3: Number of Home and EU years of instance returned in Column 1 for students who are wholly or partially franchised out, broken down by the type of institution involved. The countable years of instance, and not the proportion of the year of study franchised, should be returned where the student is partially franchised out. 'Other inst' applies to provision that is franchised out to an institution that is not an HEI or FEC supported from public funds.

24. When determining whether a student is franchised out, the franchise arrangement for the year of instance and not the whole course should be used. For example, a student on a two-year course that is franchised out only for the whole of the first year would be returned as franchised out in the first year, and not included in the franchised-out column in the second year.

25. See [Annex E](#), paragraphs 10 to 18, for more guidance on collaborative arrangements treated as franchises for HESES purposes.

26. Data returned in Table 5 are collected for planning and monitoring purposes, including those of the Department for Business, Innovation and Skills and the UK Borders Agency.

New entrants

27. For Table 5, students should be classed as new entrants when they first generate a countable year for the instance. Students repeating the first year of a course should not be included as new entrants, whereas those entering directly into the second, or later, year of a course should be. Where students change courses they should only be included as new entrants where this is considered a change in instance – that is, a new commencement date is entered in the HESA student record. This differs from the treatment of students on Table 6.

Table 6 – Counts of years of instance monitored for student number control purposes

28. Table 6 should contain all years of instance that are countable towards the 2012-13 student number control plus those years of instance that are no longer included in the student number control population from 2012-13 (relating to students with AAB+ equivalent entry qualifications and those on courses leading to a first registrable medical or dental qualification. Notwithstanding the AAB policy it is this broader population that we need to monitor at the sector level. All such years of instance where the student has actively studied for two weeks or more should be included. This may require minor adjustments for estimates of the following:

- those who are subsequently found to have withdrawn within two weeks
- those who are subsequently found to have withdrawn before the census date.

The information collected on this table is for a subset of the years of instances in the HESES12 population (as defined in [Annex F](#)). The subset collected on Table 6 differs from the subset collected on Tables 1 to 5. All years of instance meeting the criteria set

out in paragraphs 22 to 38 of [Annex H](#) should be included in Table 6. Depending on the institution concerned, some or all will count towards the student number control that we have set for 2012-13.

What should be included in each column in Table 6?

29. Column 1: Number of years of instance meeting the definition in paragraph 23 of [Annex H](#), where these commenced between 1 August 2012 and 1 December 2012 inclusive. If the student withdrew from the instance within two weeks, the year of instance should not be included. This column is further disaggregated between:

- a. Column 1(a): Estimated years of instance where the student withdraws on or before 1 December 2012 (but after being active for two weeks of study or more).
- b. Column 1(b): Estimated years of instance where the student was still active on 1 December 2012. The number reported should be reduced to take account of students who, although thought to be active on 1 December 2012, are subsequently found to have withdrawn within two weeks of starting the year of instance.

30. Column 2: Number of years of instance meeting the definition in paragraph 23 of [Annex H](#), where these are forecast to commence after 1 December 2012 and before 1 August 2013. These should be adjusted to exclude the forecast numbers of students who will withdraw from the instance within two weeks of starting.

31. Data returned in Table 6 will be used to monitor the student number control for 2012-13.

Table 7 – 2013-14 forecast of HEFCE-fundable and employer co-funded years of instance and FTE

32. Data returned in Table 7 will be used to inform the initial funding allocations for the 2013-14 academic year. All 2013-14 teaching grant allocations for all institutions will, however, be recalculated to reflect the student numbers reported in HESES13 Tables 1 to 3, and grant payments between April and July 2014 determined accordingly (including to correct any under- or over-payment made between August 2013 and January 2014). We expect that further changes will be made in light of final HESA data for 2013-14, following the process described in the main document under 'Formula funding and student number controls', paragraph 13.

33. The data returned in Table 7 are a forecast of the 2013-14 years of instance that are completed by HEFCE-fundable and employer co-funded students whom the institution expects to report in Column 4 of Tables 1, 2 and 3 and Column 4a of Table 3 in HESES13. Table 7 therefore **excludes** students who are non-completions, according to the definition in [Annex I](#).

34. Table 7 contains the forecast number of years of instance for all modes, price groups and two levels (undergraduate including foundation degrees, or postgraduate taught, the latter being further disaggregated between those subject to regulated

undergraduate fees and others) split between old-regime and new-regime students, for HEFCE-fundable and employer co-funded students only. Island and overseas and non-fundable students (other than employer co-funded ones) should not be returned in Table 7.

35. In 2013-14, we will continue to phase out funding for old-regime employer co-funded students. Where they are forecast to continue in 2013-14, such students should be recorded as employer co-funded in Table 7. New-regime students who are on programmes that prior to 2012-13 were employer co-funded should be recorded as HEFCE-fundable in Table 7 if they meet the definition of HEFCE-fundable in [Annex K](#). This means, in particular, that the equivalent or lower qualification (ELQ) exemption for employer co-funded students does not apply to new-regime students; and any such Home and EU students aiming for an ELQ, unless exempt for another reason, should be treated as non-fundable.

What should be included in each column in Table 7?

36. Each Column of Table 7 is split between old-regime and new-regime students. Guidance on these categories is provided in [Annex Q](#).

37. Column 1: Forecast of completed HEFCE-fundable and employer co-funded full-time years of instance for the academic year 2013-14.

38. Column 2: Forecast of completed HEFCE-fundable and employer co-funded sandwich year-out years of instance for the academic year 2013-14.

39. Column 3: Forecast of completed HEFCE-fundable and employer co-funded part-time years of instance for the academic year 2013-14.

40. Column 3a: Forecast of FTE of completed HEFCE-fundable and employer co-funded part-time years of instance for the academic year 2013-14.

Annex E When the tables have been completed

1. Completed workbooks for the Higher Education Students Early Statistics survey 2012 (HESES12) must be uploaded to the HEFCE extranet no later than **noon on Tuesday 11 December 2012**. We will not give extensions to this deadline.
2. This annex explains the data checks that the institution must undertake before uploading the completed workbook to the HEFCE extranet, and also the data checks that we will carry out as part of the data verification process once we have received the completed workbook.

Validation checks on Tables 1 to 7

3. Each worksheet contains a number of validation checks which help to ensure that incorrect data are not submitted. 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 values in the cells which are causing the error will turn red. Below the table, the error will be described in more detail. These errors **must be corrected** before submitting the completed workbook: we will not accept workbooks containing validation failures. If the source of the error cannot be identified, institutions should e-mail us for advice at heses@hefce.ac.uk. The validation checks themselves are described in more detail in Appendix 2.

Credibility checks

4. The data submitted in HESES12 will be used to review teaching funding and monitor recruitment against the student number control for 2012-13, and will inform initial grant allocations for 2013-14. It is therefore important that the data submitted are accurate and suitable for this purpose.
5. The automatic checks that are included in the workbook are not exhaustive. Institutions are expected to conduct their own credibility checks to ensure the data are reasonable prior to submission.
6. The HESES12 workbook contains a series of credibility checks in the form of first-stage credibility warnings on Tables 1 to 7 and automatic check highlighting on the comparison tables to help institutions check data credibility prior to submission. Where first-stage credibility warnings or automatic check highlighting are shown, institutions should check that the data they have entered are correct and meet the guidance and definitions set out in the relevant section of this publication.
7. Once the data have been submitted, we will use these checks and tables to assess if the data are reasonable. Institutions will be asked to explain any apparent anomalies, or to correct data, before verifying the data are correct. This data verification process is described in more detail in paragraphs 18 to 20 of this annex.

First-stage credibility warnings on Tables 1 to 7

8. Each worksheet contains a number of first-stage credibility warnings. These checks are intended to warn institutions that they have entered data which may be (but are not necessarily) erroneous. If potentially erroneous data are detected in a completed worksheet, a message reading **First-stage credibility: Warnings (see below table)** will appear above the column in the table in which there are potentially erroneous data. Below the table, the warning will be described in more detail. Completed workbooks that have first-stage credibility warnings may be submitted; however, institutions must inform us of the reason(s) why the data are credible as described in paragraph 18 of this annex. If the source of the warning cannot be identified, institutions should e-mail us for advice at heses@hefce.ac.uk. The first-stage credibility warnings are described in more detail in Appendix 4.

Automatic check highlighting on the comparison tables

9. The workbook also incorporates a series of comparison tables within the COM1, COM2 and COM3 worksheets. These tables contain comparisons of the data submitted in HESES12 with data submitted in HESES11 and other sources. This information is provided to allow identification of any material changes in data which may indicate errors in the submission.

10. Automatic check highlighting will highlight (in yellow) data which may be (but are not necessarily) anomalous or represent a significant year-on-year change. Completed workbooks that have automatic check highlighting present may be submitted; however, institutions must inform us of the reason(s) why the data are credible as described in paragraph 18 of this annex. If the reason for the highlighting cannot be identified, institutions should e-mail us for advice at heses@hefce.ac.uk. The automatic check highlighting and the comparison tables are described in more detail in Appendix 4.

Grant adjustments worksheet and indicative funding worksheets

11. In addition to the tables which must be completed in the HESES12 workbook (Tables 1 to 7, as described in [Annex D](#)), there is a worksheet called 'HBK' which contains the estimated student number control grant adjustments for 2012-13.

12. Institutions should check the figures shown on this worksheet before uploading the completed workbook to the extranet to ensure that any estimated grant adjustments are not the result of data error. Any queries about estimated grant adjustments should be addressed to the relevant HEFCE higher education policy adviser (HEPA) in the first instance (contact details for HEPAs, searchable by institution, are at www.hefce.ac.uk/contact/contactsforinstitutions/). The worksheet is described in more detail in Appendix 3.

Indicative funding for 2012-13 and 2013-14 worksheets

13. A further two worksheets contain tables that will give the indicative adjusted funding for 2012-13 for old- and new-regime students and the indicative initial funding for 2013-14 for old-regime students, before any new scaling factors are incorporated.

These worksheets contain cells that institutions need to populate, and can be used for modelling once the scaling factors have been confirmed in early 2013. These two worksheets are described in more detail in Appendix 5.

Checklist

14. In November 2012, heads of institutions and HESES contacts will be sent a checklist for use before submission of the completed workbook. This checklist will contain a series of self-check questions to which an institution must be able to answer 'yes' before uploading the completed workbook to the extranet. We also recommend that this checklist is reviewed when final checks are carried out before the data is signed off.

Uploading the workbook to the extranet

15. Heads of institutions and HESES contacts will be issued with a key (unique to their institution and to the HESES12 survey) in November 2012, to enable access to the HESES12 workbook via the HEFCE extranet. Institutions will need to upload the completed workbook to the same web-site no later than **noon on Tuesday 11 December 2012**. In addition to the extranet key, heads of institutions and HESES contacts will be issued with guidance on how to use the extranet.

16. The data do not need to be formally signed off by the vice-chancellor or principal at this stage. However, it is good practice for a senior member of the institution to agree the return prior to submission.

17. Where an institution fails to return data on time, or the returned data are not credible, we may base the allocation of funds on our own estimate of student activity. Institutions that do not submit credible data on time are more likely to be audited.

Data verification

18. Where credibility warnings are present in the submitted workbook (either in the form of first-stage credibility warnings on Tables 1 to 7 or automatic check highlighting on the comparison tables as described in paragraphs 9 to 10 of this annex) institutions must inform us of the reason(s) why the data are credible. An e-mail detailing why the data are credible should be sent to dataverification@hefce.ac.uk by 11 December 2012. Such explanations will inform the subsequent data verification process as detailed below.

19. When we receive the HESES12 returns, we will review the data and e-mailed explanations for outstanding credibility warnings. During December, we will e-mail institutions, attaching their HESES data and the comparison and grant adjustment reports generated from them. Institutions will be asked to:

- verify that the data are accurate, or make corrections
- answer any questions we may have about the data and the explanations already provided

- submit any appeals against student number control grant adjustments.

The timetable for this is tight: if corrections to data are made, we then reissue the data for re-verification by institutions and may ask further questions as appropriate. We expect institutions to answer any questions about data within five working days. We may refuse to revise allocations once data have been verified.

20. Verification checks will be carried out by a small team of data verification specialists at HEFCE. Any questions throughout the data verification process should be e-mailed to dataverification@hefce.ac.uk. This e-mail inbox will be checked by the data verification team regularly. To discuss any queries we raise, or the institution's data, contact the individual named in the initial e-mail that details our queries.

Sign-off of data

21. By 14 January 2013, all institutions must have signed off their HESES data as being correct as at 1 December 2012. The data must be signed off by the head of the institution, who should have an understanding of our data collection requirements, to ensure that the institution has systems capable of producing an accurate, complete return and that the preparer of the return has compiled it competently. If it is anticipated that the head of the institution will be unavailable to sign off the data during the data verification period, institutions should e-mail dataverification@hefce.ac.uk to agree interim arrangements. We will expect the head of the institution to sign off the data on their return. If an institution fails to meet the deadline for signing off data, or we believe the data to be inaccurate, we reserve the right to use our own estimates of data to inform funding allocations (see paragraph 18 of 'Model Financial Memorandum between HEFCE and institutions', [HEFCE 2010/19](#)). We cannot guarantee to increase grant allocations to reflect any amendments to data after 14 January 2013.

Annex F The HESES12 student population

1. This annex defines an 'instance' and explains which student instances should, or should not, be included in the Higher Education Students Early Statistics survey 2012 (HESES12) student population ([Annex H](#) contains guidance on how to count years of instance for students in the HESES12 population). This annex also explains how to treat provision delivered through a collaborative arrangement in HESES.
2. HESES12 records counts of years of instance for students (regardless of age and whether or not the year of instance is being repeated) aiming for a recognised higher education (HE) qualification. An instance is defined as a coherent engagement with the institution by a student aiming towards the award of a qualification(s) or of credit. Paragraphs 4 and 5 of this annex define which student instances should be included in the HESES12 population. Some student instances within this population may generate countable years of instance which are counted in a previous or future HESES survey, but do not generate any years included in HESES12 (see [Annex H](#) for when to count activity). All years of instance counted in HESES12 must relate to a student instance within this population. How and when years of instance are counted varies between the tables (see [Annex H](#)).
3. For the purposes of HESES, 'institution' means the institution including its connected undertakings as defined in paragraphs 8 and 9, unless such connected undertakings are subject to a separate funding agreement directly with HEFCE.
4. Student instances meeting **all** the following criteria should be included in the HESES12 student population:
 - a. At least part of a year of instance in which the student is actively pursuing studies with the institution falls within the academic year (1 August 2012 to 31 July 2013 for Tables 1 to 6, and 1 August 2013 to 31 July 2014 for Table 7). This includes outgoing, but not incoming, exchange students.
 - b. The instance has a course aim of a recognised HE qualification, or an HE-level credit that can be counted towards such a qualification, as defined in [Annex G](#).
 - c. The instance is not being returned on any other institution's HESES or Higher Education in Further Education: Students (HEIFES) survey return for that year of instance.
5. Student instances in **any** of the following categories should **not** be included in the HESES12 student population:
 - a. Instances where the course aim is not a recognised HE qualification, or an HE-level credit that can be counted towards such a qualification.
 - b. Instances where the sole course aim is a National Vocational Qualification. However, instances should be included if they lead to both a recognised HE qualification and a National Vocational Qualification.

Annex F The HESES12 student population

- c. Instances for incoming exchange students.
- d. Instances where the student is franchised in from another institution (see paragraphs 10 to 18 of this annex).
- e. Instances where more than half of the active study time for the whole instance is spent outside the UK (including distance learners outside the UK), unless any of the following apply:
 - i. There is a clear academic reason for studying abroad rather than in the UK. Even where such a reason exists, we must specifically sanction the course as eligible.
 - ii. The student is temporarily and unavoidably abroad and remains liable to UK tax on their earnings, or is a dependant of such a person. This includes members of HM Forces and their dependants.
 - iii. The student is in receipt of UK student support from the Student Loans Company for the year.

Instances for sandwich students working abroad and language year-abroad students should normally be included in the HESES12 student population, because the year abroad will not constitute most of the instance.

- f. If no year of instance for which the student is actively pursuing studies falls at least partly within the academic year 2012-13 (for Tables 1 to 6), or 2013-14 (for Table 7). For standard years of instance this means the student is not actively pursuing any studies within the year. This includes:
 - i. Instances where all years of instance falling in the year are entirely writing up.
 - ii. Instances where the only activity is assessment. This includes students on Overseas Trained Teacher Programmes and some Graduate Teacher Programmes or School Direct Training Programmes (where the programme consists only of a QTS assessment).
 - g. Instances whose course aim is a research qualification awarded primarily on the basis of published works, unless the instance involves a significant amount of research at the institution.
 - h. Instances for students who are on School-Centred Initial Teacher Training (SCITT) programmes.
 - i. Instances that are being returned on any other institution's HESES or HEIFES return.
6. All student instances included in the HESES12 student population must be included in the institution's Higher Education Statistics Agency (HESA) individualised student record, even if this is not normally compulsory under the coverage of the record.
7. Graduate and undergraduate internships are also not part of the HESES12 population, because they are not programmes of study or (in the case of undergraduate

internships) required elements of students' programmes of study. These periods of work experience do not, therefore, constitute (part of) a student instance.

8. An **undertaking** will be regarded as a connected undertaking of the institution if:
 - a. The institution **controls** that undertaking.
 - b. The institution and another undertaking or other undertakings connected with the institution together control that undertaking.
 - c. Another undertaking or other undertakings connected with the institution control that undertaking.
 - d. That undertaking is recognised by us as a connected institution as defined by section 27 of the Teaching and Higher Education Act 1998. Or
 - e. We consider that the sole purpose, or one of the main purposes, of registering students at that undertaking is to avoid those students being included within the institution's student number control limit.

9. For the purpose of paragraph 8:
 - a. An 'undertaking' includes a body corporate, a partnership, an unincorporated association or a trust.
 - b. An undertaking is under the 'control' of another if any of the following apply:
 - i. That other holds a majority of the shares in the undertaking.
 - ii. That other holds a majority of the **voting rights in the undertaking**.
 - iii. That other has the **right to appoint or remove a majority of the board of directors** or other governing body of the undertaking.
 - iv. That other has the **right to exercise dominant influence** over the undertaking by virtue of provisions contained in the undertaking's articles of association or any other constitution, **control contract**, memorandum of understanding or other document regulating the undertaking or any other undertaking.
 - v. That other has the right to a share of more than half the assets, or of more than half the income, of the undertaking.
 - vi. Both are managed on a uniform basis.
 - vii. That other has the power, by any other means, to secure that the affairs of the undertaking are conducted in accordance with its wishes.
 - c. The expressions 'voting rights in an undertaking', 'right to appoint or remove a majority of the directors', 'right to exercise a dominant influence' and 'control contract' have the meanings given in schedule 7 to the Companies Act 2006.

Students taught under partnership, collaborative or similar arrangements

10. Institutions should note that a student is considered to be 'registered' on the HESA student record at the institution that collects the fee for the student.
11. Many students are taught under a variety of collaborative arrangements. For the purposes of HESES12, years of instance that are taught under a partnership arrangement by an institution other than the one they are registered with are treated as franchised. Such franchise arrangements are different from validation arrangements:
 - a. Under a validation-only arrangement, a higher education institution (HEI) provides assurance about the standards of an HE qualification or award, but the student is, for all purposes, a student of the institution that provides the teaching and with whom they will be registered. The teaching institution, rather than the validating institution, is responsible for the quality of the teaching and for including the student as appropriate in data returns, including HESES or HEIFES.
 - b. Under a franchise arrangement, a student is taught under a sub-contractual arrangement by an institution other than the one they are registered with. Often, the franchiser will also be the validating institution, but this may not always be the case: for example, where one further education college (FEC) franchises provision to another, but where the validating body is a university or Pearson Education Ltd (formerly Edexcel). Irrespective of which organisation is the validating body, under a franchise arrangement the student is treated as a student of the registering institution (the franchiser), rather than the teaching institution, and the franchiser is responsible for teaching quality and any data returns relating to the student. Industrial placements, work experience and language years abroad should not normally be regarded as franchised out for the purposes of HESES or HEIFES.
12. Institutions must ensure that no student is included on more than one institution's return to HEFCE for a single year of instance. Where a partnership arrangement (other than a validation arrangement) includes an HEI, the students are usually returned to us by the HEI. Such students should also be returned on the HESA return of the HEI and not on the college's individualised learner record (ILR) returns.
13. Paragraphs 14 to 18 of this annex explain who should return franchised activity to us. The 'HEFCE survey' referred to will be either:
 - a. HEIFES12 for FECs
 - b. HESES12 for HEIs.
14. Where one institution collects a fee for tuition or supervision of research for a student, but the student undertakes all or part of their study at another institution, only the institution that receives the fee should include the student in its HEFCE survey student population. This will mean that all students on courses where the institution has informed the Student Loans Company that the course is being run on their behalf will be included in its HEFCE survey student population, and, where applicable, will count

against its student number control. Such a student is regarded as franchised out by the institution collecting the fee.

