

September 2015/19

**Core funding/operations**

**Request for data**

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Returns should be uploaded to the HEFCE extranet by **noon on 10 December**

This document asks higher education institutions to complete the annual survey of students on recognised higher education courses. The data will give an early indication of the number of higher education students studying in 2015-16, and, with data supplied to the Higher Education Statistics Agency, will inform our allocation of teaching funds for 2016-17.

# HESES15

## Higher Education Students Early Statistics Survey 2015-16

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## **Appendices**

**The appendices contain detailed technical information and will be available with this document at [www.hefce.ac.uk/pubs/year/2015/201519/](http://www.hefce.ac.uk/pubs/year/2015/201519/) once HESES15 workbooks have been released.**

Appendix 1 Validation of HESES15 data

Appendix 2 Credibility checks on HESES15 data

Appendix 3 Guidance on the indicative 2014-15 and illustrative 2016-17 funding worksheets

## Executive Summary

### Purpose

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

### Key points

2. The data will:
  - give an early indication, for purposes including government planning, of the number of higher education students studying in the academic year 2015-16
  - together with data supplied to the Higher Education Statistics Agency (HESA), inform our allocation of teaching funds for the academic year 2016-17.
3. This document provides the following:
  - a. An introduction to the Higher Education Students Early Statistics Survey 2015-16 (HESES15) and how we use it to inform our funding allocations.
  - b. Guidance notes for completing the HESES15 survey (Section 1).
  - c. Definitions used in the HESES15 survey (Section 2).
  - d. Examples of the survey tables (Section 3). The actual tables for completion will be available to download from the HEFCE extranet in November 2015.
  - e. A summary of changes since HESES14 (paragraph 26-49 of the main document).
4. Information on how HESES survey data is used to allocate funding can be found in 'Guide to funding 2015-16: How HEFCE allocates its funds' (HEFCE 2015/04), available at [www.hefce.ac.uk/pubs/year/2015/201504/](http://www.hefce.ac.uk/pubs/year/2015/201504/).

### Action required

5. HESES15 should be completed by all higher education institutions receiving HEFCE recurrent funds for teaching. Returns must be uploaded to the HEFCE extranet by **noon on Thursday 10 December 2015**. Workbooks will be available to institutions in November 2015.
6. A provisional timetable for the HESES15 return and 2016-17 funding round is given in paragraph 23.

## How to use this document

7. This document provides guidance on how to complete the HESES15 survey, and sets out the funding rules and definitions for HEFCE-funded higher education. This document has three sections.

### Section 1: Guidance for completing the survey

8. This section explains how to download the survey, describes the data to enter into each table, and links to funding rules and definitions in Section 2. It also explains the process for verifying and signing off the data, as well as the key considerations for data assurance.

### Section 2: Funding rules and definitions

9. This section defines the student population covered by the HESES return and gives guidance on what is 'countable' in HESES15. This ensures we can collect information on students counted for funding purposes, but also helps us to collect information on other higher education (HE) students. This helps provide a more complete picture of institutions' HE activities, supporting our understanding of their circumstances and student populations, for purposes including audits and reconciliations with HESA data, and informing government planning.

10. Below is a list of the annexes in Section 2 of guidance and a short summary of what each covers:

#### Annex A: Defining the HESES student population

11. This annex defines an 'instance' and explains which student instances should and should not be included in the HESES student population. This annex also explains how to treat provision delivered through connected undertakings.

#### Annex B: Recognised higher education

12. This annex defines the recognised higher education courses which students must be studying if they are to be included in HESES15. It also details the treatment of students on higher, degree or advanced apprenticeships which include both higher and further education elements.

#### Annex C: Counting student activity

13. This annex gives the definition of a year of instance and explains how to count them in HESES15. This includes the criteria for counting a year of instance in HESES15, the definitions of standard and non-standard years of instance, flow charts to aid with determining how years of instance should be counted, and guidance on counting some short courses that are sometimes known as 'summer schools'.

#### Annex D: Completion and non-completion

14. This annex explains how to determine the completion status of a year of instance in HESES15.

### **Annex E: Full-time equivalence for part-time years of instance**

15. This annex explains how full-time equivalence for part-time students should be calculated in HESES15. This includes guidance on how to treat students who are exempt from part of a course, and full-time students who change mode within a year of instance to become part-time students.

### **Annex F: Residential and fundability status**

16. This annex provides guidance on identifying the residential and fundability status of a student for the purposes of HESES15. It includes guidance on:

- which students should be classified as Home and European Union (EU), and which are Island and overseas
- categorising Home and EU students as HEFCE-fundable or non-fundable
- how to determine the fundability status of students aiming for equivalent or lower qualifications, and of those supported from other EU public sources.

### **Annex G: Price groups**

17. This annex explains how years of instance should be mapped to price groups for the purposes of HESES15, including guidance on the special cases of medicine, dentistry, veterinary science, education, social work and social policy, computing and sandwich years out. Examples are given for cases where a year of instance can be split across price groups or where provision is contracted out.

### **Annex H: Mode of study**

18. This annex explains how to determine, for the purposes of HESES15, the mode of study for a year of instance (full-time, sandwich year out or part-time). It includes 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.

### **Annex I: Level of study**

19. This annex explains how to determine a student's level of study (undergraduate or postgraduate) for the purposes of HESES15. It also explains how the undergraduate data on Table 5 is split, and how to disaggregate postgraduate students between postgraduate taught and postgraduate research.

### **Annex J: Long years of instance**

20. This annex explains how to determine whether a full-time or part-time year of instance should be classed as 'long' for the purposes of HESES15. 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.