15. If a course is run jointly by more than one institution, only the institution that receives the fee should include the student in its HEFCE survey student population.

16. If two institutions receive a fee from a student for a given year of instance, the institution that receives the largest portion should include the student in its HEFCE survey student population. If both institutions receive the same amount, the institutions must ensure that only one of them includes the student in its HEFCE survey student population.

17. In some cases the institution teaching the student may collect the fee on behalf of another institution. Where this is the case, if the fee is transferred directly to another institution, the latter should include the student in its HEFCE survey student population. If the fee itself is not transferred but is used to offset payments between two institutions in respect of the student, this should be treated as if the fee had been transferred.

18. In all the above cases, the student is a student of the franchiser. The institution that includes the student in its HESES12 student population must also return a record to HESA, and its Key Information Set, performance indicators and quality assessments will take account of activity relating to that student as appropriate.

Audit issues

Collaborative arrangements

19. Many institutions are involved in collaborative arrangements with other institutions, for example franchise arrangements with FECs. It is essential that the exchanges of information and communications between all the partners are frequent, timely, open and effective. In particular, we highlight the importance of the registering institution being told promptly by the partner institutions about any withdrawing students. This may require clear protocols among partner institutions regarding exchange of information.

20. The different roles of each partner in collecting and managing data will vary. However, the principle applied at audit is that student data should be managed with equal professionalism at all partner institutions. When entering into partnership arrangements, the systems in operation and the exchange of information should form part of the negotiations and final agreement. It is the responsibility of the registering institution to ensure the quality of all the data it returns, including that relating to activity at its partner institutions.

21. It is also important that students are returned on the HEFCE survey and the HESA student record or the Data Service ILR by the registering institution only. Institutions' student record systems should clearly identify the students eligible to be returned by them, and should ensure that those not eligible are excluded. A registering institution's student record system should contain collaborative students' records in the same way as it does its own students. This will help to ensure that collaborative

students are correctly returned in HESES, and that an audit trail to such students is available.

22. Use of the registering institution's standard forms by partner institutions is strongly encouraged – for example for enrolment, module registration, interruption of studies, change of module, change of programme and withdrawal. This helps to identify clearly which institution a student belongs to, and is especially important where an institution deals with more than one partner institution. It also ensures that the registering institution is collecting all the data it requires for its own purposes.

Inclusion in the return of students who have not fully registered

23. Students who have not fully registered, and for whom there is no evidence of activity by the census date, should not be included within Column 1 of Tables 1 to 3 in the return. Students who have not fully registered by the census date, but for whom there is evidence of activity, may be included in Column 1 of Tables 1 to 3 of the return. However, efforts should be made to ensure that all eligible students are fully registered by the census date.

Annex G Recognised HE courses

1. To be included in the Higher Education Students Early Statistics survey 2012 (HESES12) population and therefore potentially counted in HESES12, a student instance must have a course aim of a recognised higher education (HE) qualification or an HE-level credit that can be counted towards such a qualification (see sub-paragraph 4b of [Annex F](#)). This annex contains further information on what can be classed as a recognised HE course.
2. Recognised HE courses are those defined in paragraph 1 of Schedule 6 of the Education Reform Act 1988. This includes any postgraduate or undergraduate degree, accredited HE diploma or certificate. Other courses leading to professional or vocational qualifications may be included if they are generally recognised as HE qualifications; this does not include National Vocational Qualifications.
3. Student instances that do not lead, upon successful completion, towards a recognised HE qualification, or HE-level credit that can be counted towards one, are excluded from the HESES12 student population.
4. Foundation years, access provision and other provision commonly referred to as 'Level 0', will be classed as part of a 'recognised HE course' only if they are an integrated part of a recognised HE qualification, such that both of the following apply:
 - a. Students are already registered for the recognised HE qualification at the same institution.
 - b. Progression to the recognised HE qualification is guaranteed, subject to satisfactory completion of the foundation year.
5. Free-standing foundation years and other free-standing Level 0 provision are not recognised HE courses. The requirement that students are already registered for the recognised HE qualification at the same institution means that where teaching of the foundation year is undertaken by a different institution, this will be treated as integrated – and therefore within the HESES population – only if it is done under a franchise arrangement from the institution offering the recognised HE qualification.

Funding for Higher Apprenticeships

6. Higher Apprenticeships (also known as Higher Level Apprenticeships) may receive support from public funds through a variety of sources: HEFCE teaching grant for those elements that meet the definition of recognised HE courses; funding from the Skills Funding Agency for study towards other qualifications within apprenticeships; and FE and HE tuition fees that may be supported through publicly funded loans from the Student Loans Company.
7. Only the activity within a Higher Apprenticeship that meets the definition of recognised HE courses given in this annex should be included. This means that where the student has commenced the Higher Apprenticeship but has not yet commenced the recognised HE part of that apprenticeship, they should not be included in HESES.

8. Students studying full-time towards a recognised HE qualification as part of a Higher Apprenticeship should be included in Table 6 when they commence their full-time study towards such undergraduate qualifications and where they also meet the other criteria for inclusion.

9. Where HEIs or franchise partners are also providing other elements of training as part of a Higher Apprenticeship, they should report two instances on the HESA student record for each student on the apprenticeship: one relating to study towards the qualifications, or credits, that meet the definition of recognised HE courses in this Annex and which may be HEFCE-fundable; the other relating to study towards any other qualifications, which may be funded by the Skills Funding Agency. This is necessary to ensure clarity in our respective funding responsibilities.

Annex H Counting student activity

1. This annex gives the definition of a year of instance and explains how to count them in the Higher Education Students Early Statistics survey (HESES). The latter differs between Table 6 and all other tables. This annex includes the criteria for being able to count a year of instance in HESES, the definition of standard and non-standard years of instance, flow diagrams to aid with determining how a year of instance should be counted, and guidance on counting some short courses that are sometimes known as 'summer schools'.

What is a year of instance?

2. Students study towards qualifications over a period of time. This period can be split into one or more years of instance. The first year begins when the student starts studying towards the qualification; the second and subsequent years start on or near the anniversary of this date (to allow for minor variations in term dates). Paragraph 2 of [Annex F](#) defines an 'instance'.

3. HESES counts years of instance for students aiming for recognised higher education (HE) qualifications. This is not the same as counting students. This approach ensures that comparable activity is recorded in the same way, irrespective of when it occurs.

Further notes on years of instance

4. Exceptionally, a student may study towards two or more independent qualifications at the same time. Each instance would then generate its own year of instance which would be countable. Thus, a student studying towards a PhD and an unrelated undergraduate professional qualification would generate two years of instance each year. However, a student studying for several institutional credits that can count towards the same final qualification would generate only one year of instance each year. Usually, independent instances would link to different course aims on the Higher Education Statistics Agency (HESA) student record.

5. Where students complete a foundation degree and then undertake a foundation degree bridging course to enable them to join the final year of an honours degree, the foundation degree bridging course should be treated as an independent course which will generate its own year of instance. However, it will not be a separate instance on the HESA record. See paragraphs 48 to 52 of this annex.

6. Where students are on the Teaching Agency's Student Associates Scheme or a Subject Knowledge Enhancement short course, for HESES purposes they should not be seen as separate instances from the main programme of study. However in the HESA record they will be identified as separate instances.

7. In all cases where a student is studying for two or more separate and independent qualifications each should be returned as a separate instance on the HESA record. Guidance on when separate instances should be generated can be found at

www.hesa.ac.uk under Data collection hub/ C11051 Student/Year-on-year linkage (HIN).

Audit issues

Students incorrectly reported more than once on the HESES return

8. The student record system should be reviewed before data are extracted for the return, to check for duplicate records. This should be normal practice throughout the year, particularly when new student records are being set up on the system. There may, exceptionally, be genuine reasons why a student has two records, and these reasons need to be established. Where it is not correct for a student to have two records, the student record system should be amended at the earliest opportunity.

9. Part-time students are sometimes incorrectly counted as more than one headcount for different modules within the same instance being studied. It is important that if students are only on one instance they should only have one headcount in the return. Processes should be designed to ensure that this is the case. This tends to be particularly relevant to continuing education students.

Counting years of instance

10. To be counted, years of instance must be generated by a student in the HESES12 student population, and meet all the following criteria:

- a. A fee is charged for tuition or supervision of research. Exceptionally, this fee may be waived for individual students based on their particular circumstances. It should not be waived for all students on a course, and the criteria which determine whether fees may be waived should not be tantamount to waiving the fee for all students.
- b. The full-time equivalence (FTE) for the year of instance is at least 0.03.
- c. The student is not writing up a thesis or similar piece of work for the whole of the year of instance. Students are considered to be writing up when they have completed their research work and will not undertake any significant additional research. It is common practice for such students to receive a small amount of supervision, and they may still have access to other facilities at the institution. However, such students should still be treated as writing up.

11. In some cases a fee may not be charged in the current year because a fee for the activity has already been paid in a previous year. This would not be treated as a fee waiver. Rather the student should be treated as having been charged a fee for the year.

Audit issue

Written evidence of fee waivers

12. Where the fee has been waived for a student, written evidence of this must be retained.

How to count years of instance in Tables 1 to 5 and 7

13. The guidance in paragraphs 14 to 20 of this annex applies to Tables 1 to 5 and 7 **only**. For guidance on how to count years of instance in Table 6, see paragraphs 23 to 38.
14. If the student has withdrawn from their year of instance on or before 1 December 2012 (for Tables 1 to 5), or for Table 7, is expected not to complete the 2013-14 academic year, their year of instance should not be returned.
15. For students within the HESES12 student population, there are two types of year of instance: standard and non-standard.
 - a. A standard year is one where all activity for the year of instance is entirely within one academic year (1 August to 31 July). Most undergraduate students are on standard years of instance.
 - b. A non-standard year is one where all activity for the year of instance is **not** entirely within one academic year – that is, the activity for the year of instance crosses from one academic year into the next.

Students whose years of instance are normally standard but in one year undertake a period of work experience should not be treated as non-standard solely because the work experience spans academic years.

16. In both cases, students become countable at the start of each year of instance. The FTE returned should be the FTE for the whole year of instance:
 - a. For students on standard years of instance, the FTE for the whole year of instance will be the same as the FTE for the academic year.
 - b. For students on non-standard years of instance, the FTE for the whole year of instance will not necessarily be the same as the FTE for the academic year. The final academic year during which the student is active will not usually generate a countable year of instance. It will do so, however, if a student undertakes a short period of activity after the anniversary of their commencement date and that activity ends in the same academic year.

Example 1

17. A student starts a degree programme on 21 September 2012, with each year of the course finishing at the end of June. The student becomes countable on 21 September 2012 and, depending on when the activity for the year starts, on or around the anniversary of this date each year.

Example 2

18. A full-time student starts a degree programme in January 2013 and the first year of the course finishes in November 2013. This student would be included in Column 2 of Table 1 in HESES12 for their first year of instance, and similarly be in Column 2 of subsequent HESES returns as they continue their studies.

Example 3

19. A full-time Higher National Diploma (HND) course starts on 5 October 2012 and runs from 5 October to 30 June each year. A student starts the HND programme late, on 7 December 2012, but intends to catch up with the rest of the students on the course and follow the same pattern of activity as them. That student's year of instance starts on 7 December 2012 and on the anniversary of that date in subsequent years. The student should be included in Column 2 of Table 1.

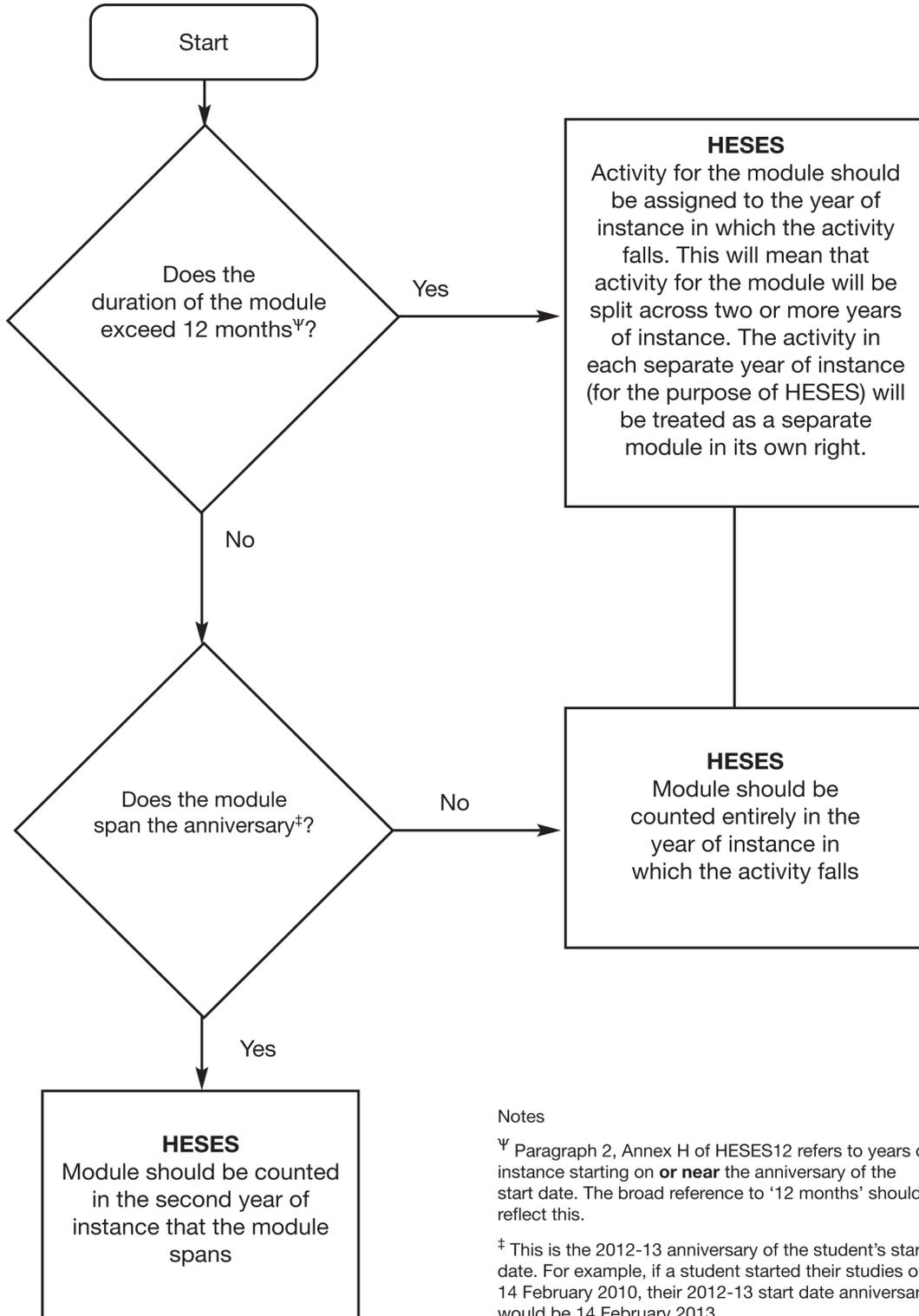
Example 4

20. A full-time student starts in September 2012 intending to study eight modules before June 2013. At the end of the first semester in February 2013 they interrupt the course having completed four modules and return 12 months later to complete the remaining four modules by June 2014. The first year of instance becomes countable in September 2012 and is therefore returned in Column 1 of Table 1 of HESES12. The data entered in Column 3 of Table 1 of HESES12 should reflect a forecast of such students entered in Column 1 or 2 who will intermit (and therefore non-complete) after 1 December 2012. The second year of instance becomes countable at the start of the year of instance in September 2013 (and not in February 2014 when the student returns) and is therefore returned in Column 1 of Table 3 of HESES13 (as the activity in this second year of instance does not meet the criteria to be classed as full-time as set out in paragraph 2 of Annex M).

Assigning modules to years of instance

21. If a module spans two years of instance then all activity for the module should be counted in the second year of instance in which the module occurs. Exceptionally, where the duration of the module is greater than 12 months, the activity for the module should be assigned to the year of instance in which the activity falls. This means that the module is countable across two or more years of instance. In such cases, and for HESES purposes only, the module activity in each year of instance will be treated as a separate module in its own right. The flow chart in Figure H1 can be used to determine which year of instance a module should be assigned to. The flow chart in Figure H2 can then be used to determine whether or not the year of instance should be counted in HESES12, and if so, whether it should be returned in Column 1 or 2.

Figure H1: Flow diagram for assigning modules to a year of instance (applies only to Tables 1 to 5 and Table 7)

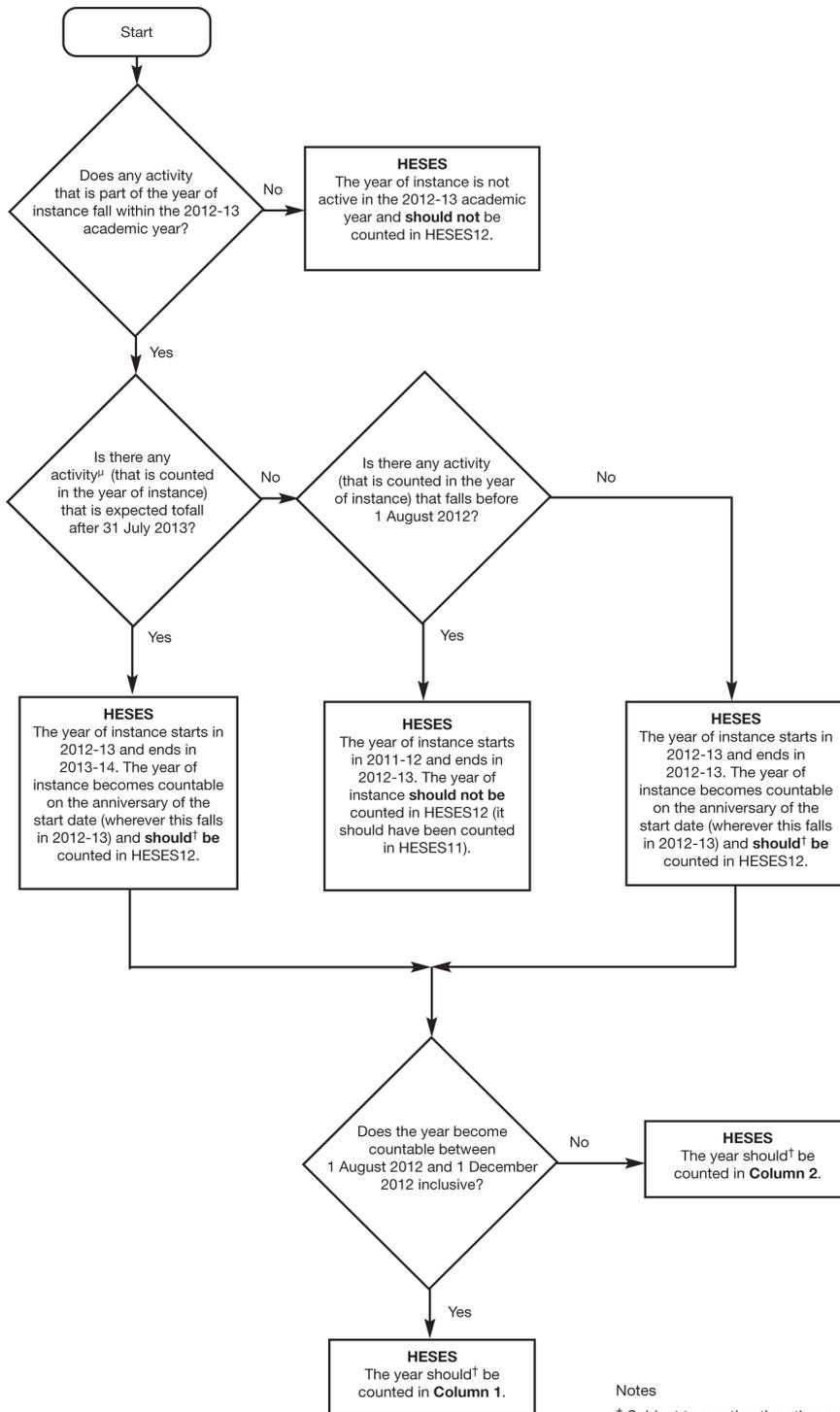


Notes

Ψ Paragraph 2, Annex H of HESES12 refers to years of instance starting on **or near** the anniversary of the start date. The broad reference to '12 months' should reflect this.