### **Annex K: Year abroad categories in Table 4**

21. This annex provides guidance on how to assign years of instance to the appropriate category of year abroad in Table 4 of HESES15.

### Section 3: Copy of Tables 1 to 6 of the HESES15 survey

22. This section provides examples of Tables 1-6 of the HESES15 survey. The actual tables for completion will be available to download from the HEFCE extranet (<https://data.hefce.ac.uk/>) in November 2015.

#### Outline timetable for HESES15 return and funding round process

23. The provisional timetable for HESES15 and the 2016-17 funding round is summarised below.

By 30 October 2015	Extranet keys issued to institutions (heads of institution and HESES contacts).  HESES workbooks available to institutions via the extranet.
10 December 2015	12 noon deadline to return HESES data.
Mid-December 2015	Validation and credibility checks by HEFCE. HESES contacts asked to verify, and answer any questions about, the data. Contacts will have up to <b>five working days</b> to respond.  Institutions notified of provisional formulaic grant adjustments arising from recruitment against their medical and dental intake targets, and invited to submit appeals.
15 January 2016	Each institution's accountable officer must have signed off its HESES data as being correct as at 1 December 2015.  Deadline for submission of appeals against medical and dental intake targets.
22 January 2016	Institutions notified of final grant adjustments arising from recruitment against medical and dental intake targets, including the outcome of appeals.
22 March 2016	Recurrent teaching grant: Institutions notified of allocations for 2016-17 and final allocations for 2014-15.
24 March 2016	Recurrent teaching grant: Publication for all institutions of final allocations for 2014-15, and allocations for 2016-17.
Late July 2016	Institutions receive their funding agreements for 2016-17.
29 July 2016	Deadline for institutions to request transfers of provision and other amendments which affect funding allocations.
Late October 2016	Recurrent teaching grant: Institutions notified of any amendments to allocations for 2016-17 and final allocations for 2014-15.

24. Deadlines for the HESES15 return are not flexible. Where an institution fails to return credible data on time, 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.

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

## **Summary of changes and clarifications since HESES14**

26. The following changes have been made between the 2014-15 version (HESES14) and HESES15.

### **Changes to tables**

#### **Tables 1 to 3**

27. HEFCE-fundable students are no longer split between old-regime and new-regime.

28. We are no longer collecting co-funded students as a subset in Tables 1 to 3. Students who were previously reported as co-funded should now be returned as either HEFCE-fundable or non-fundable depending on how they meet the fundability criteria.

29. Media studies are no longer collected as a separate price group. Institutions are required to return their media studies students in price group C1 on Tables 1 to 3, as defined in [Annex G](#).

30. Sports science and leisure studies are no longer collected as a separate price group. Institutions are required to return their sports science and leisure studies students in price group C2 on Tables 1 to 3, as defined in [Annex G](#).

#### **Table 5**

31. Table 5 no longer collects data separately on Home and EU countable years franchised out. This data is collected on the new Table 6 ('Students taught under sub-contractual arrangements').

#### **Table 6**

32. Table 6 has changed. We are no longer collecting data on years of instance monitored for student number control purposes, following the removal of the student number control from 2015-16. For this reason, Table 6 is now a different table which collects data on students taught under sub-contractual arrangements by other providers.

### **Comparison tables**

33. There have been significant changes to the comparison tables in the HESES workbook that are used during the data verification process. These tables should be used alongside the indicative funding worksheets as part of the data quality checking process before submitting the workbook to HEFCE. Details of these tables are provided in **Appendices 2 and 3**.

## **Changes to and clarifications of definitions**

### **Removal of split between old-regime and new-regime**

34. As stated in paragraph 27 above, we are no longer collecting data separately on old- and new-regime students. We have therefore removed the annex 'Identification of old-regime and new regime students'.

### **Student Number Control**

35. As mentioned in paragraph 32 above, we are no longer collecting data on years of instance monitored for student number control purposes following the removal of the student number control from 2015-16. All references to the student number control have therefore been removed from guidance.

### **Institutions' responsibilities in partnership arrangements (including sub-contractual arrangements)**

36. We have updated the guidance to clarify institutions' responsibilities for data returns. This includes definitions of 'instance', 'institution' and the responsibility of the institution with which a student is 'registered'. See [Annex A](#) for more information.

### **Estimating non-completions**

37. We have updated the guidance on how to estimate non-completions for HESES15. See [Annex D](#) paragraphs 12 to 16 for more information.

### **Substituted or retaken modules**

38. We have updated the guidance on completion status, to clarify how students who retake modules should be counted in HESES15. See [Annex D](#) paragraphs 19 to 20 for more information.

### **Flexible part-time study (including distance-learning)**

39. We have included additional guidance on how to estimate the full-time equivalence for flexible part-time study (including distance learning courses). See [Annex E](#) paragraphs 10 to 13 for more information.

### **HEFCE non-fundable students**

40. We have updated the criteria for when Home and EU students should be recorded as HEFCE non-fundable, to remove criteria that only applied to old-regime students. See [Annex F](#) paragraph 13 for more information.

### **Students aiming for an equivalent or lower qualification (ELQ)**

41. We have updated the guidance relating to situations where the qualifications already achieved by a student are not known. In such circumstances, students should be treated as if aiming for an ELQ, although they may be exempt from the policy for HEFCE funding purposes depending on whether they meet the necessary criteria. See [Annex F](#) paragraph 14 for more information.

42. We have also updated our guidance to reflect that from August 2015, the Framework for Higher Education Qualifications in England, Wales and Northern Ireland

and the Framework for Qualifications of Higher Education in Scotland are combined into a single publication. See [Annex F](#) paragraph 22 for more information.