‡ This is the 2012-13 anniversary of the student's start date. For example, if a student started their studies on 14 February 2010, their 2012-13 start date anniversary would be 14 February 2013.

Figure H2: Flow diagram for determining whether a year of instance should be returned in Tables 1 to 5 of HESES12 and whether Column 1 or 2 in Tables 1 to 3



Notes
 † Subject to meeting the other conditions required to be counted in HESES.
 ¶ For this purpose, periods of work experience that would cause the year of instance to span academic years should be ignored.

2012-13 student number control population and how to count years of instance in Table 6

22. The guidance in paragraphs 23 to 38 of this annex applies to Table 6 **only**. For guidance on how to count years of instance in other tables, see paragraphs 14 to 20 of this annex.

23. Table 6 collects information on a subset of the years of instances in the HESES12 population (as described in Annex F paragraphs 2 to 5). The subset counted in Table 6 differs from the subset counted in the other tables. For the purposes of the definition of the coverage of Table 6 which follows, part-time students in receipt of full-time student support (as defined in Annex M paragraphs 7 and 8) should be treated as if they were full-time students. Years of instance meeting criteria 23a and 23b below define the students that, at the sector level, we are monitoring for student number control purposes. All of these years of instance should be reported on Table 6, but for most institutions only a subset will count against the student number control limit:

a. Either:

i. They are for HEFCE-fundable or employer co-funded, full-time, undergraduate students⁴ active in the academic year 1 August 2012 to 31 July 2013.

and

The students were not HEFCE-fundable or employer co-funded⁵ full-time, undergraduate students⁴ in either of the preceding two academic years (that is, between 1 August 2010 and 31 July 2012) as students of the same institution. These categories include students who have not completed their year of instance, but nevertheless meet the criteria in HESES12 Annex K paragraphs 8 to 10 to be HEFCE-fundable.

Or:

ii. They are for HEFCE-fundable full-time students⁶ aiming for a Postgraduate or Professional Graduate Certificate in Education (PGCE) commencing an instance in the academic year 1 August 2012 to 31 July 2013.

⁴ Or part-time undergraduate students in receipt of full-time student support as defined in paragraphs 7 and 8 of Annex M.

⁵ Students from accession countries who were studying as full-time undergraduates at the institution in either of the previous two academic years, during which time they met the definition of overseas students, should not be included on Table 6 when their residential status changes to Home and EU following accession.

⁶ Or part-time students in receipt of full-time student support as defined in paragraphs 7 and 8 of Annex M.

- b. The students have not withdrawn from their instance within two weeks of starting; that is, they have undertaken sufficient activity to be required to be included in the HESA return.
24. Terms used in the definitions in paragraph 23 are:
- a. **Employer co-funded:** This applies to years of instance that are HEFCE non-fundable on the basis that the student is aiming for the same qualification at the same institution on an instance that prior to 2012-13 counted towards the delivery of funding or student number targets relating to student numbers co-funded with employers.
- b. **Students who have not been HEFCE-fundable or employer co-funded full-time undergraduates in the two preceding academic years:** students who, during each academic year 2010-11 and 2011-12, have not undertaken full-time undergraduate study; or part-time undergraduate study during which they were in receipt of full-time student support; or if they have, withdrew (on each occasion) within two weeks of starting the instance; or were otherwise 'dormant' during that period. Full-time includes study that, had it been finished, would have been full-time.
- c. **The same institution:** This refers to the 'registering' institution responsible for reporting the student in the HESA student record or the Data Service ILR. Where teaching has been franchised out, the associated (year of) instance is attributable to the franchiser, not the franchisee.
25. Students studying full-time towards a recognised HE qualification as part of a Higher Apprenticeship should be included in Table 6 when they commence their full-time study towards such undergraduate qualifications and where they also meet the other criteria for inclusion.
26. Within Table 6, students should be disaggregated between:
- a. Those who are on courses leading to a first registrable medical or dental qualification.
- b. Those not on courses leading to a first registrable medical or dental qualification who are HEFCE-fundable. This category should be further disaggregated between undergraduates in the 'AAB+ equivalent population'; undergraduates not in the 'AAB+ equivalent population'; and students aiming for a PGCE.
- c. Those not on courses leading to a first registrable medical or dental qualification who are employer co-funded. This category should be further disaggregated between undergraduates in the 'AAB+ equivalent population' and undergraduates not in the 'AAB+ equivalent population'
27. In determining whether a student comes within the AAB+ equivalent population, institutions should disregard any duplication of qualifications of the same type which are in the same subject, such as AS- and A-levels or where students re-take A-levels. In

disregarding such duplication, institutions should ignore the qualification with the lower tariff points. For these purposes, A-levels in both Maths and Further Maths should not be treated as duplicates. Further guidance on the treatment of duplicate qualifications is provided on the HESES frequently asked questions (FAQs) web page at www.hefce.ac.uk/data/datacollection/heses-highereducationstudentsearlystatisticsurvey/ under 'FAQs'.

28. Where entry qualifications are not known, non-medical, non-dental undergraduate students should be recorded on Table 6 as being **not** in the AAB+ equivalent population. Undergraduates in the 'AAB+ equivalent population' means students whose qualification grades on entry are included in the following list:

- a. Best three A-levels (including VCE advanced) or best three Scottish Advanced Highers, with grades of one of the following:
 - A*, A*, A*
 - A*, A*, A
 - A*, A, A
 - A*, A*, B
 - A, A, A
 - A*, A, B
 - A*, A*, C
 - A, A, B
 - A*, A*, D
 - A*, A, C
 - A*, B, B
 - A*, A* and an A at AS-level.

- b. A BTEC National with a grade of:
 - Distinction*, Distinction*, Distinction*
 - Distinction*, Distinction*, Distinction
 - Distinction*, Distinction, Distinction
 - Distinction, Distinction, Distinction.

- c. Grade A from a CACHE Level 3 diploma in Child Care and Education.

- d. Grade D1 from an OCR National Extended Diploma.

- e. A distinction from a NPTC Level 3 Land Based Extended Diploma.

- f. Grade A* from a Progression Diploma.

- g. Best five Scottish Highers with grades of one of the following:
 - A, A, A, A, A
 - A, A, A, A, B
 - A, A, A, B, B
 - A, A, A, A, C
 - A, B, B, B, B

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- A, A, B, B, C
 - A, A, B, B, B
 - A, A, A, A, D
 - A, A, A, B, C
 - A, A, A, C, C
 - A, A, A, B, D.
- h. International Baccalaureate with 35 points or more.
- i. Best four Irish Leaving Certificates with grades of one of the following:
- A1, A1, A1, A1
 - A1, A1, A1, B1
 - A1, A1, A1, A2.
- j. A postgraduate research degree.
- k. A postgraduate taught degree.
- l. A first degree.

29. All institutions are required to disaggregate students in Table 6 in this way, including those specialist institutions in the creative and performing arts that have opted out of the AAB+ and core/margin student number control policies. We require this disaggregation so that we have an understanding, at the sector and institutional level, about the AAB+ equivalent student population.

Example 5

30. A HEFCE-fundable student studied full-time for a foundation degree at a further education college (FEC) in the academic years 2010-11 and 2011-12 and then topped up to a full-time bachelors degree at a higher education institution (HEI) in 2012-13.

- a. If the foundation degree was delivered by the FEC under a franchise arrangement from that HEI, then the student would be considered to be studying at the same institution (the HEI) throughout the period 2010-11 to 2012-13: they should not be included in Table 6.
- b. If the foundation degree was not delivered under a franchise arrangement, but was funded directly at the FEC, then the student would be considered to be a student of the FEC for 2010-11 and 2011-12 and the HEI in 2012-13: because the study is not at the same institution, the top-up to the bachelors degree in 2012-13 should be included in Table 6. To the extent that these top-ups occurred in 2008-09 (the 'base' year originally used for setting student number control limits), the limits that we have set for 2012-13 include them and therefore allow them to continue.

Example 6

31. A student commenced a HEFCE-fundable full-time undergraduate course in September 2011, having never been registered at the institution before. However due to

illness the student withdrew from the course in December 2011 and returned in September 2012 to re-start the course.

- a. The first year of instance (where the student withdrew) **will have counted** towards the 2011-12 student number control limit because the student was a full-time HEFCE-fundable student in academic year 2011-12 (even though they studied for less than 24 weeks) and therefore should have been included in Table 6 of HESES11.
- b. The second year of instance **will not count** towards the 2012-13 student number control limit, because the student was a full-time student in the academic year preceding 2012-13, and therefore should not be returned in Table 6 of HESES12.

Example 7

32. A student commenced a HEFCE-fundable, full-time, undergraduate bachelors degree course in September 2009 which concluded in June 2012. The student then commences a HEFCE-fundable, full-time, PGCE at the same institution in September 2012. The year of instance commencing in September 2012 **will count** towards the 2012-13 student number control (regardless of any previous study at the same institution) as the student is commencing a HEFCE-fundable, full-time, PGCE in the 2012-13 academic year, and should therefore be returned in Table 6 of HESES12.

How years of instance counted on Table 6 differ from other tables

33. Table 6 counts years of instance differently from the other tables. This means that some years of instance counted in Table 6 in HESES12 may not be counted on the other tables. This can occur where students withdraw from their year of instance before 1 December 2012.

34. If a student commences a year of instance that meets the criteria to be included in Table 6 of HESES12 (as set out in paragraph 23 of this annex) but switches to part-time study during this year of instance then, unless the mode switch occurred within two weeks of their year of instance's commencement, this year of instance should be included in Table 6 of HESES12.

35. If instead a student commences a part-time year of instance that, if it were full-time, would meet the criteria to be included in Table 6 of HESES12 (as set out in paragraph 23 of this annex) and the student switches to full-time study during this year of instance, then:

- a. If the switch to full-time study has not occurred early enough in the year for the whole year of instance to meet the definition of full-time (as per the definition in Annex M), this year of instance should be excluded from Table 6 HESES12. However, if the student continues their full-time study into 2013-14, they may then count towards the 2013-14 student number control limit and be included in Table 6 of HESES13 (because their study in the previous academic year will have been treated as part-time).

b. If the switch to full-time study occurred early enough in the year of instance for it to be instead classed as full-time for the entire year of instance (as per the definition in [Annex M](#)), this year of instance should be included in Table 6 of HESES12.

36. Not all students included in the limit will be 'entrants' to the institution (as defined in [Annex D](#) paragraph 27). Exceptions will include: students who have previously studied part-time; students on programmes of study that were not fundable by HEFCE, such as those funded by the NHS or the Teaching Agency; and students who have previously studied full-time but have taken two or more years out.

Example 8

37. A student commenced a HEFCE-fundable, full-time, undergraduate bachelors degree course in September 2011, having never been registered at the institution before. For the first year of instance, the student is classed as non-fundable because they are aiming for an ELQ and are not exempt from the ELQ policy. At the start of the second year of instance in September 2012 they change their stated qualification aim to a foundation degree alone (having decided not to study for the bachelors degree). They are therefore exempt from the ELQ policy, and as a result now classed as HEFCE-fundable. The second year of instance should be included in Table 6 of HESES12, because the student was not classed as HEFCE-fundable in the 2011-12 academic year.

Example 9

38. A student commenced a HEFCE-fundable part-time undergraduate course in September 2011, having never been registered at the institution before. However at the beginning of the second year of instance in September 2012 they switched to studying this course full-time. The second year of instance should be included in Table 6 of HESES12, because the student was not studying full-time in the 2011-12 academic year.

Guidance on filling in the HESA student record

39. Data returned on the HESA record mainly relate to the HESA reporting year and are not disaggregated across years of instance. To allow institutions to return accurate data on activity within years of instance, four fields – INSTAPP, LOADYRA, LOADYRB and MODYR – are included on the HESA record. The latter three fields are optional. For monitoring purposes, where institutions do not complete these fields, we will use the following assumption or approximation. Where a student is active for the whole academic year, we will assume that the FTE for the year of instance is broadly comparable to the FTE for the academic year. Where the student is not active for the whole year, we will make an approximation based on the current year and the FTE of similar final-year students from the current year. Full details of this process can be found in Appendix 1. Institutions should, where possible, avoid making an approximation of activity for the year of instance.

Summer schools

40. Four types of short course are sometimes referred to as 'summer schools'. They are described in more detail below.

Summer schools for potential HE students

41. These are intended for potential HE students to experience a short period of study in an HE environment normally in the summer vacation. Such students are not included in the HESES population because the provision is not HE-level.

Access provision

42. In some cases, institutions offer short preparatory or access courses for individual students to facilitate progression to an initial HE qualification. These courses are taken immediately before the start of their HE qualification. Where such provision is an integral part of an HE-level course, the students are included in the HESES population. See paragraphs 4 and 5 of [Annex G](#) for when such provision is considered integrated. The short access course and the first year of the HE course will typically count as one year of instance. This may result in the year of instance being counted as long, as defined in [Annex O](#).

43. If the access provision is not an integrated part of the HE-level course, it is not HE-level and the students are not part of the HESES population.

Within-course periods of study in vacation time

44. These are short periods of study within a course which generally take place in vacation time, and are normally for students to catch up with others on the course. They are usually between the normal periods of activity for years of instance but within a course. They are counted as part of the preceding year of instance and may result in that year of instance being counted as long, as defined in [Annex O](#).

45. Where the short period of study occurs during the summer vacation, this may cause students who would normally be following standard years of instance to generate a non-standard year for the year that includes the short period. However, for data collection purposes they should be treated as standard years of instance.

Example 10

46. A student studies full-time for a degree over three years, with activity for each year of instance running from October to July. Between the second and third years, a short period of study, running from 25 July to 5 September, is undertaken to bring the student up to the standard of others on the course. This short period of study counts as part of the second year of the degree, and the second year of instance counts as a standard year of instance. The year of instance would only be counted as long if it fitted the criteria to be long, given in [Annex O](#).

47. Such short periods of study should be returned on the HESA student record in the same way they are returned on HESES. That is, they should be included as part of the year of instance preceding the short period of study.

Foundation degree bridging courses

48. These are courses which come after a foundation degree has been completed, but before the final year of an honours degree course. They are short courses which are not an integral part of the course from which they are bridging. Progression is assured from successful completion of a foundation degree bridging course to the final year of an honours degree. For the purposes of HESSES, such a course is counted as a separate year of instance and is returned as part-time with an FTE of 0.3. If the bridging course spans two academic years, it should be recorded in the academic year in which the bridging course ends.

49. Where a student is studying a foundation degree bridging course, the FTE recorded in the STULOAD field on the HESA student record should be increased to reflect this. Where the bridging course spans academic years, the FTE should all be returned in the second academic year; this differs from the method used for other non-standard years of instance. Institutions should also indicate in the BRIDGE field that the student has studied a foundation degree bridging course in the year in which the FTE is increased. It may be that the inclusion of a foundation degree bridging course would mean that the year of instance becomes non-standard. However, where the year would otherwise have been recorded as a standard year of instance, it should still be recorded as such.

Example 11

50. A student completes a foundation degree in June 2012 then undertakes a bridging course from July to September, and then joins the final year of a degree which they complete in June 2013 (see table below).

Field	July 2012	July 2013
COURSEAIM	J10	H00
STULOAD	100	130
TYPEYR	1	1
BRIDGE	0	1

51. Where a student's only activity during the academic year is a foundation degree bridging course, the COURSEAIM field should be returned with a value of H90, I90 or J90 depending on the level of credit awarded for the bridging course (that is, when a student withdraws during or following completion of the course, or where they transfer in from another institution before starting the course).

52. Where a student undertakes a foundation degree and starts a bridging course in the same academic year, but the bridging course is counted in the next academic year, the FUNDCOMP field should reflect whether the student completed the foundation

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degree and will therefore usually be returned with a value of 1. If the bridging course does not continue into the next academic year, the BRIDGE field should be coded as 1 and the FUNDCOMP field should reflect whether the student completed the bridging course. Similarly, where the student progresses to a degree after completion of the bridging course, FUNDCOMP should reflect the completion status of the year of instance of the degree.

Annex I Completion and non-completion

1. This annex explains how to determine the completion status of a year of instance. It includes a number of examples and issues found by our auditors.
2. Completion is defined in terms of modular programmes of study. It applies to all institutions, including those that may not consider their programmes to be modular. For the purposes of the Higher Education Students Early Statistics (HESES) survey, a module is taken to mean a discrete component within a programme of study, sometimes referred to as a unit, course or option. Where a student is studying a number of modules that can all count towards the same qualification, this should be treated as a single instance.
3. Where a student has a clear intention of completing a specified activity within the year of instance, completion is measured against this intention. Therefore institutions should collect information on students' study intentions for the year so that completion status can be assessed appropriately. A student who fails to complete any module counted in the year of instance is to be returned as a non-completion for all activity in that year. Thus, if a student starts the year intending to follow a certain pattern of activity but does not complete all of it, then that student would be a non-completion. However:
 - a. If a student formally switches mode from full-time to part-time as defined in paragraph 10 of Annex M, their completion status should be determined with reference to their revised study intentions.
 - b. If the pattern of activity within the year is not specified, then, provided that the student completes all activity countable in the year, they would be considered as completing.
 - c. An exception is allowed for full-time students where the module is in addition to the standard requirements for full-time study. In this case, a student who completes the number of modules normally required in the year for full-time study may be treated as a completion for the year of instance, even if they fail to complete other modules in the year that are in addition to the standard requirement.
4. Within overall study intentions students may substitute modules without affecting their completion status. In order to be counted as substitute modules:
 - a. The total number of credit points in the substituted module(s) would need to be greater than or equal to that in the original module(s).and
 - b. Either the fees charged will need to remain the same (this will commonly be the case for full-time students), or the entire fee for the original module(s) would need to be refunded and a separate fee charged for the substitute module(s).

5. In order to be counted as a completion (and thus be included in Column 4 of Tables 1, 2 or 3), a student must complete all the modules they intended to complete in the year of instance within 13 calendar months of the start of the year of instance: that is to say within 13 calendar months of the anniversary of their commencement date that defines the start of the year of instance. In order to complete a module, the student must do one of the following:

- a. Undergo the final assessment of the module (this refers to the activity of the student in sitting an exam or submitting coursework rather than the activity of an assessment board in assessing the achievement of the student).
- b. Pass the module, where this can be achieved without undergoing the final assessment because they already have enough marks in that module to be awarded credit for it. In some cases institutional regulations allow credit to be given because of the level attained in other modules; this would not be treated as completion for funding purposes, even though the institution may allow the student to progress.

Example 1

6. A standard year of instance commences on 28 September 2012. Final assessment (which may be either an examination or submission of a final piece of coursework) for a particular module counted within the year of instance takes place in June 2013, with an opportunity to resit/resubmit in September 2013. The student does not take the assessment in June 2013 (for whatever reason and without necessarily agreeing this in advance), but does so for the first time at the resit/resubmission opportunity in September 2013. The module would be treated as completed, because the assessment was taken within 13 calendar months of the 28 September 2012 start of the year of instance.

Example 2

7. A standard year of instance commences on 28 September 2012. Final assessment for a particular module counted within the year of instance takes place only in June each year. The student does not take the assessment in June 2013 (for whatever reason) and has not otherwise passed the module, but does take the assessment at the next opportunity in June 2014. The module would be treated as not completed, because the assessment was not taken within 13 calendar months of 28 September 2012, the start of the year of instance. This would be the case whether or not the student had been given permission to defer their assessment for a year.