### **Veterinary science and cost centre 109**

43. We have updated our guidance to clarify how clinical veterinary science postgraduate students must be attributed to price groups A or B. See [Annex G](#) paragraphs 6 to 10 for more information.

### **Allocation of years of instance or modules to price groups**

44. We have provided further guidance to clarify how modules or parts of a course should be mapped to the correct price groups. See [Annex G](#) paragraph 21 for more information.

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

45. We have simplified our guidance relating to students who do not meet the criteria to be classified as full-time, and who therefore should be returned as part-time. In particular we have removed guidance relating to part-time students in receipt of full-time student support, which we previously provided for student number control purposes. See [Annex H](#) paragraph 3 for more information.

### **Full-time long years of instance**

46. We have removed the criterion that allowed a year of instance to be counted as long on the basis that it included a within-course short period of study, awarded as a summer school through a bidding exercise. See [Annex J](#) for more information.

### **Other changes**

#### **Structural changes**

47. As explained in paragraphs 7 to 22, we have restructured the HESES guidance into three sections. [Section 1](#) of the guidance includes labelled screenshots of the tables. As a result of the restructuring, the annex labelling in [Section 2](#) has changed.

#### **HESA Notes**

48. Throughout [Section 2](#) of the guidance, we have boxed guidance relating to how students should be recorded on the HESA student record, labelled as 'HESA notes'.

#### **Additional examples and flowcharts**

49. Throughout [Section 2](#) of the guidance we have included extra examples and flowcharts, to support the guidance and provide an alternative insight to the definitions.

# Section 1: Instructions

## Section 1 contents

### Guidance for completing the survey

- Downloading and submitting your HESES15 survey
- The tables in the HESES15 survey workbook
- Selecting students to include in the survey
- Data to enter into the tables
- Other worksheets

### Data verification and sign-off

### Data assurance

- Good practice

## Guidance for completing the survey

1. This section describes how to complete the tables in the HESES15 survey. It also describes how to download and submit the survey, and how its quality will be assured through 'data verification'.

### Downloading and submitting your HESES15 survey

2. In November 2015 the HESES15 workbook will be available as a Microsoft Excel spreadsheet to download from the HEFCE extranet. The HEFCE extranet can be accessed at <https://data.hefce.ac.uk>.

3. An email with extranet keys (passwords) to access and download the spreadsheet will be emailed to heads of institution and HESES contacts by **Friday 30 October 2015**. A checklist and instructions on using the extranet will be included.

4. We will use the names and email addresses that we have stored in our database as the 'HESES contact' for each institution. It is very important that these details are correct. If you want to check or amend them contact your higher education policy adviser at HEFCE, whose details can be found at [www.hefce.ac.uk/contact/search](http://www.hefce.ac.uk/contact/search).

5. Your completed HESES15 survey must be uploaded to the HEFCE extranet no later than **noon on Thursday 10 December 2015**. We will not give extensions to this deadline.

6. Once you have uploaded the completed workbook, you will be able to access a results package through the extranet that will contain several extra sheets, as described in paragraph 9.

7. It is good practice for someone other than the person completing the survey to review the data – including the indicative funding implications – before it is submitted. A senior member of the institution should also agree to the return.

## Section 1: Instructions – Guidance for completing the survey

8. Where an institution fails to submit data on time, or returned data is not credible after verification, we may allocate funds based on our own estimates of student activity. Institutions that do not submit credible data on time are more likely to be audited.

### The tables in the HESES15 survey workbook

9. The HESES15 survey is an Excel workbook. There are **six tables** to complete; each is a separate worksheet. You may not need to enter data into all the tables. The worksheets in the HESES15 workbook are listed in **Figure 1**.

**Figure 1: The tables in the HESES15 workbook**

Table number	Name of worksheet	Title or description	Action
1	FTS	Full-time counts of years of instance	Institution to complete
2	OUT	Sandwich year out counts of years of instance	Institution to complete
3	PT	Part-time counts of years of instance and FTE	Institution to complete
4	YA	Home and European Union (EU) undergraduate years abroad	Institution to complete
5	HEC	Further student breakdowns for planning purposes	Institution to complete
6	SUB	Years of instance for students taught under sub-contractual arrangements by other providers	Institution to complete
	Funding	Funding comparison You may be asked questions about reasons for large funding changes between years during data verification.	Automatically filled
	Indicative 2014-15 funding	Indicative final funding for 2014-15 based on 2014-15 Higher Education Statistics Agency (HESA) data	Automatically filled in the results package
	Illustrative 2016-17 funding	Illustrative funding for 2016-17 based on the numbers reported by you in HESES15	Automatically filled
	Comparison 1	Tables in this worksheet summarise your HESES15 data and compare it with previous years. You may be asked questions on large changes during data verification.	Automatically filled
	Comparison 2	Tables in this worksheet summarise your HESES15 data and compare it with previous years. You may be asked questions on large changes during data verification.	Automatically filled

## Section 1: Instructions – Guidance for completing the survey

	Comparison 3	These tables are for information only and are not generally used during data verification. Tables in this worksheet summarise your HESES15 data and compare it with previous years.	Automatically filled
	Verification form	Your head of institution will need to sign this form, once the data has been verified and you have been prompted to do so by HEFCE. This will only be included in the results package.	Included in the results package
	ERR	If you attempt to upload a workbook with validation errors, the resulting package will include this sheet which will contain details of the errors.	Automatically filled in the results package

10. **Appendix 3** provides further information on the indicative funding worksheets.