Example 3

8. A student studies for eight modules in a year of instance. They undergo the final assessments in seven modules, but do not undergo the final assessment in one, on the basis that they know that they have already passed the module, based on the marks already achieved in that module. In this case, the student would be treated as a completion, because they underwent the final assessments in seven modules and

passed the remaining module, where it was possible to pass without undergoing the final assessment.

Example 4

9. A student studies for eight modules in a year of instance. They undergo the final assessments for all modules, but in one module their performance is insufficient to meet the academic standards required to pass that module. Nevertheless the institution's academic regulations relating to progression allow credit to be awarded for the one failed module on the basis of the student's overall performance across all modules studied in the year. In this case, the student would be treated as a completion, because they underwent the final assessments in all modules. The fact that credit was awarded for a module that was failed is not relevant in determining the student's completion status.

Example 5

10. A student studies for eight modules in a year of instance. They undergo the final assessments for seven modules, but do not undergo the final assessment in one, with the consequence that they do not have enough marks in that module to be awarded credit for it. Whether or not the institution's academic regulations relating to progression allow credit to be awarded for the one incomplete module on the basis of the student's overall performance across all modules studied in the year, the student would be treated as a non-completion for funding purposes for all activity in the year, because they did not undergo the final assessment in a module. The fact that credit was awarded for the module under the institution's academic regulations on the basis of the student's overall performance across the year of instance is not sufficient to meet the completion definition.

Example 6

11. A full-time student has a clear intention of studying for eight modules in a year of instance. Their intention initially was to include one particular module (A), but although they started the module they decide to switch to a different module (B) of equal value. The completion status for the year of instance then depends on completion of module B (rather than module A), together with the other seven modules taken by the student.

Example 7

12. A full-time student starts in September intending to study eight modules within a year of instance. At the end of the first semester they interrupt the course having completed four modules and return 12 months later to complete the remaining four modules. The student would be a full-time non-completion for the first year of instance, because they did not complete four of the modules that they intended to take within the year of instance. They will be a completion for the second year of instance – though this will normally be part-time because they will not normally meet the attendance requirements to be full-time.

13. For the purposes of determining completion, the final assessment is the one that has its first occurrence on the latest normal due date: that is, the timing of re-sits and coursework extensions should be disregarded. Whether an assessment is considered to be the final assessment does not depend on the weight associated with it. For example, if a module is assessed by an exam which accounts for 90 per cent of the marks and the remainder via coursework, with the coursework due after the exam (and not solely by virtue of an extension having been granted), completion should be determined by submission of the coursework rather than attendance at the exam. Where two assessments fall due on the same day and these are the last assessments for the module, undergoing either would constitute completion. Where the final assessments for a module comprise both an assessment at a fixed date for all students (such as an exam) and another assessment at a variable date (such as a performance or presentation), and where the latter may be timetabled for individual students either before or after the fixed assessment, then the fixed assessment should be treated as the final assessment for the purposes of determining completion. A viva-voce examination should not be treated as the final assessment unless all students are required to undertake it.

14. In some cases, a year of instance which counts towards a qualification taken over several years may not contain any formal assessment, for example where assessment will take place at the end of a later year. In this case, where there is no such assessment opportunity within 13 calendar months of the start of the year of instance, then continued attendance throughout the year of instance would constitute completion. Institutions should therefore ensure that adequate evidence of attendance exists, such as class registers.

15. When a student undertakes a module that can lead to a qualification or institutional credit, but does not undergo assessment for that module, in general that student will be treated as a non-completion for all their activity in the year. This applies where assessment is optional (for example on open programmes, including continuing education provision). However, an exception is allowed where the student has entered into a binding and irreversible commitment before the commencement of that module that they will not undergo assessment for it. In this case, the module would not be reported at all in HESES, and the completion status of the student would not be affected by their completion or non-completion of the unassessed module.

16. Where the pattern of activity within the year is not specified, students will occasionally register for modules and subsequently withdraw before the start of the module. Provided the fee for this module is refunded in full, the module would not be reported at all in HESES and the module may be disregarded in determining completion and FTE. Full-time students will not fall into this category as it will not be possible to refund the fee while retaining the full-time fee status of the student.

17. In some cases a student may undertake a module more than once within a year of instance. In determining completion status, institutions must ensure that the module is counted only once. Where the module has been completed on one or more occasions and has also been taken without completion, the completion should be counted for

determining completion and FTE, and the non-completion of the module ignored. Exceptionally a student may take a module in two years of instance and complete the module for the second year of instance within 13 months of the start of the first year of instance. In this case the institution may count the module in either but not both of the years.

18. Where a student's study intentions change partway through the year of instance due to being awarded accredited prior experiential learning (APEL) equivalent to one or more modules, the student's completion status should be judged against these revised study intentions. In some cases the reduced study intentions might mean that the student no longer meets the attendance requirements to be full-time. Provided the student meets the requirements to be treated as a mode switcher (see paragraph 10, [Annex M](#)) they should be treated as a part-time student with completion judged against their revised study intentions.

Example 8

19. A part-time student on a standard year of instance begins a module in October, but withdraws from it after undertaking some activity and before completing the final assessment. The following February (within the same year of instance) the student retakes the module and completes it. The first attempt at the module from October would not be reported at all in HESSES and should be disregarded in determining the completion status for the year of instance.

Example 9

20. A full-time student on a standard year of instance has a clear intention of completing eight modules within the year. One particular module that they start in the first semester is not completed, but the student retakes the module again in the second semester in place of another one, and completes it. Overall, in the first semester, the student completed three modules and began a fourth, which was not completed, and would not be reported in HESSES and which is disregarded for the purposes of determining completion status; in the second semester, the student completed four modules, one of which was a second attempt at the module that was not completed in the first semester. In this case, the year of instance would be a non-completion, because the student completed only seven modules, rather than their overall study intention of eight.

21. In completing the Higher Education Statistics Agency (HESA) record, it should be noted that some students may still have opportunities after 31 July to submit to the final exam within 13 months from the start of their year of instance. Wherever possible, institutions should seek to update their HESA record to reflect the latest known completion status of the student. In doing so, institutions will need to have due regard to HESA's data collection timescales and the need to ensure high-quality returns. We may seek further information from institutions that have high numbers of students with undetermined completion status. Students should be recorded with undetermined completion status only where an opportunity still exists for the student to undergo the

final assessment within 13 months. They should not be treated as undetermined completion status simply because the 13 months have not fully elapsed.

Estimates of non-completions and historical data

22. Institutions should ensure that estimates of non-completion are supported by historical data. Any historical data used in this way should not be skewed by exceptional circumstances such as industrial action affecting exams. Where such exceptional circumstances occur, institutions should ensure that the completion status of students on the HESA record accurately reflects their actual completion status.

Audit issues

Estimation of non-completions

23. Institutions are reminded that forecast student numbers in Table 7 should exclude non-completions in the year – see paragraph 33 of [Annex D](#).

24. 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. Estimates of the number of non-completions should normally be based on the non-completion rate for the previous year for the particular years of the course. Where this is not the case, there should be a clear rationale for any alternative methods used or adjustments made. Where the non-completion rate used in the return differs significantly from past data, there should be a clear rationale for the change. We found cases where institutions were using rates significantly lower than evidence from both their own data and audit, with no reasoning behind this.

25. In some institutions, the continued recording of a student as current on the student record system at an arbitrary date, for example, 1 May or 31 July, is being taken as a proxy for assessing the student completion status for the year. This is not a correct approach.

26. Another misconception is that the completion status of a student should be determined by the institution's individual academic regulations and rules on student progression, and not in accordance with the funding rules for assessment of a student's completion status. Incorrect application of the FUNDCOMP status to student records returned in institutions' HESA returns has produced incorrect data on which subsequent HESES return forecasts have been based.

27. 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 found examples where this has not been the case. Non-completion status should be recorded for the year of instance. Continuation of study to the following year should not be taken as evidence of, or a proxy for, completion in the previous year. In addition, if a student has not formally withdrawn from the institution by the year end, this does not in itself make the student a completion. Completion must be assessed by reference to submission of the final assessment in, or

otherwise passing, all modules the student intended to complete during their year of study.

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

29. A review of the outturn compared with the estimate should be made at the year-end, and reasons sought for any discrepancies. This knowledge can then be used to inform the estimate for the following year.

30. Non-completions should be reported in a timely fashion, and the student record system updated to reflect the student's change in status. Systems should be in place throughout the year to enable identification of students who are missing from or struggling with the course, and steps taken to try to retain them at the institution. Reconciliations should be made with the student record system to ensure that it is up to date and accurately reflects what is being reported elsewhere. We found examples where additional students were on mark sheets but not on the student record system. There were also cases where students had clearly withdrawn, but their records had not been amended on the student record system.

31. Students' records not being updated in a timely fashion has led to their being included in the return when they had already left the institution by the census date.

32. Sufficient data should be recorded at the module level on the main student record system to allow accurate assessment of a student's completion status. This should include, but not necessarily be limited to, identification of the final assessment and the student's submission to it, and the overall outcome for the module. Coding should distinguish between non-submission to an assessment and a very low mark for poor academic performance or misconduct. This level of detail should be readily available to ensure accurate reporting of a student's completion status.

33. In the HESA data, the MODOUT status (module outcome field) of a module should be completed in accordance with these funding rules. The FUNDCOMP status of a student should in turn reflect the overall position of the whole student record for the year.

34. Exception reports should be used to establish whether unlikely combinations of MODOUT and FUNDCOMP status are being reported (for example, a student who has any module recorded as non-completed, but has a FUNDCOMP of 1), so that corrections can be made before data are submitted.

35. It is essential that HESA data, the outturn position for the year, are correct, to enable accurate forecasts of non-completion rates in the following year's HESES return. We consistently find issues with both MODOUT and FUNDCOMP, which are leading to under-reporting of non-completions in subsequent HESES returns.

Assessment of headcount and completion status for part-time students

36. Sometimes, both headcount and completion status of part-time students, particularly those on continuing education courses, are based incorrectly on an individual module extract which does not take into account that a student may be taking more than one module during the year. This will inflate the headcount and may inflate the number of completions as the completion status is judged on a single module rather than an assessment of all modules undertaken by an individual student within the year.

Annex J Full-time equivalence for part-time years of instance

1. This annex explains how full-time equivalence (FTE) for part-time years of instance should be calculated in the Higher Education Students Early Statistics survey 2012 (HESES12). This includes guidance on how to treat students who are exempt from part of a course and full-time students who change mode within the year of instance to become part-time students.
2. Student FTE recorded in HESES12 should relate to the years of instance being counted. In some cases this may not be consistent with the FTE returned on the Higher Education Statistics Agency (HESA) student record. However, it should be consistent with HESA data when summed over the instance.
3. The FTE for a part-time course is calculated by comparison with an equivalent full-time course, where such a course exists. If an equivalent full-time course does not exist, a reasonable academic judgement should be made of the FTE relative to a full-time student. Where such a judgement is made, the rationale should be recorded for audit purposes.
4. Calculation of the FTE can be based on either of the following:
 - a. Duration of the course.
 - b. Credit points studied.

In both cases, when viewed as a whole, the total FTE for a part-time course should equal the total FTE of the equivalent full-time course. Where duration of the course is used, the calculation should be based on the number of years of instance. Where a student repeats a year or enters the second, or later, year of the course directly, the total FTE returned for that student should be increased or decreased to reflect this (see Example 3 in this annex at paragraph 11).

5. Accredited prior learning (APL) modules should be excluded from the calculation of the FTE. A student may be on a full-time programme but due to APL may be studying only at a part-time rate.
6. The FTE for a foundation degree bridging course, as defined in [Annex H](#), paragraphs 48 and 49, is 0.3.
7. Where a student does not complete a year of instance, the FTE should not be recorded on HESES. This is not consistent with the FTE returned on the HESA student record. When comparing the HESA student record with HESES, we will make adjustments to the FTE returned to HESA to reflect years not completed.
8. Where students change mode within the year of instance to become part-time students (see paragraph 10, [Annex M](#)), their FTE should be calculated in the usual way, by comparison with the equivalent full-time course.

Example 1

9. Duration of the course: a full-time course is studied over three years. The equivalent part-time course is studied over six years, and so would have an FTE of 0.5 in each year.

Example 2

10. Credit points: a full-time course is studied over three years, with 120 credits taken each year. The equivalent part-time course lasts six years. Ninety credits are studied in each of the first three years and 30 credits in each of the final three. The FTE would be 0.75 in each of the first three years and 0.25 in each of the final three.

Example 3

11. A student with APL directly enters the second year of a degree course and completes the final two years of the degree in four years. The final two years of a degree if completed full-time would have a total FTE of 2. Therefore, the total FTE for the student is 2 and the FTE in each year is $2 \div 4 = 0.5$.

Example 4

12. A student who starts off as full-time but changes to part-time in the second term of the year of instance, studying at the same rate as a part-time student with an FTE of 0.5 per year of instance, should be returned in the part-time table with an FTE of 0.67. This is made up of 0.33 for the first term and $0.5 \div 3 = 0.17$ for each of the second and third terms, equalling 0.67 in total for the year of instance.

Example 5

13. A 1 FTE part-time course is normally studied over two years. However, each year a small proportion of the students take three years to complete. If there are 100 students on the course and 10 take an extra year to complete, the FTE should be $((90 \times 0.5) + (10 \times 0.33)) \div 100 = 0.48$ and not 0.5.

Audit issue

Incorrect returning of student FTE

14. The sum of the total student FTE allocated to a part-time student should be equivalent, over the duration of the course, to that allocated to a full-time student. We have found examples where this is not the case, because of many factors, including a lack of understanding of what the student FTE is meant to represent.

15. Use of standard part-time load factors is common, because the part-time student activity for the year may not have been ascertained by the census date because of the nature of the study. This can be acceptable practice. However, these standard load factors often do not accurately reflect actual activity for the year. If standard load factors are to be used, there must be clear evidence that, on average, students study at these levels of activity.

16. Some students may study at a lower rate than is the norm for a course. This should be reflected in the FTE. At some institutions, students are able to vary the intensity of study during the year, and institutions may therefore have difficulty predicting this variation. However, we expect institutions to reflect this in their estimates of part-time FTE. See example 5.

17. Where a student plans to study at a full-time rate for a portion of the year, for example only for the first semester, they must be returned as part-time, even though they are 'full-time' for that period of study. The mode of attendance must be established with reference to the activity for the whole year of instance and their FTE reflected correctly.

Annex K Residential and funding status

1. This annex provides guidance on identifying the residential and fundability status of a student for the purposes of the Higher Education Students Early Statistics (HESES) survey. It includes guidance on which students should be classified as Home and European Union (EU) and which are Island and overseas. There is guidance on how to determine the fundability status of students aiming for an equivalent or lower qualification (ELQ) and of those students supported from other EU public sources. It also provides guidance on the attribution of Home and EU students between the fundability categories of HEFCE-fundable and non-fundable.

Home and EU students

2. Students are classified as Home and EU if they can be regarded as eligible students as defined in Schedule 1 of the Education (Fees and Awards) (England) Regulations 2007 (SI 2007 No. 779), as amended. The Education (Fees and Awards) Regulations can be found on the web-site www.legislation.gov.uk by entering the year and number for the statutory instruments in the section 'Search All Legislation'. Students from specified overseas territories may be classified as Home and EU if they meet the criteria set out in those regulations. A list of these overseas territories and countries belonging to the EU is on the HEFCE web-site at www.hefce.ac.uk/data/datacollection/heses-highereducationstudentsearlystatisticssurvey/ under 'FAQs': 'Is there a list of EU and EEA countries?'. Students from Gibraltar should be treated as if they were from a country in the EU. Turkish Cypriots who are recognised by the Government of the Republic of Cyprus as being Cypriot nationals will be eligible to be treated as EU nationals irrespective of where they live in Cyprus. Therefore, providing they hold a Republic of Cyprus passport and meet the residency requirements, they will be considered as Home and EU students.

3. Where a country accedes to the EU during the academic year, years of instance for students from that country should be treated as overseas if they commence before the date of accession, and as Home and EU if they commence on or after the date of accession. For 2012-13 this is expected to apply to the accession of Croatia on 1 July 2013. For the purposes of providing forecast 2013-14 student numbers on Table 7, Croatia should be treated as part of the EU.

4. Students from those countries that are in the European Economic Area (EEA) but not the EU (Iceland, Liechtenstein and Norway) will only be considered in the same way as Home and EU students if they meet the criteria laid down in the above regulations. Students from Switzerland should be treated as if they were from a country that is in the EEA but not the EU.

5. Student Finance England provides a student support helpline to provide advice and guidance on the fees and awards regulations (including eligibility). Where institutions are unsure whether an individual student meets the eligibility requirements

as set out in paragraphs 2 to 4 of this annex, they should contact the student support helpline on 0845 602 0583. If Student Finance England says that the student is eligible, this means that the student is also regarded as Home and EU for HESES purposes.

Island and overseas students

6. All students who fall outside the definition of Home and EU in paragraphs 2 to 4 of this annex should be recorded as Island and overseas. This will include students usually resident in the Channel Islands and the Isle of Man.

Audit issue

Incorrect recording of overseas students

7. Overseas students should be clearly identified on the student record system by the census date, and returned in the 'Island and overseas' columns. We found a number of examples where overseas students were returned in the HEFCE-fundable columns of the return.

HEFCE-fundable students

8. Home and EU students are eligible to be counted towards HEFCE recurrent funds for teaching (HEFCE-fundable) if they are in the HESES population, as defined in Annex F, and they are not excluded by virtue of paragraphs 10 to 35 of this annex.

9. Where a source other than an EU public source is paying the fee, the level of the fee paid does not affect the eligibility of the student to count as HEFCE-fundable.

10. Home and EU students meeting any of the following criteria should be recorded as HEFCE non-fundable (sub paragraphs a and g do not apply to new-regime students):

a. Old-regime students (as defined in Annex Q) on courses which would otherwise be HEFCE-fundable, but whose places are funded at the standard HEFCE rate, or higher, from another EU public source, such as the European Social Fund, Department of Health, NHS or Home Office. In some cases an EU public source may provide funding that is in addition to the mandatory or recommended fees, pro rata for part-time students, but the funding falls significantly short of the HEFCE standard rate per student. In this situation, the total funds received in respect of old-regime students in addition to the fees should be used to calculate the number of old-regime students who (for funding purposes) are assumed to be fully supported from other EU public sources. The remaining students are then eligible for HEFCE recurrent funding (see paragraphs 41 to 47 of this annex for more details).

b. Students aiming for the same qualification at the same institution on instances that prior to 2012-13 counted towards the delivery of funding or student number targets relating to student numbers co-funded with employers.

c. Postgraduate research students. Postgraduate research students who are recorded as non-fundable solely by virtue of this sub-paragraph should be returned as fundable on the Higher Education Statistics Agency (HESA) record. Further guidance on the fundability status of research students can be found in the FUNDCODE field on the HESA student record.

d. Students on Initial Teacher Training (ITT) courses leading to qualified teacher status (QTS), and all students holding QTS who are on an In-service Education and Training (INSET) course. This will include students transferring from courses where funding has been provided by the Teaching Agency for the whole year.

e. Students on pre-registration nursing or midwifery courses, and courses (including postgraduate courses) leading to a recognised professional qualification in dietetics, speech and language therapy, chiropody, podiatry or prosthetics and orthotics. Also, new-regime students on courses which are provided under a contract with an NHS organisation and which lead on successful completion to professional registration as a dental hygienist, dental therapist, occupational therapist, operating department practitioner, orthoptist, physiotherapist, radiographer or radiotherapist.

f. New-regime students on a course commissioned and funded by an NHS organisation, where the tuition fee charged to the student is zero, because that NHS organisation is meeting the tuition costs of the course.

g. Old-regime students (as defined in [Annex Q](#)) on programmes franchised to an institution that is neither of the following:

- i. A higher education institution (HEI) supported from public funds.
- ii. A further education college (FEC) supported from public funds.

except where specific approval has been given. Institutions must ensure that all franchises to any other organisation have been specifically approved by HEFCE before old-regime students are returned as HEFCE-fundable on HESSES.

h. Students on closed courses. These are courses that are not generally available to any suitably qualified candidate, but instead are available only to employees of particular companies or organisations who are meeting the costs of students' studies. As such, there will not be many students on such courses who are claiming student support. Closed courses will commonly not be marketed or advertised in general prospectuses or in course searches on an institution's main web-site, because enrolment on them is not open to the general public. The content of such courses will also commonly be tailored towards the needs of the employers concerned.

i. Students who are aiming for an ELQ, unless they are exempt from the ELQ policy, as defined in paragraphs 12 to 35 of this annex.

- j. Undergraduate and postgraduate taught students at the Open University who are domiciled in Scotland or Wales. Subject to future decisions this may also apply from 2013-14 to the university's students who are domiciled in Northern Ireland.

HEFCE non-fundable students

11. These are students who are Home and EU, as defined in paragraphs 2 to 4 of this annex, but whose place is not considered eligible for recurrent funding for teaching as defined in paragraphs 8 to 10 of this annex.

Students aiming for ELQs

12. Students are considered to be aiming for an ELQ where they are aiming for a qualification that is no higher than one they have already achieved. Therefore, the two key considerations in determining whether a student is aiming for an ELQ are: the academic levels of the qualifications already awarded to the student; and the academic level(s) of the qualification(s) that the student has stated they are aiming for. If the qualifications already achieved are not known the student should be treated as if aiming for an ELQ. As explained in [Annex N](#), where students have currently stated multiple higher education qualification aims as part of the same instance, they should be recorded against the lower aim. Where the student's currently stated qualification aim for that instance is at a higher level than their highest existing higher education (HE) qualification, then none of the study for the year of instance should be treated as study towards an ELQ. Study for a given year of instance which is at the same or lower level than a qualification already achieved, but which is being pursued solely as an integral part of a qualification aim that is higher than the one already achieved, should not be treated as study towards an ELQ.

13. The ELQ policy applies regardless of where a student's previous qualifications were obtained, or how they were financed.

Example 1

14. A student with a stated aim of both a Higher National Diploma (HND) and a degree as part of the same instance should be treated as aiming for an HND for ELQ purposes.

Example 2

15. A student aiming for a first degree has a Higher National Certificate (HNC) as their highest HE qualification already achieved. The student will be awarded an undergraduate certificate if they successfully complete their first year, but this is not a stated aim of the student. The student should not be treated as aiming for an ELQ for any of their years of instance (including the first), because the undergraduate certificate that they will acquire is not a stated qualification aim of the student.

Example 3

16. A student enters with a foundation degree as their highest qualification already achieved and has a stated qualification aim of an honours degree. The student should not be treated as aiming for an ELQ. This would apply both where the student is aiming for the honours degree through, for example, a one-year top-up from the foundation degree, or where the honours degree involves three years of full-time study.

17. In some instances, a student may not be formally awarded a qualification which they have stated as their aim and to which they are entitled, having completed all of the necessary work for that qualification. This may occur, for example, because, while the student has been assessed as eligible for the award, they have not completed the formal process of receiving it. In such cases, the student should be treated for ELQ purposes as if they had been awarded the qualification. The achievement and award of credit should not be treated as a qualification for these purposes.

Students exempt from the ELQ policy for HEFCE funding purposes

18. Students falling into one of the following categories are exempt from the ELQ policy:

- a. They are in receipt of the Disabled Students' Allowance (DSA) for at least some of their year of instance reported in the HESES return. Institutions should make estimates for HESES purposes of the numbers of students whose receipt of the DSA for the year of instance will be confirmed after 1 December 2012.
- b. They have stated that their qualification aim is a foundation degree.
- c. They are on a course of initial or in-service teacher training (in any mode or level of study). In-service teacher training courses are defined as courses for which the primary (but not necessarily the only) purpose is to improve the effectiveness of teachers, lecturers or trainers.
- d. They are on a year of course (in any mode or level of study) for which an NHS bursary is payable. More information on NHS bursaries can be found at www.hefce.ac.uk/data/datacollection/heses-highereducationstudentsearlystatisticssurvey/ under 'FAQs'.
- e. They are on an undergraduate course (in any mode of study) which leads to a first registrable qualification with:
 - i. General Medical Council.
 - ii. General Dental Council.
 - iii. Nursing and Midwifery Council.
 - iv. Health and Care Professions Council for the professions of:
 - chiropodist or podiatrist
 - dietician

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- occupational therapist
 - orthoptist
 - paramedic
 - physiotherapist
 - prosthetist or orthotist
 - radiographer
 - social worker
 - speech and language therapist.
- v. Scottish Social Services Council.
- vi. Care Council for Wales.
- vii. Northern Ireland Social Care Council.
- viii. Royal College of Veterinary Surgeons.
- f. They are on an undergraduate course (in any mode of study) for which the primary (but not necessarily the only) purpose is to improve the effectiveness of practitioners registered with one of the professional bodies listed in sub-paragraph 18e. In the case of the Health and Care Professions Council, this must additionally relate to practitioners in the professions listed in sub-paragraph 18e.iv.
- g. They are on an undergraduate course (in any mode of study) which leads to a professional qualification that has been professionally validated by the National Youth Agency or the Youth Council for Northern Ireland. These are courses leading to qualification to practise as a youth and community worker.
- h. They are on an undergraduate course (in any mode of study) for which the primary (but not necessarily the only) purpose is to improve the effectiveness of professionally qualified youth and community workers.
- i. They are on a full-time undergraduate course which leads on successful completion towards registration with the Architects Registration Board.
- j. They are either registered at an institution in Northern Ireland which receives funding from the Department for Employment and Learning (DEL); or are domiciled in Northern Ireland and registered with the Open University.
- k. They are aiming for a postgraduate research qualification.
19. Home and EU students who are aiming for an ELQ in a strategically important and vulnerable subject (SIVS) should be reported as HEFCE non-fundable unless they are exempt from the ELQ policy by virtue of paragraph 18 of this annex. The targeted allocation that we have provided for SIVS, following the introduction of the ELQ policy, does not in itself give exemption to students aiming for an ELQ in a SIVS.

Example 4

20. A student enters with an honours degree and intends to study for a foundation degree over two years and then top up to an honours degree in one year. If they have a stated qualification aim of both a foundation degree and an honours degree as part of the same instance then the student would be exempt from the ELQ policy in the first two years when studying for the foundation degree. However for the final year, when topping up to an honours degree, the student would be treated as aiming for an ELQ.

Determining level of qualification

21. It is not possible for HEFCE to provide a full hierarchical list of the qualifications that are awarded in the UK or, indeed, elsewhere. In most cases, whether or not a student will be aiming for an ELQ will be clear. However, in a minority of cases, institutions will need to make a reasonable academic judgement about whether or not a student's qualification aim is at a higher level than their existing highest qualification achieved. Institutions should bear in mind the guidance in paragraphs 22 to 35 of this annex.

Framework for HE qualifications

22. The Framework for Higher Education Qualifications in England, Wales and Northern Ireland (second edition published in August 2008) and the Framework for Higher Education Qualifications in Scotland (both available at www.qaa.ac.uk/AssuringStandardsAndQuality/Qualifications/Pages/default.aspx) should generally be used to determine a basic hierarchy of qualifications. Any revisions to those frameworks should be reflected as they are introduced. Further guidance on the use of those frameworks is provided below.

23. In general, institutions should treat qualifications that fall within the same level in these frameworks as being equivalent. However, it may be appropriate in certain circumstances to consider a hierarchy of qualifications within a single level, especially where students are progressing through a succession of qualifications. In particular:

- a. Within Level 7 of the Framework for Higher Education Qualifications in England, Wales and Northern Ireland, it may be appropriate to consider a masters qualification to be at a higher level than a postgraduate diploma, which in turn may be at a higher level than a postgraduate certificate. However, this may not apply in all cases and will depend on the nomenclature adopted by different awarding bodies.
- b. Within Level 6 of the Framework for Higher Education Qualifications in England, Wales and Northern Ireland, it will normally be appropriate to consider a bachelors degree with honours to be at a higher level than a bachelors degree without honours.
- c. Within Level 5 of the Framework for Higher Education Qualifications in England, Wales and Northern Ireland, it will normally be appropriate to consider a

foundation degree bridging course (which gives access to the final year of an honours degree) to be at a higher level than a foundation degree.

24. For a student who already holds an honours degree, their classification in HESES as either undergraduate or postgraduate taught should not, alone, determine whether or not they are aiming for an ELQ. The ELQ policy is about the academic level of qualifications, so it is the level of the final qualification for which the student is aiming that will determine their ELQ status. By contrast, whether or not a student is recorded as postgraduate taught in HESES is determined by whether or not a degree-level qualification is a normal condition of entry, and is not necessarily an indication of the academic level of their study or final qualification aim. In particular, this means that, for a student whose highest qualification already achieved is an honours degree:

a. Where they are undertaking a graduate conversion course, they should be recorded as postgraduate taught, but they should also be considered as aiming for an ELQ. In this context, a graduate conversion course is a course for which a normal condition of entry is an honours degree, but whose academic level is no higher than Level 6 of the Framework for Higher Education Qualifications in England, Wales and Northern Ireland. Some such courses may be designed to give access to postgraduate courses for those whose first degree was in a different subject area.

b. Where they are undertaking an integrated masters programme (such as a four-year Master of Engineering (MEng), Master of Physics (MPhys) or Master of Chemistry (MChem)), they should be recorded as at undergraduate level in HESES, because a degree is not a normal entry requirement for such study. However, with the exception of the MPharm (see paragraph 26), they should not be treated as aiming for an ELQ, because the academic level of the final qualification of the integrated masters programme is at Level 7 of the Framework for Higher Education Qualifications in England, Wales and Northern Ireland. This also means (again with the exception of students who hold an Master of Pharmacy (MPharm)) that a student who holds an integrated masters qualification and who wishes to enrol on a taught postgraduate masters qualification (such as a Master of Arts (MA) or Master of Business Administration (MBA)) should be treated as aiming for an ELQ.

25. As is stated in the Framework for Higher Education Qualifications in England, Wales and Northern Ireland, MAs granted by the universities of Oxford and Cambridge are not academic qualifications. Students holding such awards should be treated as holding a Level 6 qualification, reflecting also whether they are with honours for the purpose of the guidance at sub-paragraph 23b of this annex. A number of universities in Scotland also have a tradition of awarding 'MAs' as opposed to Bachelors of Arts (BAs) at undergraduate degree level. These should also be treated in the same way as bachelors degrees, reflecting also whether they are with honours.

Exceptions to the framework for HE qualifications

26. The MPharm should be treated as a Level 6 qualification for ELQ purposes. This means that:

- a. A student whose highest qualification already achieved is a bachelors degree with honours and who is studying for an MPharm should be treated as aiming for an ELQ.
- b. A student who holds an MPharm as their highest qualification already achieved and who is now studying for a taught postgraduate masters qualification at Level 7 (such as an MA or MBA) should not be treated as aiming for an ELQ.

27. The second edition of the Framework for Higher Education Qualifications in England, Wales and Northern Ireland states (in paragraph 43) that the final outcomes of first degrees in medicine, dentistry and veterinary science typically meet the expectations of the descriptor for a higher education qualification at Level 7. However, for ELQ purposes only, these qualifications should continue to be treated as if they were at Level 6. This means that:

- a. A student whose highest qualification already achieved is a bachelors degree with honours and who is studying for a first registrable degree in medicine, dentistry or veterinary science would be considered to be aiming for an ELQ. However, they are exempt from the ELQ policy by virtue of sub-paragraph 18e of this annex and (assuming they meet all other criteria for that status) can be recorded as HEFCE-fundable.
- b. A student who holds a first registrable degree in medicine, dentistry or veterinary science as their highest qualification already achieved and who is studying on a taught postgraduate masters qualification (such as an MSc or MBA) should not be treated as aiming for an ELQ.

28. All PGCEs (whether Postgraduate Certificates in Education or Professional Graduate Certificates in Education) should be treated, for the purpose of the ELQ policy only, as being equivalent to Level 6. This means that a student whose highest qualification already achieved is a PGCE, and who has no other postgraduate qualification, would not be treated as aiming for an ELQ if they enrolled on a postgraduate masters qualification. Students aiming for a PGCE of either type are exempt from the ELQ policy, as explained in sub-paragraph 18c of this annex.

29. Where students do not have a stated qualification aim and are studying by accumulating credit on a succession of 'courses' or modules, they should not be treated as aiming for an ELQ, if they do not have a previous HE qualification. Such accumulation of credit should be treated as progression towards a final undergraduate qualification. However, if the student has an HE-level qualification (as well as potentially having accumulated undergraduate level credit from recent study), then the student would be treated as aiming for an ELQ if that qualification was at a level that is equivalent to, or higher than, the credit towards which the student was now studying. A similar approach should be adopted where students are accumulating credit at

postgraduate level: credit previously achieved should not generally be used to determine that a student aiming for further postgraduate credit is aiming for an ELQ, but a previous postgraduate-level qualification generally would.

Example 5

30. A student without any prior HE qualification is undertaking a succession of 20 credit-point undergraduate continuing education courses, which are all at the same academic level. After successful completion of such a course, it is open to the student to be awarded a university certificate. If the student completes 120 credit points from such courses, they can be awarded a Certificate of Higher Education. In this example:

- a. A student who has successfully completed a 20 credit-point course, but has not been awarded the university certificate, should not be treated as aiming for an ELQ for any study towards another 20 credit-point course.
- b. Where the student has been awarded a university certificate for successfully completing a 20 credit-point course, then:
 - i. They should be treated as aiming for an ELQ if they are taking another 20 credit-point course, and either have a stated qualification aim of a university certificate or have not stated a qualification aim (that is, they are assumed to be studying towards further credit at the same level as a qualification already awarded).
 - ii. They should not be treated as aiming for an ELQ if they are taking another 20 credit-point course, but have a sole qualification aim of a Certificate of Higher Education. This is because the Certificate of Higher Education would be considered a higher qualification than the university certificate already achieved. If the student has stated qualification aims for both a university certificate and the Certificate of Higher Education, then (following the guidance in paragraph 12), they would be treated as aiming for an ELQ, by virtue of sub-paragraph 30b.i.

31. Institutions may wish to take advice from the National Academic Recognition Information Centre for the UK (UK NARIC, www.naric.org.uk) about the relative level of professional qualifications and those awarded abroad. UK NARIC is the national agency responsible for providing information, advice and expert opinion on vocational, academic and professional skills and qualifications from over 180 countries worldwide.

32. There may be cases where UK NARIC advises that, for example, the academic level of a degree awarded by another country is below that of a degree in the UK. Where this is the case, it is acceptable to treat a student whose highest HE qualification is a degree from that other country, and who is studying for a degree in the UK, as not aiming for an ELQ. Other sources of information that may help in determining the academic level of qualifications can be found at www.hefce.ac.uk/data/datacollection/heses-highereducationstudentsearlystatisticsurvey/ under 'FAQs'.

Reviewing ELQ status

33. In general, whether or not a student is aiming for an ELQ should be reviewed annually, at the start of each year of instance. This is necessary in order to take account of changing student circumstances, such as where a student:

- a. Following two separate programmes of study, receives a qualification for one before the other is complete.
- b. Changes their qualification aim.
- c. Begins to receive the DSA.

In general, and subject to the guidance in paragraph 18a, we would not expect institutions to change the ELQ status of their students within a year of instance.

Example 6

34. A student with no previous HE qualifications is concurrently aiming for a first degree and a part-time two-year HNC. The student completes the degree when they are mid-way through the first year of the HNC. In this example, the student should not be treated as aiming for an ELQ for the first year of the HNC: although they will be awarded a degree part-way through the year, they did not have this qualification when they commenced the first year of instance for the HNC. However, the student should be treated as aiming for an ELQ for their second year of instance for the HNC, because their ELQ status should be reviewed annually to take account of any newly achieved HE qualifications.

Relationship to fee regulations

35. The Student Fees (Qualifying Courses and Persons) (England) Regulations (statutory instrument 2007 No. 778, as amended in particular by statutory instrument 2008 No. 1640), define which categories of students and courses are covered by the regulated undergraduate fee regime – that is, those for whom institutions cannot charge a fee that exceeds prescribed limits, including those stated in their access agreement with the Office for Fair Access. The Education (Student Support) Regulations 2011 (statutory instrument 2011 No. 1986), as amended, define entitlements to student support for 2012-13. Amendments to those regulations in the Education (Student Fees, Awards and Support) (Amendment) Regulations 2012 (statutory instrument 2012 No. 1653) define entitlements to student support for 2013-14. The statutory instrument 2011 No. 1986 contains definitions of ELQs. However, there are some differences in the treatment of students between whether they may be recorded as HEFCE-fundable following the guidance in HESES, and whether or not they are liable to regulated tuition fees or are eligible for student support. In particular, there will be cases where a student can be treated as exempt from the ELQ policy for HEFCE funding purposes, but where they are not covered by the Student Fees (Qualifying Courses and Persons) Regulations – that is, they can, if the institution chooses, be charged a non-regulated tuition fee. We do not, however, expect there to be cases where a student is non-fundable by HEFCE because of their ELQ status, but where the institution is still

restricted to charging a regulated tuition fee. Any questions about these statutory instruments should be raised with the Student Finance England helpline on 0845 602 0583.

Audit issues

Collecting qualification data from students

36. Institutions should ask students to confirm annually that they have not achieved any new qualifications since they last enrolled.

37. Institutions should ensure that their data protection notices allow them, the Government or their respective agents to check the accuracy of personal information provided by students against external data sources including the Student Loans Company and Learning Records Service. For example, they should permit the institution to test whether the student has been reported on earlier HESA or the Data Service's ILR returns of other institutions and to contact those other institutions for confirmation of any qualifications obtained.

Keeping records of how students aiming for ELQs have been identified

38. In all cases, institutions should keep records for audit purposes of how they are identifying students as aiming for an ELQ. This should set out the broad approach adopted by the institution. Where, for individual students, there may be uncertainty as to whether they are aiming for an ELQ, institutions should also keep a record of how they have determined these students' ELQ status.

39. Institutions should take reasonable steps to test the accuracy of the qualifications achieved reported by their students, reflecting the availability of other sources of information, such as data from HESA, ILR, UCAS, the Learning Records Service or the Student Loans Company. This does not require an institution to test the qualifications achieved by all its students. However, we recommend that institutions use a random sample to test the overall accuracy of their data on qualifications achieved, plus selective samples where doubts may exist about the entry qualifications reported by individual students.

Incorrect recording of non-exempt students aiming for an ELQ

40. Students aiming for an ELQ and not covered by an exemption should be clearly identified on the student record system by the census date, and returned in the 'non-fundable' columns. We found a number of examples where such students aiming for an ELQ were returned as HEFCE-fundable.

Determining the number of old-regime students supported from other EU public funds

41. The public funding should first be used to offset any shortfall between the fees charged and the assumed fees. Once this offset has taken place, any remaining public funding should be divided by the standard funding per student and rounded up to the

nearest whole number to find how many old-regime students are non-fundable; the remainder are then fundable.

- a. For institutions that we funded directly in 2011-12, the standard funding per FTE student is the appropriate rate of grant for the institution, and category of student (by price group, mode and level) shown in the file 'Breakdown of funding for teaching including details of funding rates for institutions', available on the HEFCE web-site at www.hefce.ac.uk/whatwedo/invest/institns/annalocns/ by selecting 'For institutions', then 'July 2012 announcement'. The rates to be used are those shown in column I of the 'Rates_mainstream' worksheet.
- b. The assumed fee per FTE is:
 - i. £1,380 for students on full-time and sandwich undergraduate courses (where the student is not on their year-out) and full-time PGCE courses.
 - ii. £1,360 for undergraduates following sandwich courses who are on their sandwich year-out; students on a non-Erasmus, study-related year abroad; students continuing on part-time ITT courses that commenced prior to 1 September 2010; and students on the final year of a full-time undergraduate programme which is normally required to be completed after less than 15 weeks' attendance.
 - iii. £1,380 for other part-time undergraduates.
 - iv. £3,670 for other postgraduate taught students.

42. There is an Excel template on the HEFCE web-site, under 'Is there an Excel template to calculate the number of old-regime students who are non-fundable in individual cases, where there is funding from another EU public source?' at www.hefce.ac.uk/data/datacollection/heses-highereducationstudentsearlystatisticsurvey/ under 'FAQs', which will calculate the number of students who are non-fundable in individual cases.

Example 7

43. There are 10 full-time undergraduate old-regime students supported by £13,800 from a public source. The students are not charged a separate fee and there is no other income. The assumed fees are £1,380 per student, so the public money only covers the fees and all students are fundable.