### Selecting students to include in the survey

11. You will first need to read the guidance in [Annex A](#) to identify which students are in the HESES population for 2015-16. You will also need to refer to [Annex B](#) to identify 'recognised higher education'.

12. In HESES15 you must record 'years of instance' rather than students. This is because students may be on more than one course or 'instance', and not all years may count. [Annex C](#) fully explains which years of instance should be counted in the HESES15 survey.

13. The census date for HESES15 is 1 December 2015. A student starting in the academic year but withdrawing before that date should not be counted.

14. When completing the survey you need to refer to [Annexes D to K](#) for definitions. You may be asked questions during data verification to make sure you are using the correct definitions.

### Data to enter into the tables

15. **Note:** When we refer to column numbers, we refer to the column titles on the tables, not worksheet columns. Column titles may include more than one worksheet column.

16. If the data that you enter in the tables is not feasible – for example, if you enter a positive number instead of a negative one in the 'non-completions' column – a **validation failure** message will display on the table. You will not be able to submit a workbook with any validation failures. If the data is possible, but appears unusual, **credibility warnings** will show – for example, if there is a very high or very low proportion of new entrants. You will need to check whether the data is correct and amend it or explain the reasons for it during data verification. **Appendix 1** describes the validation checks on HESES15 data. **Appendix 2** describes the credibility checks on HESES15 data, which include the credibility warnings and the checks on comparison tables.

**Table 1 (FTS)**

17. Once you have defined who to include in the HESES15 survey using [Annexes A, B and C](#), record years of instance for all full-time students in Table 1. Refer to [Annex H](#) for the definition of full-time. A partial screenshot of Table 1 is shown in **Figure 3**.

18. Years of instance recorded in Table 1 should not be included in Tables 2 or 3.

19. In Columns 1, 2 and 3 you will need to break down years of instance in the ways shown in **Figure 2**.

**Figure 2: Breakdown of full-time years of instance**

	Categories	Definitions and guidance
Price group	A B C1 C2 D (Some years of instance are split across price groups. In these cases up to two decimal places can be used, but the total for the years of instance must be a whole number.)	<a href="#">Annex G</a>
Length of year	Standard-length Long	<a href="#">Annex J</a>
Level of study	UG: undergraduate PGT (UG fee): postgraduate taught study subject to regulated undergraduate fee PGT: postgraduate taught PGR: postgraduate research	<a href="#">Annex I</a>
Fundability status	Home & EU: HEFCE-fundable Home & EU: Non-fundable Island & overseas	<a href="#">Annex F</a>

20. When completing Table 1:

a. In Column 1 record years of instance that started between 1 August 2015 and 1 December 2015 inclusive.

b. In **Column 2** record years of instance that you forecast will start between 2 December 2015 and 31 July 2016 inclusive. This may include new entrants or those on the second or subsequent years of an instance.

See [Annex C](#) for full instructions on whether to record years in Column 1 or Column 2.

## Section 1: Instructions – Guidance for completing the survey

- c. In **Column 3** enter a forecast of the number of years of instance that will not be completed. Non-completion numbers must be recorded as a negative number. You should use the definitions and methodology for calculating estimates described in [Annex D](#). You may be asked questions on your methodology during data verification.
- d. **Column 4** will be filled automatically with the numbers of completed years, as you enter data into Columns 1 to 3.
- e. The totals in the **final rows** will be filled automatically and must add up to whole numbers.

- 21. **Validation failure** messages will occur in Table 1 if:
  - a. The totals do not add up to whole numbers. If you have courses that are split across price groups, the totals must still be a whole number. Refer to [Annex G](#) for how to record this.
  - b. Column 3 contains a positive number, or any other column contains a negative number.
  - c. You record numbers to more than two decimal places.
- 22. **Credibility warnings** will occur in Table 1 if:
  - a. You enter no non-completions for a row where you have recorded at least 50 years of instance across Columns 1 and 2.
  - b. You record all years of instance in Columns 1 and 2 for a row as non-completions.

Section 1: Instructions – Guidance for completing the survey

Figure 3: Partial screenshot of Table 1 (FTS)

	A	B	C	D	E	F	G	H		L	M	N	O	BE		
3	Institution:										Contact:					
4	Code:										Phone:					
5	UKPRN:										E-mail:					
6	Mode: Full-time										Date loaded:					
7	Table 1: Counts of years of instance															
9				Validation: OK			Validation: OK			Validation: OK			Validation: OK			
10				First stage credibility: OK			First stage credibility: OK			First stage credibility: OK			First stage credibility: OK			Fundability status: <a href="#">Annex F</a>
11	Year length: <a href="#">Annex J</a>		Level of study: <a href="#">Annex I</a>													
12																
13	Price group: <a href="#">Annex G</a>			Years countable between 1 August 2015 and 1 December 2015 inclusive			Forecast of years countable between 2 December 2015 and 31 July 2016 inclusive			Forecast of years not completed (negative values)			Estimated completed years academic year 2015-16			
14				Home & EU			Home & EU			Home & EU			Home & EU			
15				HEFCE-fundable	Non-fundable	Island and overseas	HEFCE-fundable	Non-fundable	Island and overseas	HEFCE-fundable	Non-fundable	Island and overseas	HEFCE-fundable	Non-fundable	Island and overseas	
16				(a)	(b)	(c)	(a)	(b)	(c)	(a)	(b)	(c)	(a)	(b)	(c)	
17	Price group	Length	Level													
18	A	Standard	UG	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	
19			PGT (UG fee)													
20			PGT	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	
21			PGR		0.00	0.00		0.00	0.00		0.00	0.00		0.00	0.00	
22		Long	UG	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	
23			PGT (UG fee)													
24			PGT	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	
25			PGR		0.00	0.00		0.00	0.00		0.00	0.00		0.00	0.00	
26	B	Standard	UG	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	
27			PGT (UG fee)													
28			PGT	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	
29			PGR		0.00	0.00		0.00	0.00		0.00	0.00		0.00	0.00	
30		Long	UG	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	
31			PGT (UG fee)													
32			PGT	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	
33			PGR		0.00	0.00		0.00	0.00		0.00	0.00		0.00	0.00	
34	C1	Standard	UG	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	
35			PGT (UG fee)													
36			PGT	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	
37			PGR		0.00	0.00		0.00	0.00		0.00	0.00		0.00	0.00	
38		Long	UG	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	
39			PGT (UG fee)													
40			PGT	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	
41			PGR		0.00	0.00		0.00	0.00		0.00	0.00		0.00	0.00	
42			PGT	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	