Example 8

44. There are 10 old-regime full-time undergraduates, all in price group C. The fees for each year are £1,380 paid by the SLC, the student, or a mixture of the two. In addition, a public source puts in £1,000 per student. The assumed fees are fully met by the fees charged, so there is no offset. The standard funding per FTE for such students at this particular institution is £3,392.

Remaining public money	<u>= 10 x £1,000</u>	= £10,000
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Non-fundable students	<u>= £10,000 ÷ £3,392</u>	= 2.9
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Therefore three students are non-fundable, and the remaining seven are fundable.

Example 9

45. There are 50 part-time undergraduate old-regime students in price group C, each with an FTE of 0.5, who pay £100 a year tuition fee, and there is £50,000 from a public source. The standard funding per FTE for such students at this particular institution is £3,392.

Assumed fee per student	0.5 x £1,380	= £690
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Standard funding per student	<u>= 0.5 x £3,392</u>	= £1,696
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Shortfall between fees charged and assumed fees	£690 – £100	= £590
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Remaining public money	<u>= £50,000 – (50 x £590)</u>	= £20,500
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Non-fundable students	<u>= £20,500 ÷ £1,696</u>	= 12.1
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Therefore 13 students are non-fundable, and 37 are fundable.

Example 10

46. As in Example 9, but the fees are £690 a year all paid by the student. Each student pays a tuition fee which is equal to the assumed fee, so there are no tuition fees to make up using the public money. There is £50,000 public money and the standard funding per student is £1,696. Therefore 30 students ($£50,000 \div £1,696 = 29.5$) are non-fundable, and 20 are fundable.

Example 11

47. There are 10 full-time postgraduate old-regime students entirely in price group C. The fees for the year are £4,000; a public body pays half of the fee and the student pays the other half. The assumed fees are £3,670, which leaves £330 (£4,000 – £3,670) of public money per student. The standard funding per FTE for such students at this particular institution is £1,200:

Assumed fee per student		= £3,670
Standard funding per student		<u>= £1,200</u>
Remaining public money	<u>= 10 x (£4,000 – £3,670)</u>	<u>= £3,300</u>
Non-fundable students	<u>= £3,300 ÷ £1,200</u>	<u>= 2.8</u>

Therefore three students are non-fundable, and the remaining seven are fundable.

Annex L Price groups

1. This annex explains how years of instances should be mapped to price groups for the purposes of the Higher Education Students Early Statistics (HESES) survey 2012, including guidance on special cases such as medicine, dentistry, veterinary science, education, sports science and leisure studies, media studies, social work and social policy and computing. Examples are given for cases where a year of instance can be split across price groups and for cases where provision is franchised out.

2. Price groups are defined in terms of academic cost centres. Full details of how to assign departments to cost centres are in 'Assignment of departments to academic cost centres: 2005-06' (HEFCE circular letter [32/2005](#)). The assignment of cost centres to price groups for 2012-13 should be used for all old-regime and new-regime students on Tables 1 to 3 and for old-regime students on Table 7; the assignment of cost centres to price groups for 2013-14 should be used only for new-regime students on Table 7.

Cost centre	Price group(s) for 2012-13	Price group(s) for 2013-14
101 Clinical medicine	A, B	A, B
102 Clinical dentistry	A, B	A, B
103 Nursing and allied health professions	C	C2
104 Psychology and behavioural sciences	C	C2
105 Health and community studies	C	C2
106 Anatomy and physiology	B	B
107 Pharmacy and pharmacology	B	B
108 Sports science and leisure studies	B, C, D	C2
109 Veterinary science	A, B	A, B
110 Agriculture, forestry and food science	B	B
111 Earth, marine and environmental sciences	B	B
112 Biosciences	B	B
113 Chemistry	B	B
114 Physics	B	B
115 General engineering	B	B
116 Chemical engineering	B	B
117 Mineral, metallurgy and materials engineering	B	B
118 Civil engineering	B	B

Annex L Price groups

Cost centre	Price group(s) for 2012-13	Price group(s) for 2013-14
119 Electrical, electronic and computer engineering	B	B
120 Mechanical, aero and production engineering	B	B
121 Information technology, systems sciences and computer software engineering	C	C1
122 Mathematics	C	C2
123 Architecture, built environment and planning	C	C2
124 Geography and environmental studies	C	C2
125 Area studies	D	D
126 Archaeology	C	C1
127 Anthropology and development studies	D	D
128 Politics and international studies	D	D
129 Economics and econometrics	D	D
130 Law	D	D
131 Social work and social policy	C, D	C2, D
132 Sociology	D	D
133 Business and management studies	D	D
134 Catering and hospitality management	C	C2
135 Education	C, D	C2, D
136 Continuing education	D	D
137 Modern languages	C	C2
138 English language and literature	D	D
139 History	D	D
140 Classics	D	D
141 Philosophy	D	D
142 Theology and religious studies	D	D
143 Art and design	C	C1
144 Music, dance, drama and performing arts	C	C1
145 Media studies	B, C, D	C1
999 Cost centre not assignable	D	D

2012-13	
Price group	Cost centres
A	101*, 102*, 109*
B	101*, 102*, 106, 107, 108*, 109*, 110, 111, 112, 113, 114, 115, 116, 117, 118, 119, 120, 145*
C	103, 104, 105, 108*, 121, 122, 123, 124, 126, 131*, 134, 135*, 137, 143, 144, 145*
D	108*, 125, 127, 128, 129, 130, 131*, 132, 133, 135*, 136, 138, 139, 140, 141, 142, 145*, 999
ITT (QTS)	Courses of ITT leading to QTS (TTCID = 1, 8) ⁷
INSET (QTS)	Courses for teachers (TTCID = 5), where the student has QTS (QTS = 3) ⁸

* For definitions see following paragraphs.

2013-14	
Price group	Cost centres
A	101*, 102*, 109*
B	101*, 102*, 106, 107, 109*, 110, 111, 112, 113, 114, 115, 116, 117, 118, 119, 120
C1	121, 126, 143, 144, 145
C2	103, 104, 105, 108, 122, 123, 124, 131*, 134, 135*, 137
D	125, 127, 128, 129, 130, 131*, 132, 133, 135*, 136, 138, 139, 140, 141, 142, 999
ITT (QTS)	Courses of ITT leading to QTS (TTCID = 1, 8) ⁷
INSET (QTS)	Courses for teachers (TTCID = 5), where the student has QTS (QTS = 3) ⁸

* For definitions see following paragraphs.

⁷ Teacher training course identifier on the Higher Education Statistics Agency (HESA) student record.

⁸ Qualified teacher status identifier on the HESA student record.

Special cases

3. Regardless of academic cost centre, students on a sandwich year-out should be recorded in:

- a. Price group C for Tables 1 to 3 and for old-regime students on Table 7.
- b. Price group C2 for new-regime students on Table 7.

Medicine, dentistry and cost centres 101 and 102

4. Medical and dental years of instance recorded in price group A must be generated by students in one of the following categories.

- a. Clinical medical students on the final three years of a first registrable medical qualification for doctors taken at one of these points:
 - i. After the pre-clinical part of the course.
 - ii. After a free-standing pre-clinical course.
 - iii. As part of an integrated pre-clinical and clinical course.
- b. Clinical dental students on the final four years of a first registrable dental qualification for dentists taken at one of these points:
 - i. After the pre-clinical part of the course.
 - ii. After a free-standing pre-clinical course.
 - iii. As part of an integrated pre-clinical and clinical course.
- c. Clinical medical (including clinical psychology) and clinical dental postgraduate taught students, where the course meets the following three criteria:
 - i. The course bears very high costs of at least £15,000 per full-time equivalence (FTE).
 - ii. A substantial proportion of the staff teaching time contributed to the course is provided by medically or dentally qualified, university-funded clinical academic staff who hold honorary contracts with the NHS. This includes general practitioners.
 - iii. Nearly all of the course is taught in a clinical environment.
- d. Research students where the focus of their research is in a clinical environment and the lead supervisor is a clinical academic.

5. Students who meet the criteria in paragraph 4 should have all of their activity for the year of instance attributed to price group A, irrespective of any activity in academic cost centres. All other activity in cost centres 101 and 102 should be returned in price group B.

6. Where, and only where, a postgraduate course meets the criteria set out in paragraph 4, the subject of course aim should be coded as A3 (clinical medicine), A4

(clinical dentistry), C842 (clinical psychology) or C845 (clinical neuropsychology) on the Higher Education Statistics Agency (HESA) student record.

Veterinary science and cost centre 109

7. Undergraduate veterinary science students should be included in price group A if they are in the final five years of a course which leads to eligibility to register to practise as a veterinary surgeon, irrespective of any activity in academic cost centres. All other undergraduate veterinary science activity, including foundation years, should be returned in price group B.
8. To be included in price group A, clinical veterinary science postgraduate taught students must also be on courses which meet the following three criteria:
 - a. The course bears very high costs of at least £15,000 per FTE.
 - b. A substantial proportion of the staff teaching time contributed to the course is provided by veterinary-qualified, university-funded, clinical academic staff.
 - c. Nearly all of the course is taught in a clinical environment.
9. For research students to be included in price group A, the focus of their research must be in a clinical environment and the lead supervisor should be a clinical academic.
10. All other postgraduate activity in cost centre 109 should be recorded in price group B.

Social work and social policy – cost centre 131

11. Students on courses leading on successful completion to registration as a social worker with one of the UK regulatory bodies, and students on courses providing post-registration qualifications for social workers, should be entirely attributed, irrespective of any activity in academic cost centres, to:
 - a. Price group C for Tables 1 to 3 and for old-regime students on Table 7.
 - b. Price group C2 for new-regime students on Table 7.
12. For the purposes of paragraph 11, the UK regulatory bodies are the Health and Care Professions Council (the new name from 1 August 2012 of the Health Professions Council having taken on previous responsibilities of the General Social Care Council), the Scottish Social Services Council, the Care Council for Wales and the Northern Ireland Social Care Council (identifiable on the HESA record where REGBODY = 07, 09, 10, 11 respectively). Post-registration courses for social workers should be coded on the HESA record using COURSEAIM = H76 or M76. Pre-registration courses for social workers will commonly be coded on the HESA record using COURSEAIM = H16.
13. All other activity in cost centre 131 should be attributed to price group D.

Education – cost centre 135, ITT and INSET courses

14. Students on Initial Teacher Training (ITT) courses leading to qualified teacher status (QTS) should be entirely attributed to the ITT (QTS) price group, irrespective of any provision in academic cost centres. Students on ITT courses that do not lead to

QTS, such as Diplomas for Teaching in the Lifelong Learning Sector (DTLLS), Professional Graduate or Postgraduate Certificates in Education (PGCEs) for the post-compulsory education sector and other courses leading to Qualified Teacher Learning and Skills status (TTCID = 2), should be entirely attributed, irrespective of any activity in academic cost centres, to:

- a. Price group C for Tables 1 to 3 and for old-regime students on Table 7.
- b. Price group C2 for new-regime students on Table 7.

15. In-service Education and Training (INSET) courses are defined as courses for which the primary (but not necessarily the only) purpose is to improve the effectiveness of teachers, lecturers or trainers. Students holding QTS on INSET courses should be entirely attributed to the INSET (QTS) price group, irrespective of any activity in academic cost centres and whether or not the Teaching Agency is funding their provision. Students who do not hold QTS but are studying a PGCE for the post-compulsory education sector, a Certificate of Education (CertEd) or a DTLLS as an INSET course should be recorded in price group C on Tables 1 to 3; for Table 7, such students should be recorded in price group C if they are old-regime students and in price group C2 if they are new-regime students. Other students on INSET courses who do not hold QTS should be attributed to price groups in the normal way.

16. Students studying for a foundation degree to become a teaching assistant, whose course has been awarded as part of an additional student number (ASN) exercise, should be returned in price group C on Tables 1 to 3; for Table 7, such students should be recorded in price group C if they are old-regime students and in price group C2 if they are new-regime students. Where students are studying for such a course and it has a high classroom-based element, but has not been awarded as part of an ASN exercise, institutions should seek our permission before recording them in price group C or C2, as appropriate. All institutions seeking this permission should send details of the relevant course to heses@hefce.ac.uk. Institutions should re-apply if there is a material change in the provision.

17. All other activity in cost centre 135 should be returned in price group D.

Sports science and leisure studies – cost centre 108

18. Departments of sports-related subjects – including sports science, sport and exercise sciences, sports and leisure studies, sports and leisure management, and physical recreation (non-QTS) – should be allocated to:

- a. Price groups B, C or D according to the proportions shown on the July 2012 issue of the institution's 2012-13 recurrent grant Table L on Tables 1 to 3 and, for old-regime students, on Table 7.
- b. Price group C2 for new-regime students on Table 7.

Media studies – cost centre 145

19. Departments of media studies should be allocated to:

- a. Price groups B, C or D according to the proportions shown on the institution's 2012-13 recurrent grant Table L on Tables 1 to 3 and, for old-regime students, on Table 7.
- b. Price group C1 for new-regime students on Table 7.

Attribution of computing to cost centres 119 and 121

20. Only computer engineering departments that relate to the development of computer hardware – specification, design (via computer-aided design), simulation, verification, construction and testing of the hardware of computer systems using logic, memory and interconnection technologies – should be included in cost centre 119. All other computing departments should be returned in cost centre 121.

Allocation of years of instance to price groups

21. Years of instance are split between cost centres based on the cost centres returned in the module part of the HESA student record.
22. Except where noted in paragraphs 3 to 20 of this annex, years of instance should be allocated to price groups according to the mix of cost centres in which activity takes place. Student FTE is allocated to cost centres according to the cost centre of the member of staff teaching the module or supervising the activity. This will be described by the modules in the HESA record. Where the activity for a year of instance falls into more than one cost centre, and these cost centres do not fall entirely within one price group, the year should be split among the price groups according to the proportion of activity in each cost centre. Up to two decimal places may be used for this apportionment.
23. Where activity is franchised out for all or part of the provision, if at least one of the following conditions apply then it should be returned in the cost centre(s) most closely matching the academic content of the franchised-out provision:
 - a. The franchised-out student FTE is at least 20 per cent of the total student FTE in the department that arranges the franchise.
 - b. The franchised-out student FTE is at least 100.

Otherwise it may be returned in the cost centre(s) of the department that arranges the franchise. However, if the institution wishes to return the franchised-out FTE in the cost centre(s) most closely matching the academic content of the franchised-out provision, it may choose to do so.

24. Provision that is franchised out may not be naturally attributable to a cost centre in which the institution is usually active. In this case institutions should create a virtual cost centre in which this activity and its related expenditure are returned. If institutions return such activity using cost centre 999 on the HESA record it should be treated as if it falls into price group D.
25. For students taking a whole or part study year abroad, the price group attribution should be determined in the same way as if the provision was franchised out.

26. Institutions should ensure that where a student's provision does not fall entirely within a single cost centre and under a single subject of study, this is clearly specified on the HESA student record. The HESA student record links subjects and cost centres to students through the subjects and cost centres associated with the modules attached to the student. In January 2013 we will compare the FTE returned to cost centres with both:

- the FTE returned on HESES
- the HESA subject of study.

Example 1

27. A student studies engineering in the engineering department and also studies some management in the business and management department. The cost centre of each department along with the subject studied is identified separately on the HESA student record. For HESES purposes this would be returned in price groups B and D.

Example 2

28. A student studies engineering in the engineering department and also studies some management in the engineering department. The engineering department is split between two cost centres, one for its engineering provision and one for its management provision. Each cost centre and subject studied is identified separately on the HESA student record. For HESES purposes this would be returned in price groups B and D.

Example 3

29. A student studies engineering in the engineering department and also studies some management in the engineering department. The department has only one cost centre as the management provision represents a very small proportion of its activity. Both subjects studied are identified separately on the HESA student record. For HESES purposes this would all be returned in price group B.

Example 4

30. If 40 physics students are taught business under a franchise arrangement, and the franchised-out student FTE amounts to 10 FTE out of 40 FTE for the entire physics department (that is, 25 per cent), then the franchised-out FTE should be returned under business and management studies.

Example 5

31. If 40 physics students are taught business under a franchise arrangement, and the franchised-out student FTE amounts to 10 FTE out of 100 FTE for the entire physics department (that is, 10 per cent), then the franchised-out FTE may be returned under physics.

Audit issues

Assignment of departments to cost centres

32. The audits found cases where all academic activity for a department was sometimes assigned to only one cost centre, where it should be split across cost centres. We also found cases where a department was split across cost centres and a standard division was applied, irrespective of the actual split in staff effort for that department. We also found instances where a department was assigned to the incorrect cost centre or price group. We may ask institutions to provide evidence of how they have allocated particular departments to cost centres.

33. As part of the comparison of HESA and HESES data, we examine subject provision by cost centre. This highlights a number of cases where inappropriate allocations have been made, often because of historical allocations of course codes or assignment of departments to cost centres. In addition, some variation in how institutions mapped activity to cost centres has been apparent.

34. Cost centres are defined on the basis of staff so, when determining the cost centre for a given module, the cost centre of the member of staff most directly associated with it should be used. In general, staff will be associated with only a single cost centre even where their department is split across cost centres. In particular, where a department is split across cost centres, it is necessary to identify which modules are taught by individual members of staff in order to assign the student FTE to the appropriate cost centre. In general this approach will not be consistent with pro-rating student FTE to the staff cost centre split. Where two or more members of staff from different cost centres are associated with a particular activity, the student FTE should be split according to the proportion contributed by each member of staff.

35. A regular review of the assignment of departments to cost centres should be carried out to ensure that the latest guidance is being followed.

Apportionment of student FTE to cost centres

36. The allocation of student FTE to cost centres, and therefore to price groups, can present problems where provision for a course is in more than one department and cost centre, or where a department is split across cost centres. If a module or part of a course is provided by a different cost centre to the rest of the course, this should be identified on the HESA record and on HESES by mapping the relevant student FTE to the correct price group. There is more guidance in paragraphs 21 to 31 of this annex.

Annex M Mode of study

1. This annex explains how to determine for the purposes of the Higher Education Students Early Statistics (HESES) survey 2012 the mode of study for a year of instance (full-time, sandwich year-out or part-time), including guidance on how to treat learning in the workplace and work experience when determining mode of study. In general, all students on a given course with a broadly similar pattern of activity, for a given year of instance, should be recorded as having the same mode.

Full-time

2. A year of instance is counted as full-time if it meets **all** of the following criteria:
- a. The student is normally required to attend the institution, or elsewhere, for periods amounting to at least 24 weeks within the year of instance and, during that time, they are normally expected to undertake periods of study, tuition, learning in the workplace, or sandwich work placement that does not meet the criteria to be sandwich year-out, which amount to an average of at least 21 hours per week.
 - b. Full-time fees are chargeable for the course for the year. These include (for both 2012-13 and 2013-14):

For 'current system students'

- i. Regulated fees of up to £9,000 (£6,000 for institutions without a relevant access agreement with the Office for Fair Access (OFFA)) for undergraduates and Postgraduate or Professional Graduate Certificate in Education (PGCE) students who are '2012 cohort students'.
- ii. Regulated fees of up to £3,465 (£1,380 for institutions without a relevant OFFA access agreement) for undergraduates and PGCE students who are not '2012 cohort students'.
- iii. Regulated fees of up to £4,500 (£3,000 for institutions without a relevant OFFA access agreement) for undergraduates that are '2012 cohort students' on courses provided in conjunction with overseas institutions that are not Erasmus exchanges, where study at the home institution is for less than 10 weeks.
- iv. Regulated fees of up to £1,725 (£680 for institutions without a relevant OFFA access agreement) for undergraduates that are not '2012 cohort students' on courses provided in conjunction with overseas institutions that are not Erasmus exchanges, where study at the home institution is for less than 10 weeks.
- v. Regulated £0 for undergraduates who are on full-year outgoing Erasmus exchanges.

For 'old system students'

- vi. Regulated fees of £1,380 for undergraduates and PGCE students.
- vii. Regulated fees of £680 for undergraduates on courses provided in conjunction with overseas institutions that are not Erasmus exchanges, where study at the home institution is for less than 10 weeks.
- viii. Regulated £0 for undergraduates who are on full-year outgoing Erasmus exchanges.