Complete all relevant cells in Columns 1, 2 and 3 with count of full-time years of instance

## Table 2 (OUT)

23. Once you have determined who to include in the HESES15 survey using [Annexes A, B and C](#), record years of instance for all students on a sandwich year out in Table 2. Refer to [Annex H](#) for the definition of a sandwich year out. Students must meet this definition to be included in this table. A partial screenshot of Table 2 is shown in **Figure 5**.
24. Years of instance recorded in Table 2 should not be included in Table 1 or Table 3.
25. In Columns 1, 2 and 3 you need to break down sandwich years out in the ways shown in **Figure 4**.

**Figure 4: Breakdown of sandwich year out years of instance**

	Categories	Definitions and guidance
Level of study	UG: undergraduate PGT (UG fee): postgraduate taught study subject to regulated undergraduate fee PGT: postgraduate taught	<a href="#">Annex I</a>
Fundability status	Home & EU: HEFCE-fundable Home & EU: Non-fundable Island and overseas	<a href="#">Annex F</a>

26. When completing Table 2:
- In **Column 1** record sandwich years out that started between 1 August 2015 and 1 December 2015 inclusive.
  - In **Column 2** record sandwich years out that you forecast will start between 2 December 2015 and 31 July 2016 inclusive. This may include new entrants (very unlikely for a sandwich year out) or those on the second or subsequent years of an instance.  
  
See [Annex C](#) for full instructions on whether to record years in Column 1 or Column 2.
  - In **Column 3** enter a forecast of the number of sandwich years out that will not be completed. Non-completion numbers must be recorded as a negative number. Use the definitions and the methodology for calculating estimates described in [Annex D](#). You may be asked questions on your methodology during data verification.
  - Column 4** will be filled automatically with the numbers of completed years, as you enter data into Columns 1 to 3.
  - The totals in the **final row** will be filled automatically.

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27. **Validation failure** messages will occur in Table 2 if:

- a. You do not record whole numbers.
- b. You enter a positive number of non-completions in Column 3, or a negative number in any other column.

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Figure 5: Partial screenshot of Table 2 (OUT)

	A	B	C	D	E	F	G	H	I	J	K	L	M	N	O	AT
3	<b>Institution:</b>															Contact:
4	<b>Code:</b>															Phone:
5	<b>UKPRN:</b>															E-mail:
6	<b>Mode: Sandwich year out</b>															Date loaded:
7	<b>Table 2: Counts of years of instance</b>															
8																
9	Validation: OK			Validation: OK			Validation: OK			Validation: OK						
10	First stage credibility: OK			First stage credibility: OK			First stage credibility: OK			First stage credibility: OK			Fundability status: <a href="#">Annex F</a>			
11																
12																
13																
14																
15																
16																
17																
18																
19																
20																
21																
22																
23																
24																
25																
26																
27																
28																
29	<b>Validation checks for Table 2 (see Appendix 1 for full definitions of the underlying formulae)</b>															
30	<b>1. The following totals are not whole numbers:</b>															
31																
32																
33	<b>2. For the following cells, Column 3 is positive:</b>															
34																
35																
36	<b>3. The following cells contain values that are not whole numbers:</b>															
37																
38																
39	<b>4. The following cells contain negative numbers:</b>															
40																
41																
42																
43																

Price group	Level	HEFCE-fundable (a)	Non-fundable (b)	Island and overseas (c)	HEFCE-fundable (a)	Non-fundable (b)	Island and overseas (c)	HEFCE-fundable (a)	Non-fundable (b)	Island and overseas (c)	HEFCE-fundable (a)	Non-fundable (b)	Island and overseas (c)
C2	UG	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
	PGT (UG fee)	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
	PGT	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
	Total	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00

Notes	FTS	<b>OUT</b>	PT	YA	HEC	SUB	Funding	Indicative 2014-15 funding	Indicative 2016-17 funding	Comparison 1	Comparison 2	Comparison 3 ..
-------	-----	------------	----	----	-----	-----	---------	----------------------------	----------------------------	--------------	--------------	-----------------

Complete all relevant cells in Columns 1, 2 and 3 with count of full-time years of instance

**Table 3 (PT)**

28. Once you have determined who to include in the HESES15 survey using [Annexes A, B and C](#), record the number of years of instance for all part-time students in Table 3. Refer to **Annex H** for the definition of part-time. A partial screenshot of Table 3 is shown in **Figure 7**.