In the above examples, 'current system students', 'old system students' and '2012 cohort students' are defined in the Education (Student Support) Regulations 2011 (SI 2011 No. 1986), as amended. Exceptionally, all or part of the fee may be waived for individual students based on their particular personal rather than course-related circumstances. This does not include cases where fees are reduced because students are studying less intensively than is normally expected for a full-time student. It should not be waived for all students on a course, and the criteria that determine whether fees may be waived should not be tantamount to waiving the fee for all students.

- 3. The full-time category includes all full-time, sandwich and language year-abroad students, other than those falling within the definition of 'sandwich year-out' given below.

Sandwich year-out

- 4. A year of instance is counted as sandwich year-out if it includes a period of work-based experience and meets both of the following criteria:
 - a. The course falls within the definition of 'sandwich' in Regulation 2(10) of the Education (Student Support) Regulations 2011 (SI 2011 No. 1986), as amended. This includes language year-abroad courses where the year abroad is spent working.
 - b. The overall maximum fees are:
 - i. For qualifying '2012 cohort students', those described in Regulation 5b of the Higher Education (Higher Amount) (England) Regulations 2010 (SI 2010 No. 3020), as amended, for institutions with an OFFA access agreement; or those described in Regulation 5b of the Higher Education (Basic Amount) (England) Regulations 2010 (SI 2010 No. 3021), as amended, for institutions without an OFFA access agreement;
 - ii. For qualifying students who are not '2012 cohort students', those described in Regulation 5b of the Student Fees (Amounts) (England) Regulations (SI 2004 No. 1932), as amended by Regulation 3(3) of the Student Fees (Basic and Higher Amounts) (Approved Plans) (England) (Amendment) Regulations 2012 (SI 2012 No. 433), or up to approximately half of the fees that would be chargeable if the student were full-time.

'2012 cohort students' are defined in the Education (Student Support) Regulations 2011 (SI 2011 No. 1986), as amended. Exceptionally, all or part of the fee may be waived for individual students based on their particular personal rather than course-related circumstances. It should not be waived for all students on a course, and the criteria that determine whether fees may be waived should not be tantamount to waiving the fee for all students.

5. Students spending a full year abroad working who are eligible for the regulated £0 fee under the Erasmus scheme should be returned as sandwich year-out. This includes students under the British Council's Language Assistant scheme.

Part-time

6. A year of instance is counted as part-time if it does not meet the requirements to be either full-time or sandwich year-out. This includes Higher National Certificate students who are expected to complete in one year, but whose course is not subject to full-time regulated fees and student support.

Part-time students in receipt of full-time student support

7. Within the part-time category, we are introducing from 2012-13 a sub-category of 'part-time students in receipt of full-time student support'. In this context, full-time student support refers to eligibility for both a full-time tuition fee loan and grant or loan support for maintenance. The sub-category does not, therefore, apply to students on a 'full-time distance learning course' as defined in the Education (Student Support) Regulations 2011 (SI 2011 No. 1986), as amended, because such students are not eligible for maintenance support. For HESES Tables 1 to 5 and 7, this new sub-category should be reported in exactly the same way as all other part-time students. However, this sub-category should be included in HESES Table 6, alongside full-time students, when they meet the criteria for inclusion in that table: they should not be included if they were studying for at least two weeks as HEFCE-fundable or employer co-funded full-time undergraduates of the institution in either 2010-11 or 2011-12.

8. Part-time students in receipt of full-time student support may occur where the year of instance does not meet the HESES attendance requirement to be full-time, but where the student is nevertheless still subject to full-time regulated fees and maintenance loans/grants. These are:

- a. Students on a designated full-time course who are returning after intermission, where the year of instance when they return does not involve attendance of 24 weeks or more. Such students should not, however, be included in Table 6 if they were studying for at least two weeks as HEFCE-fundable or employer co-funded full-time undergraduates of the institution in either 2010-11 or 2011-12 (before their intermission). Where a full-time student intermits after the commencement of a year of instance, their mode of study for that year will still be full-time (but they will commonly be a non-completion, depending on whether, despite the intermission, they have still undergone all the final assessments for the year in accordance with the completion definition in [Annex I](#)).

- b. Students on a designated full-time course who are repeating part of it on a part-time basis for a year of instance or who are otherwise temporarily switching to part-time study but are still claiming full-time student support. Such students should not be included in Table 6 if they were studying for at least two weeks as HEFCE-fundable or employer co-funded full-time undergraduates of the institution in either 2010-11 or 2011-12.
- c. Students attending the final year of a designated full-time course which is ordinarily completed in less than 24 weeks. Such students should not be included in Table 6, if they were studying as HEFCE-fundable or employer co-funded full-time undergraduates of the institution in either 2010-11 or 2011-12.
- d. Any other students who do not meet the HESES attendance requirement to be full-time given in paragraph 2a, but who are treated as full-time for student support purposes, reflecting the fact that there are some differences in the HESES definition of full-time and the student support guidance on full-time status. Any such undergraduate students should be included in Table 6 only if they were not students of the institution in either 2010-11 or 2011-12 studying for at least two weeks as HEFCE-fundable or employer co-funded full-time undergraduates, or as part-time undergraduates in receipt of full-time student support.

Additional guidance on mode of study

9. In some cases a student's mode of study changes between years. For example, the mode of a student on a full-time 18-month course would change from full-time in year one to part-time in year two, where the second year does not have 24 weeks of study. In this case the student's activity would be recorded as 'other full-time' in year two on the HESA student record.

Students who change from full-time to part-time within a year of instance

10. Where full-time students change mode within the year of instance to become part-time students, the year of instance should be recorded as part-time only. This applies only where the student continues to study actively on their year of instance, where there is a formal process for agreeing the change in mode, including confirmation by the student and a recalculation of their tuition fee to reflect their part-time status. It may also result in the student losing entitlement to full-time student support. Their FTE should be calculated in the usual way, by comparison with the equivalent full-time course. Students should not be excluded from Table 6 solely on the basis that they have changed from full-time to part-time (see [Annex H](#), paragraph 34 and [Annex I](#), paragraph 3a).

Example 1

11. A student starts off as full-time but changes to part-time in the second term of the year of instance, studying at the same rate as a part-time student with an FTE of 0.5 per year of instance. They should be returned in the part-time table with an FTE of 0.67.

This is made up of 0.33 for the first term and $0.5 \div 3 = 0.17$ for each of the second and third terms, equalling 0.67 in total for the year of instance. More guidance on assigning student FTE for part-time years of instance is in [Annex J](#). Depending on their circumstances, particularly if this was the first year of instance on an undergraduate programme, the year of instance may still need to be included on Table 6, because more than two weeks of full-time study were completed.

Treatment of learning in the workplace and work experience for the purposes of determining mode of study

12. For the purposes of meeting the attendance definition for a full-time course, full-time study can include learning in the workplace, where this is a course requirement. Such learning is frequently a feature of foundation degrees, and may also occur in other programmes. Learning in the workplace is a structured academic programme, controlled by the higher or further education institution, and delivered in the workplace by academic staff of the institution, staff of the employer, or both.

13. Unlike work experience, which is one element of a course such as a sandwich placement (whether for the whole or part of a year), learning in the workplace is at the heart of a student's learning programme and must be subject to the same level of academic supervision and rigour as any other form of assessed learning. It includes:

- the imparting of relevant knowledge and skills to students
- opportunities for students to discuss knowledge and skills with their tutors
- assessment of students' acquisition of knowledge and skills by the institution's academic staff, perhaps jointly with an employer.

14. Learning in the workplace should be regarded as substituting for learning that under other circumstances would normally take place within the institution. The inclusion of an element of learning in the workplace should, therefore, not extend the normal duration of a course.

15. Institutions should note paragraph 4 of [Annex O](#), which states that if the year of instance is 45 weeks or more in length because of a period of work-based study, then the year of instance is not counted as long. This applies to both learning in the workplace and work experience. Sandwich years-out cannot therefore be recorded as long, and we would also not generally expect foundation degrees to be recorded as long.

Audit issue

Recording the incorrect mode of attendance if a student is only active for part of a year

16. In general, where a student plans to study at a full-time rate for a portion of the year, for example only for the first semester, they must be returned as part-time, even though they are 'full-time' for that period of study. The mode of attendance must be established with reference to the intended activity for the whole year of instance.

17. We have found cases where students are on a full-time programme but due to accredited prior learning are studying at a part-time rate, and have been incorrectly recorded as full-time.

Annex N Level of study

1. This annex explains how to determine a student's level of study (undergraduate or postgraduate) for the purposes of the Higher Education Students Early Statistics (HESES) survey 2012. It also explains how the undergraduate data on Table 5 are split, and how to disaggregate postgraduate students between postgraduate taught and postgraduate research.

Undergraduate

2. Undergraduates are students studying towards a first degree (including foundation degree), higher education (HE) certificate, HE diploma or equivalent (or registered for an institutional HE-level credit that can be counted towards one of these qualifications).

3. The undergraduate data in Table 5 are split between:

- students on Higher National Diploma (HND) courses
- students on sub-degree level courses excluding HNDs (such as those aiming for an Higher National Certificate (HNC), Diploma of Higher Education (DipHE) or Certificate of Education (CertEd))
- students on foundation degree courses
- students on another undergraduate degree (excluding foundation degrees but including foundation degree bridging courses).

4. Where a student registers for credits without stating a qualification aim, and where those credits may count towards either an undergraduate degree or a sub-degree qualification level, they should be counted as sub-degree level.

5. Where students have stated multiple qualification aims as part of the same instance, they should be recorded against the lower aim. For example, a student registered for an HND and a degree should be recorded as HND.

Postgraduate

6. Postgraduate students are registered for courses or credits where a normal condition of entry is that entrants are already qualified to degree level: that is, already qualified at Level 6 of the Framework for Higher Education Qualifications in England, Wales and Northern Ireland, published by the Quality Assurance Agency for HE (QAA). There are two groups: research and taught.

- a. Postgraduate research students are students whose qualification aim is a research-based higher degree. A research-based higher degree is a postgraduate programme comprising a research component (including a requirement to produce original work) which is larger than any accompanying taught component when measured by student effort. The arrangements for assuring and maintaining the academic standards and enhancing the quality of these programmes should

be fully compliant with section 1 of the QAA's code of practice for the assurance of academic quality and standards in higher education (postgraduate research programmes).

b. Postgraduate taught students are those who are postgraduates but do not meet the requirements to be a research student.

7. Postgraduates include those on graduate conversion courses and all PGCEs (whether Postgraduate or Professional Graduate Certificate in Education).

8. In Table 7 we are disaggregating postgraduate taught students between those who are eligible under the undergraduate student support regime and all others. The former applies only to students aiming for a PGCE and some students studying architecture.

Annex O Long years of study

1. This annex explains how to determine if a year of instance should be classed as 'long' for the purposes of the Higher Education Students Early Statistics (HESES) survey 2012, both for full-time and part-time years of instance. It also contains guidance on how to treat learning in the workplace and work experience when determining the length of a year of instance, as well as examples of how to treat mixed-length courses.

Full-time students

2. For full-time courses, the year of instance will be classified as 'long' if:
 - a. Students are normally required to attend for 45 weeks or more within that year of instance, or
 - b. The year of instance includes a within-course short period of study, awarded as a summer school through a bidding exercise for additional student numbers (ASNs) and explicitly notified by HEFCE.
3. When determining length, students are deemed to be attending the institution if they are actively pursuing full-time studies towards the qualification. Years of instance that are not long are referred to as standard length.
4. If the year of instance is 45 weeks or more in length because of a period of work-based study, then the year of instance is not counted as long. This applies to both learning in the workplace and work experience. Sandwich years-out cannot therefore be recorded as long, and we would also not generally expect foundation degrees to be recorded as long.

Example 1

5. A full-time student on a foundation degree studies for 47 weeks in the year of instance, but 10 of these weeks are work-based study. The year of instance is not counted as long, because without the work-based study the number of weeks studied within the year of instance is 37. Similarly a full-time student on a foundation degree studies for 47 weeks in the year of instance entirely in the workplace. The year of instance is not counted as long.

6. For undergraduate students, long courses will typically be accelerated programmes where the qualification is achieved in a much shorter period than is normal for that qualification. The number of credit points studied in the year is not a criterion in the definition of a long year of study.
7. For postgraduate students, most long courses will be for higher degrees.

Part-time students

8. For part-time courses, the distinction will depend on the length of each year for an equivalent full-time course. The number of weeks attended within the year of instance

for part-time students is irrelevant in determining whether the year of instance is long. The equivalent full-time course used should be the same as that used in calculating the full-time equivalence (FTE). If an equivalent full-time course does not exist, the method for determining whether a part-time year of instance is long should be consistent with the approach taken to determine the FTE following the guidance in paragraph 3 of [Annex J](#). The rationale for such a judgement should be recorded for audit purposes.

Example 2

9. A full-time, one-year course has a 30-week year of instance; the equivalent part-time course lasts for two years, each with a 45-week year of instance. The part-time course would not be long. Conversely, if each year of the part-time course lasts for 30 weeks, but the year of instance for the full-time course is 45 weeks, then the part-time course is classified as long. The FTE for the part-time course would be 0.5 in both cases.

Example 3

10. A student completes a two-year, full-time foundation degree, then chooses to undertake a foundation degree bridging course over the summer in order to enrol full-time on the third year of an honours degree. In this case both years of the foundation degree and the third year of the honours degree should be recorded as standard length. The foundation degree bridging course should be recorded separately as a standalone, part-time course with an FTE of 0.3.

Mixed-length courses

11. In some cases a full-time course may have one or more years of instance which are long, with one or more standard-length years. When determining which FTE to return as long for the equivalent part-time course, the following two principles should be applied:

- a. The FTE over the entire course should be identical to that of the full-time course.
- b. The proportion of the FTE recorded as long should be the same on both the full-time and part-time programmes.

Example 4

12. A two-year, full-time course has year one long and year two standard length. The equivalent part-time course runs over four years. The first two years of the part-time course should be recorded as long, with the remaining two recorded as standard length. The FTE would be 0.5 in each of the four years.

Example 5

13. A two-year, full-time course has year one long and year two standard length. The equivalent part-time course lasts two-and-a-half years. If the FTE is 0.8, 0.8 and 0.4 in

Annex O Long years of study

the three years respectively, then the principle in sub-paragraph 11b of this annex means that 50 per cent of the FTE should be recorded as long. This can be achieved by recording all first years of study as long, and half of the final years of study as long, with the remaining year recorded as standard length.

Annex P Fee categories in Table 4

1. This annex provides guidance on how to assign years of instance to the appropriate fee level category in Table 4 of the Higher Education Students Early Statistics (HESES) survey 2012.
2. Table 4 collects information about a subset of Home and European Union (EU) undergraduate students included within Columns 1 or 2 of Tables 1 and 2: those undergraduates taking a whole year abroad in 2012-13 as part of their instance. The data collected are to be disaggregated in terms of two regulated fee categories. These categories are an attribute of the year of the course, not of the individual student. This means, for example, that a student who is on a course designated for student support purposes, but who is not personally eligible for a grant or loan for fees payable by the Student Loans Company (SLC), should still be returned against the appropriate regulated fees category. This will include, for example, undergraduate students who are aiming for an equivalent or lower qualification.
3. Regulated fees are those that apply to qualifying courses as defined in the Student Fees (Qualifying Courses and Persons) (England) Regulations 2007 (SI 2007 No. 778) as amended (including by the Student Fees (Qualifying Courses and Persons) (England) (Amendment) Regulations 2008 (SI 2008 No. 1640)). The two fee categories for use in Table 4 are:
 - a. Regulated £0 – outgoing Erasmus full year abroad students only.
 - b. Regulated half fee – outgoing students taking a full year abroad outside the Erasmus programme. The overall maximum fees for qualifying students on such years abroad in 2012-13 are generally £1,725 for institutions with an access agreement with the Office for Fair Access or £680 for those without, as set out in Regulation 3(3) of the Student Fees (Basic and Higher Amounts) (Approved Plans) (England) (Amendment) Regulations 2012 (SI 2012 No. 433). We do not expect new-regime students to be taking a whole year abroad in 2012-13.
4. Students in the regulated £0 fee level category should be further disaggregated between those who commenced their instance in 2011-12 (and so are taking the year abroad in their second year of instance) and those who commenced their instance in an earlier year. We will use the information on regulated £0 fees to determine allocations of Erasmus fee compensation for 2013-14: different rates of compensation will apply according to whether the year abroad is taken as a second year of instance, or as a later year. We will also use the information on Table 4 to aid our planning for supporting years abroad from 2014-15.

Annex Q Identification of old-regime and new-regime students

1. This guidance in the Higher Education Students Early Statistics survey (HESES) is solely for HEFCE data reporting and funding purposes. Flowcharts to help institutions determine the fee and funding regime that applies for HESES purposes are provided at paragraph 20. Institutions should seek guidance from Student Finance England on the application of the student support and fee regulations in relation to what fees may be charged and fee loans provided for eligible students on designated courses.

Definitions

2. Any student who is charged regulated fees for a year of instance under the fees regime introduced in September 2012 must be recorded as a new-regime student for that year of instance. In this context, a part-time student is treated as being charged regulated fees under the fees regime introduced in September 2012 if they are eligible to apply for a tuition fee loan under the Education (Student Support) Regulations 2011 (SI 2011 No. 1986), as amended. A student who commenced study in 2011-12, but intermitted within two weeks of starting and then returns to study in 2012-13, should be treated for the purposes of HESES as having deferred entry until 2012-13. They must therefore be recorded as 'new-regime' in 2012-13. This was explained in October 2011 in HEFCE Circular letter 24/2011, 'Further guidance on HESES and HEIFES for 2011-12'.

3. A year of instance should be recorded as coming under the old regime if the student fulfils either of the following conditions:

a. They are in receipt of student support for the year, which reflects the entitlements that apply to students who commenced their studies prior to 1 September 2012, and did not commence their study in 2011-12 and intermit within two weeks of starting, before returning to study in 2012-13; or

b. They are not being charged regulated fees for the year of instance under the fees regime introduced in September 2012, and are one of the following:

i. 'Continuing'.

ii. On an 'end-on course', where the previous/original course (to which the current course is an end-on course) commenced before 1 September 2012.

iii. 'Transferring'.

4. For the purpose solely of determining whether a student is continuing, transferring or on an end-on course (as defined below), where there is a requirement for the student's mode of study not to change, they should be treated as if they were studying full-time if they are:

a. On a sandwich year-out.

- b. Repeating part of their full-time course on a part-time basis at the same institution and retaining their previous entitlement to full-time student support.
 - c. On the final year of a full-time course that is completed in less than 24 weeks, so that their mode of study in HESES changes from full-time to part-time.
5. A year of instance should be recorded as coming under the new regime if either:
- a. The student is being charged regulated fees for the year of instance under the fees regime that was introduced in September 2012.
 - b. The year of instance does not meet the definition for coming under the old regime as defined in paragraph 3 of this annex.
6. Students should not be recorded as old-regime students just because they are not eligible for student support and regulated fees (for example, because they are postgraduate, aiming for an equivalent or lower qualification, or on a part-time undergraduate course studying at a full-time equivalence of less than 0.25).

Continuing

7. The definition of 'continuing' is relevant only to those students who do not meet the criteria in paragraph 3a of this annex. For HEFCE funding purposes, continuing means that without any breaks, save for normal vacations and as allowed for under the rules on intermissions below, the student is aiming for the same qualification aim in the same subject and mode of study as they were before 1 September 2012. A student whose sole aim in 2011-12 was for institutional credit, rather than a qualification, will not normally be treated as continuing in later years, even if they pursue further study at higher education level in the same subject. Further guidance on the treatment of credit for these purposes is available on the HEFCE web-site at www.hefce.ac.uk/data/datacollection/heses-highereducationstudentsearlystatisticsurvey/ under FAQs.
8. For the purposes of HESES only, where a student intermits before resuming study on or after 1 September 2012 they may be treated as continuing only if one of the following three circumstances applies:
- a. The intermission is for no more than 12 months plus any normal vacation period.
 - b. The intermission does not exceed 24 months plus any normal vacation period, where:
 - i. the student is studying on a course leading on successful completion towards registration with the Architects Registration Board, and
 - ii. the intermission is between Part 1 and Part 2 (where both parts are pursued in the same mode of study, but may be taken at the same or different institutions), and
 - iii. the period of professional experience required at the end of Part 1 is not being taken as a sandwich year-out.

c. They are taking an undergraduate clinical degree, and take an intercalated year to complete a first degree partway through their study towards their first registrable degree in medicine, dentistry or veterinary science.