29. Years of instance recorded in Table 3 should not be included in Table 1 or Table 2.

30. In Columns 1, 2, 3 and 4a you need to break down years of instance in the ways shown in **Figure 6**.

**Figure 6: Breakdown of part-time years of instance**

	Categories	Definitions and guidance
Price group	A B C1 C2 D (Some years of instance are split across price groups. In these cases up to two decimal places can be used but the total must be a whole number.)	<a href="#">Annex G</a>
Length of year	Standard-length Long	<a href="#">Annex J</a>
Level of study	UG: undergraduate PGT (UG fee): postgraduate taught study subject to regulated undergraduate fee PGT: postgraduate taught PGR: postgraduate research	<a href="#">Annex I</a>
Fundability status	Home & EU: HEFCE-fundable Home & EU: Non-fundable Island and overseas	<a href="#">Annex F</a>

31. When completing Table 3:

a. In **Column 1** record years of instance that started between 1 August 2015 and 1 December 2015 inclusive.

b. In **Column 2** record years of instance that you forecast will start between 2 December 2015 and 31 July 2016 inclusive. This may include new entrants or those on the second or subsequent years of an instance.

See [Annex C](#) for full instructions on whether to record years in Column 1 or Column 2.

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- c. In **Column 3** enter a forecast of the number of years of instance that will not be completed. Non-completion numbers must be recorded as a negative number. Use the definitions and the methodology for calculating estimates in [Annex D](#). You may be asked questions on your methodology during data verification.
- d. **Column 4** will be filled automatically with the numbers of completed years, as you enter data into Columns 1 to 3.
- e. In **Column 4a** record the full-time equivalence (FTE) for the number of completed years of instance in Column 4. This should be the total full-time equivalent years of instance for that row, not the average FTE per year of instance. Refer to [Annex E](#) for guidance on how to determine the FTE of part-time students.
- f. The totals in the **final rows** will be completed automatically.

32. **Validation failure** messages will occur in Table 3 if:

- a. The totals for Columns 1-3 do not add up to whole numbers. If you have courses that are split across price groups, the totals must still be whole numbers. Refer to [Annex G](#) for how to record this.
- b. Column 3 contains a positive number, or any other column contains a negative number.
- c. You record numbers to more than two decimal places.
- d. The FTE recorded in Column 4a is greater than the years of instance in Column 4.
- e. The FTE recorded in Column 4a makes the average FTE for that row less than 0.03. (Years of instance that have an FTE of less than this are not included – see [Annex C](#).)

33. **Credibility warnings** will occur in Table 3 if:

- a. You do not enter any non-completions for a row where you have recorded at least 50 years of instance across Columns 1 and 2.
- b. You record all years of instance in Columns 1 and 2 for a row as non-completions.
- c. The total PGT or PGR FTE recorded in Column 4a makes the average FTE for that level 0.8 or more.
- d. The total UG or PGT (UG fee) FTE recorded in Column 4a makes the average FTE for that level 0.67 or more.

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Figure 7: Partial screenshot of Table 3 (PT)

			Validation: OK			Validation: OK			Validation: OK			Validation: OK			Validation: OK		
			First stage credibility: OK			First stage credibility: OK			First stage credibility: OK			First stage credibility: OK			First stage credibility: OK		
			1			2			3			4			4a		
			Years countable between 1 August 2015 and 1 December 2015 inclusive			Forecast of years countable between 2 December 2015 and 31 July 2016 inclusive			Forecast of years not completed (negative values)			Estimated completed years academic year 2015-16 Columns 1+2+3			Estimated FTE for completed years included in Column 4 academic year 2015-16		
			Home & EU			Home & EU			Home & EU			Home & EU			Home & EU		
			HEFCE-fundable	Non-fundable	Island and overseas	HEFCE-fundable	Non-fundable	Island and overseas	HEFCE-fundable	Non-fundable	Island and overseas	HEFCE-fundable	Non-fundable	Island and overseas	HEFCE-fundable	Non-fundable	Island and overseas
			(a)	(b)	(c)	(a)	(b)	(c)	(a)	(b)	(c)	(a)	(b)	(c)	(a)	(b)	(c)
17	Price group	Length	Level														
18	A	Standard	UG	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
19			PGT (UG fee)														
20			PGT	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
21			PGR	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
22		Long	UG	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
23			PGT (UG fee)														
24			PGT	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
25			PGR	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
26	B	Standard	UG	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
27			PGT (UG fee)														
28			PGT	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
29			PGR	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
30		Long	UG	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
31			PGT (UG fee)														
32			PGT	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
33			PGR	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
34		Long	UG	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
35			PGT (UG fee)														
36			PGT	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
37			PGR	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
38		Long	UG	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
39			PGT (UG fee)														
40			PGT	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
41			PGR	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00

- Complete all relevant cells in Columns 1, 2 and 3 with count of part-time years of instance.
- Complete all relevant cells in Column 4a with count of full-time equivalence.

**Table 4 (YA)**

34. In this table record years of instance for undergraduates taking a year abroad in 2015-16 as part of their course. You must only include Home and EU students, as defined in [Annex F](#). You will also record these years of instance in Table 1 if they are full-time, or Table 2 if they are sandwich years out. A partial screenshot of Table 4 is shown in **Figure 9**.

35. You need to break down the number of years abroad into the categories shown in **Figure 8**.

**Figure 8: Breakdown of years abroad**

	<b>Categories</b>	<b>Definitions and guidance</b>
Type of year abroad	Outgoing Erasmus+ year abroad Outgoing years abroad outside the Erasmus+ programme	<a href="#">Annex K</a>
Mode of study	Full-time Sandwich year out	<a href="#">Annex H</a>
Fundability status	Home & EU: HEFCE-fundable Home & EU: Non-fundable	<a href="#">Annex F</a>

36. When completing Table 4:

- a. In **Column 1** record years abroad that started between 1 August 2015 and 1 December 2015 inclusive.
- b. In **Column 2** record years abroad that you forecast will start between 2 December 2015 and 31 July 2016 inclusive.

37. **Validation failure** messages will occur in Table 4 if:

- a. You do not enter whole numbers.
- b. You enter a negative number.
- c. You enter numbers that are greater in total than the equivalent totals you recorded in Table 1 or Table 2.

Figure 9: Partial screen shot of Table 4 (YA)

The screenshot displays a spreadsheet interface for 'HESES15: Higher Education Students Early Statistics 2015-16 (HEFCE 2015/XX)'. The main table is 'Table 4: Home and EU undergraduate years abroad†', which is split into two columns (1 and 2) under the heading 'Validation: OK First stage credibility: OK'. Each column is further divided into 'a) Full-time' and 'b) Sandwich year out', with sub-categories for 'HEFCE-fundable' and 'Non-fundable' years. The rows include 'Type of year abroad', 'Outgoing Erasmus+ year abroad', and 'Outgoing year abroad outside the Erasmus+ programme', with a 'Total' row at the bottom. The spreadsheet includes a footer with navigation tabs: Notes, FTS, OUT, PT, YA, HEC, SUB, Funding, Indicative 2014-15 funding, Indicative 2016-17 funding, and Comparison 1.

Annotations and callouts include:

- Column 1 or Column 2: Annex C** (yellow box) pointing to columns 1 and 2.
- Type of year abroad: Annex K** (pink box) pointing to the 'Type of year abroad' row.
- Mode of Study: Annex H** (purple box) pointing to the 'Outgoing Erasmus+ year abroad' row.
- Fundability status: Annex F** (green box) pointing to the 'HEFCE-fundable' and 'Non-fundable' sub-headers.
- Complete all relevant cells in Columns 1 and with counts of years of instance** (yellow box) pointing to the data cells in columns 1 and 2.

† Note that this table does not include Island and overseas students

Validation checks for Table 4 (see Appendix 1 for full definitions of the underlying formulae)

- The following cells contain values that are not whole numbers:
- The following cells contain values that are negative:
- The following totals are greater than the equivalent totals in Columns 1 and 2 in Tables 1 (for full-time) and 2 (for sandwich year-out):

### Table 5 (HEC)

38. In **Table 5**, you need to include the years of instance that you included in Tables 1, 2 and 3, broken down in the ways shown in **Figure 10**. A partial screenshot of Table 5 is shown in **Figure 11**.

**Figure 10: Breakdown of years of instance for planning purposes (Table 5)**

	Categories	Definitions and guidance
Level	HND Sub-degree (excluding HND) Foundation degree Other UG degree PGT PGR	<a href="#">Annex I</a>
Fundability status	HEFCE-fundable Non-fundable Island and overseas	<a href="#">Annex F</a>
Mode of study	Full-time and sandwich year out Part-time	<a href="#">Annex H</a>
Residential status	UK-domiciled Other Home and EU Island and overseas	<a href="#">Annex F</a> , paragraph 8

39. When completing Table 5:

- a. In **Column 1** record all years of instance from Columns 1 and 2 of Tables 1, 2 and 3. This includes all full-time, sandwich year out and part-time years of instance that start in the academic year, whether they start before 1 December or after.
- b. The totals for **Column 1a** in this table must be the same as the combined total for Columns 1 and 2 of Tables 1 and 2. (Full-time and sandwich year out numbers are combined in Table 5.)
- c. The totals for **Column 1b** in this table must be the same as the combined total for Columns 1 and 2 of Table 3.
- d. The totals for 'UK-domiciled' and 'Other Home and EU' combined must match the relevant totals for Home and EU in Tables 1, 2 and 3.
- e. In **Column 2** you need to record how many of the years of instance in Column 1 of this table are **new entrants**. See [Annex C](#), paragraph 12.
- f. The totals in the **final rows** will be completed automatically.

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40. **Validation failure** messages will occur in Table 5 if:

- a. You do not enter whole numbers.
- b. You enter a negative number.
- c. The totals are not the same as the relevant totals in Tables 1, 2 or 3.

You record more new entrants than there are years of instance in a row.

41. **Credibility warnings** will occur in Table 5 if:

- a. You record 70 per cent or more of your full-time and sandwich year out undergraduate years of instance as new entrants.
- b. You record 33 per cent or less of your full-time and sandwich year out years of instance as new entrants.
- c. You record 10 per cent or less of your part-time years of instance as new entrants.
- d. You record 70 per cent or more of your part-time years of instance as new entrants.
- e. You record no new entrants, or all your students as new entrants.
- f. You record 33 per cent or less of your Island and overseas students as new entrants.
- g. You record 70 per cent or more of your Island and overseas students as new entrants.

Figure 11: Partial screenshot of Table 5 (HEC)