9. Where the student intermits for no more than 12 months plus any normal vacation period, but returns to study for a different qualification aim or in a different subject, they are not continuing, but they may be treated as 'transferring' subject to meeting the conditions for transferring in paragraph 16.

10. The guidance above on when students can be treated as continuing under the old fee and funding regime is solely for the purpose of completing data returns used for HEFCE funding. Where institutions have questions for their own fee charging policies about the application of the student support and fee regulations, they should seek advice from Student Finance England.

End-on course

11. The definition of an 'end-on course' is relevant only to those students who do not meet the criteria in paragraph 3a of this annex. An 'end-on course' means a first degree with honours taken (disregarding any normal intervening vacation) immediately after successful completion of one of the following qualifications:

- Higher National Certificate (HNC)
- Certificate of Higher Education (CertHE)
- Higher National Diploma (HND)
- Diploma of Higher Education (DipHE)
- foundation degree
- first degree without honours

and where the two courses are studied in the same mode of study (that is, either both are full-time or both are part-time). In most cases, the successful completion of the lower level qualification counts towards the first degree with honours.

12. In this context, successful completion means that the student has achieved in assessment the academic standards necessary to be awarded the qualification. There is no requirement for an end-on course to be studied at the same institution as the previous course. End-on courses do not include any other combinations of courses, such as where students with an HNC top up to an HND, or where postgraduate taught students progress from a postgraduate certificate to a postgraduate diploma and then to a masters qualification.

Example 1

13. A student studies full-time at a further education college towards an HNC during the 2011-12 academic year. Upon successful completion of the HNC, they progress at the college to a full-time HND starting in September 2012. Following successful completion of the HND, the student progresses to a full-time first degree with honours at

a higher education institution in the 2013-14 academic year. In this case, the HND cannot be treated as an end-on course to the HNC and therefore the student would be treated as subject to the new regime in 2012-13 and each subsequent year.

Example 2

14. A student studies full-time at a further education college towards an HND during the 2011-12 and 2012-13 academic years. Following successful completion of the HND, the student progresses to a full-time first degree with honours at a higher education institution in the 2013-14 academic year. The student is a continuing student in 2012-13, because they are following the same qualification aim in the same subject and mode of study as they were before 1 September 2012 and there has been no intermission of more than 12 months plus any normal vacation period. As the student progresses to the full-time first degree with honours in 2013-14, they are treated as being on an end-on course, because the original HND commenced before 1 September 2012 and mode of study has not changed. The student would therefore be treated for HEFCE funding purposes as subject to the old regime throughout their study towards the HND and first degree with honours. The change of institution in 2013-14 is not relevant to their fee and funding regime status.

Example 3

15. A student studies full-time over two years for a foundation degree, achieving the qualification at the end of the 2010-11 academic year. They do not study during 2011-12, but decide to top-up full-time to a first degree with honours in the 2012-13 academic year, with the top-up commencing after 1 September 2012. Because the top-up to the first degree with honours has not followed immediately (disregarding any normal intervening vacation) after successful completion of the foundation degree, it cannot be treated as an end-on course. The year of instance should therefore be recorded as coming under the new regime.

Transferring

16. The definition of 'transferring' is relevant only to those students who do not meet the criteria in paragraph 3a of this annex. For HEFCE funding purposes, 'transferring' means that, on the recommendation of the academic authority, a student ceases one course before its completion and starts another in the same mode of study (that is, either both the discontinued course and the new course are full-time and sandwich, or both are part-time) and at the same level (either both undergraduate or both postgraduate). In order to be treated as transferring, the course from which the student is transferring needs to have started before 1 September 2012. The course to which the student transfers need not be in the same subject, have the same qualification aim or be at the same institution as the discontinued course. However, the requirement that the transfer is on the recommendation of the academic authority means that it was agreed by either:

- a. The institution, where the transfer is between courses at the same institution.

- b. Both institutions, where the student changes institution.

17. Unlike an end-on course, it is possible for a transfer to include a break in study (beyond normal vacation periods) between ceasing the uncompleted course and commencing the new one. However, for HESES purposes, this break in study should not exceed 12 months plus any normal vacation period.

Example 4

18. A full-time student commences study in 2011-12 for a HND in engineering, but on the recommendation of the academic authority changes to study full-time from 2012-13 for a BSc in mathematics at the same institution instead. The student is treated as having transferred.

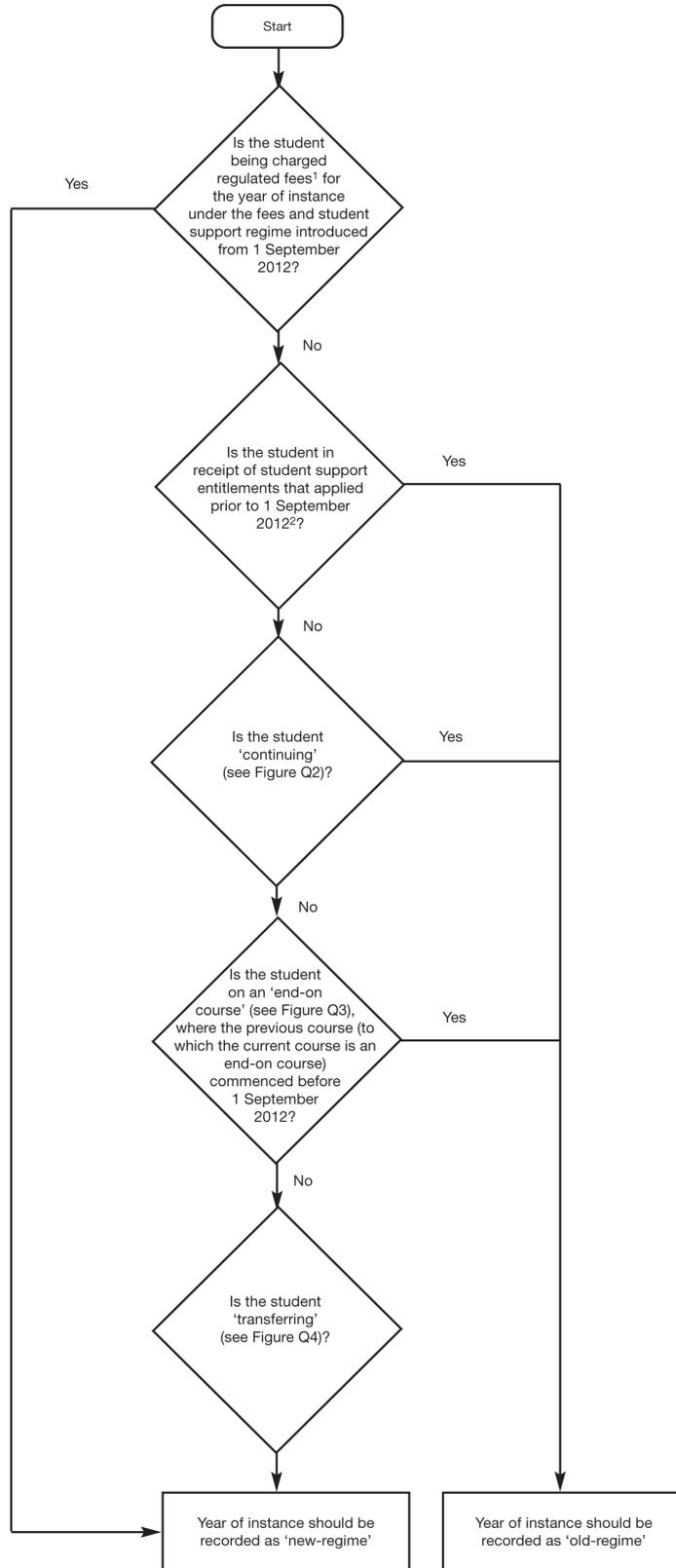
Example 5

19. A full-time student commences study for a BA in French in 2011-12, but decides (for whatever reason) that they no longer wish to continue the course and so they withdraw. The student subsequently decides to commence study for a BA in history at another institution from 2012-13. Because withdrawal from the French degree and commencement of the history degree were not agreed by both institutions, the student is not treated as a transfer and is therefore treated as new-regime.

Flowcharts

20. The flowcharts at Figures Q1 to Q4 are intended to help institutions determine whether a year of instance should be reported as subject to the old regime or the new regime, including whether the student is 'continuing', 'transferring' or on an 'end-on course'.

Figure Q1 Flow chart for establishing a student's fee and funding regime type (according to HESES definitions)



Note
 1 See paragraph 4 of Annex Q.
 2 See paragraph 3a of Annex Q.

Figure Q2 Flow chart for establishing whether a student is 'continuing' (according to HESES definitions for establishing fee and funding regime type).

Note: this flow chart should only be used where paragraph 3a does not apply.

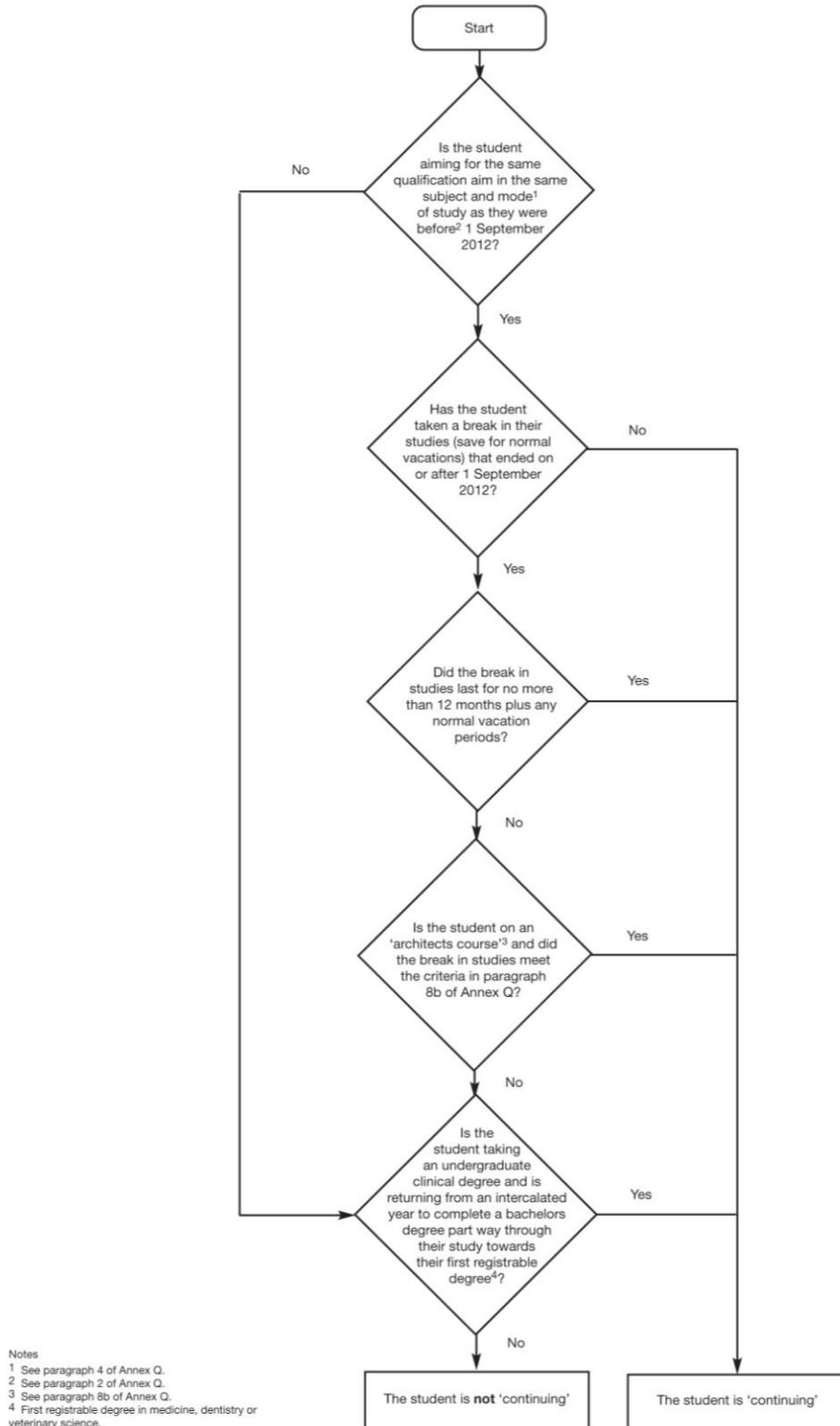
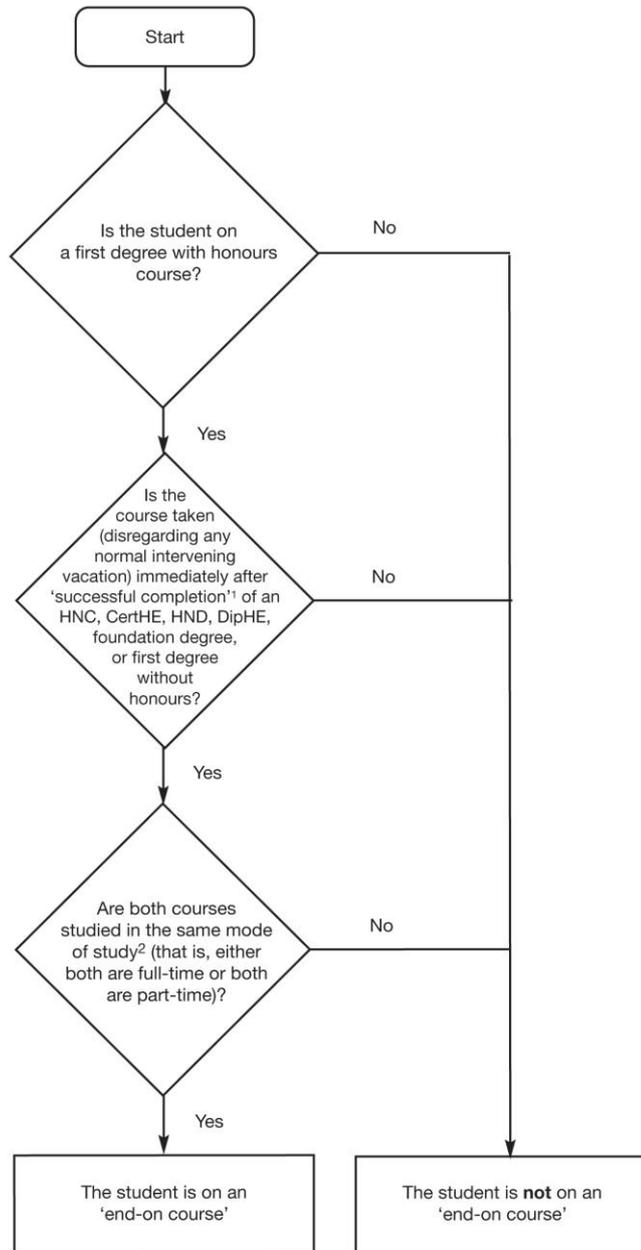


Figure Q3 Flow chart for establishing whether a student is on an 'end-on course' (according to HESES definitions for establishing fee and funding regime type).

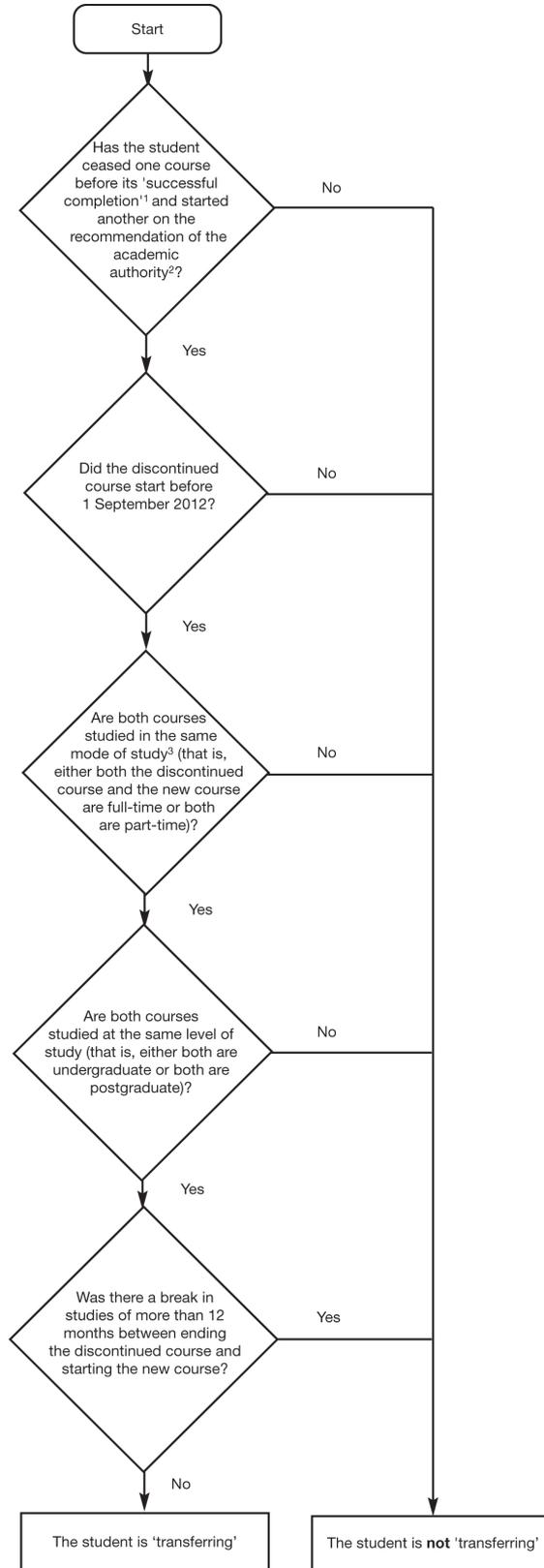
Note: this flow chart should only be used where paragraph 3a does not apply.



Notes
1 See paragraph 12 of Annex Q.
2 See paragraph 4 of Annex Q.

Figure Q4 Flow chart for establishing whether a student is 'transferring' (according to HESES definitions for establishing fee and funding regime type).

Note: this flow chart should only be used where paragraph 3a does not apply.



Notes

- 1 See paragraph 12 of Annex Q.
- 2 See paragraph 16 of Annex Q.
- 3 See paragraph 4 of Annex Q.

Annex R List of abbreviations

APL	Accredited prior learning/accreditation of prior learning
ASNs	Additional student numbers
CertEd	Certificate in Education
DEL	Department for Employment and Learning (Northern Ireland)
DipHE	Diploma of Higher Education
DSA	Disabled Students' Allowance
DTLLS	Diploma in Teaching in the Lifelong Learning Sector
EEA	European Economic Area: all EU countries plus Iceland, Liechtenstein and Norway. Students from Switzerland are treated in the same way as those from the EEA
ELQ	Equivalent or lower qualification
EU	European Union
FAQs	Frequently asked questions
FD	Foundation degree
FEC	Further education college
FTE	Full-time equivalent/equivalence
HE	Higher education
HEFCE	Higher Education Funding Council for England
HEI	Higher education institution
HEIFES	Higher Education in Further Education: Students Survey
HESA	Higher Education Statistics Agency
HESES	Higher Education Students Early Statistics Survey
HNC	Higher National Certificate
HND	Higher National Diploma
ILR	The Data Service's individualised learner record
INSET	In-service Education and Training
ITT	Initial Teacher Training
OFFA	Office for Fair Access
PGCE	Postgraduate/Professional Graduate Certificate in Education
QAA	Quality Assurance Agency for Higher Education
QTS	Qualified teacher status

Annex R List of abbreviations

SCITT	School-Centred Initial Teacher Training
SIVS	Strategically important and vulnerable subjects
SLC	Student Loans Company
UCAS	The organisation responsible for managing applications to higher education courses in the UK, formerly the Universities and Colleges Admissions Service
UG	Undergraduate
UG (excl. FD)	An undergraduate course that is not a foundation degree

Annex S Index

References are to paragraph numbers in the main text, or to the annex letter and paragraph numbers of annexes.

Note that some words and phrases are defined in the list of abbreviations at [Annex R](#).

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