Table 5: Further student breakdowns for planning purposes		Validation: OK First stage credibility: OK						Validation: OK First stage credibility: OK					
		1 Years countable between 1 August 2015 and 1 December 2015 inclusive plus forecast of years countable between 2 December 2015 and 31 July 2016 inclusive						2 New entrants included in Column 1 of this table					
		(a) Full-time and sandwich year out			(b) Part-time			(a) Full-time and sandwich year out			(b) Part-time		
		UK-domiciled (i)	Other Home and EU (ii)	Island and overseas (iii)	UK-domiciled (i)	Other Home and EU (ii)	Island and overseas (iii)	UK-domiciled (i)	Other Home and EU (ii)	Island and overseas (iii)	UK-domiciled (i)	Other Home and EU (ii)	Island and overseas (iii)
Level	Fundability												
HND	HEFCE-fundable	0	0		0	0		0	0		0	0	
	Non-fundable	0	0		0	0		0	0		0	0	
	Island and overseas												
Sub-degree (excl. HND)	HEFCE-fundable	0	0		0	0		0	0		0	0	
	Non-fundable	0	0		0	0		0	0		0	0	
	Island and overseas												
Foundation degree	HEFCE-fundable	0	0		0	0		0	0		0	0	
	Non-fundable	0	0		0	0		0	0		0	0	
	Island and overseas												
Other UG degree	HEFCE-fundable	0	0		0	0		0	0		0	0	
	Non-fundable	0	0		0	0		0	0		0	0	
	Island and overseas												
PGT	HEFCE-fundable	0	0		0	0		0	0		0	0	
	Non-fundable	0	0		0	0		0	0		0	0	
	Island and overseas												
PGR	HEFCE-fundable												
	Non-fundable	0	0		0	0		0	0		0	0	
	Island and overseas												
Total UG	HEFCE-fundable	0	0		0	0		0	0		0	0	
	Non-fundable	0	0		0	0		0	0		0	0	
	Island and overseas												
All levels	HEFCE-fundable	0	0		0	0		0	0		0	0	
	Non-fundable	0	0		0	0		0	0		0	0	
	Island and overseas												
Total		0	0		0	0		0	0		0	0	

NOTE: Columns 1 and 2 are defined differently for Table 5 from how they are for Tables 1 to 4.

**Table 6 (SUB)**

42. Record the years of instance that are sub-contracted (in whole or part) to other providers in 2015-16. These years of instance should also be recorded in Tables 1, 2 or 3. They are for students who are registered with your institution, but part or all of whose year is taught by another provider under a sub-contractual arrangement. [Annex A](#) provides further guidance and definitions of a sub-contractual relationship. Information should be recorded under the categories shown in **Figure 12**. A partial screenshot of Table 6 is shown in **Figure 13**.

**Figure 12: Years of instance taught under sub-contractual arrangements by other providers**

	Categories	Definitions and guidance
UKPRN	Record the UK Provider Reference Number (UKPRN) of the provider that your institution sub-contracts to	<a href="#">Annex A</a>
Institution name	This will be filled in automatically after you enter the UKPRN	
Mode of study	Full-time and sandwich year out Part-time	<a href="#">Annex H</a>
Level of study	UG: undergraduate PGT (UG fee): postgraduate taught study subject to regulated undergraduate fee PGT: postgraduate taught PGR: postgraduate research	<a href="#">Annex I</a>
Fundability status	Home & EU, HEFCE-fundable Home & EU, non-fundable Island and overseas	<a href="#">Annex F</a>

43. When completing Table 6:

a. Enter the UKPRN for the sub-contracting institution in the **UKPRN column**. This will then automatically populate the **Name column**. You will not be able to edit the Name column. Where you sub-contract to an institution that does not have a UKPRN, you may use the following generic codes (as defined by HESA):

- 4002 Other Non-UK provider
- 4003 Other public body in the UK
- 4004 Other private body in the UK.

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Where the UKPRN for a provider is not known, values can be obtained from the [UK Register of Learning Providers](#).

- b. Select the **Mode**, **Level** and **Fundability status** using the dropdown boxes in each column. A separate line will need to be entered for each combination of these three columns.
- c. In **Column 1** record all years of instance from Columns 1 and 2 of Tables 1, 2 and 3 that are contracted out; this means all those that start in the academic year, whether before or after 1 December.
- d. In **Column 2** record how many of the years of instance in Column 1 are **new entrants**. See [Annex C](#) paragraph 12.

44. **Validation failure** messages will occur in Table 6 if:
  - a. You leave a blank row between filled rows.
  - b. You enter an invalid UKPRN, or no UKPRN in a row.
  - c. You leave any cells in a row blank (except for Column 2).
  - d. You select 'PGR' and 'Home and EU, HEFCE-fundable' in the same row.
  - e. You do not enter whole numbers.
  - f. You enter a negative number.
  - g. You enter a count of new entrants in Column 2 that is greater than the years of instance recorded in Column 1.
  - h. You enter totals for each combination of mode, level and fundability status in Column 1 that are greater than the equivalent totals from Tables 1, 2 and 3.
  - i. You enter totals for each combination of mode, level and fundability status in Column 2 that are greater than the equivalent totals from Table 5.
45. **Credibility warnings** will occur in Table 6 if:
  - a. You use a generic code for the UKPRN.
  - b. Your 2013-14 HESA data indicates sub-contractual arrangements with a provider, but they are not reported in Table 6.
  - c. You report a provider in Table 6, but they are not indicated in your 2013-14 HESA data.
  - d. You do not enter any new entrants in Column 2.
  - e. You report all sub-contracted students as new entrants (total of Column 1 = total of Column 2).

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Figure 13: Illustrative partial screenshot of Table 6 (SUB)

Row number	UKPRN	Name	Mode	Level	Fundability status	1 Years countable between 1 August 2015 and 1 December 2015 inclusive plus forecast of years countable between 2 December 2015 and 31 July 2016 inclusive	2 New entrants included in Column 1 of this table
<b>Total:</b>						<b>301</b>	<b>143</b>
1	10001452	CITY AND ISLINGTON COLLEGE	PT	UG	HEFCE-fundable Home & EU	42	20
2	10001452	CITY AND ISLINGTON COLLEGE	FT + SWOUT	UG	HEFCE-fundable Home & EU	50	25
3	10001452	CITY AND ISLINGTON COLLEGE	FT + SWOUT	UG	Non-fundable Home & EU	10	4
4	10001452	CITY AND ISLINGTON COLLEGE	FT + SWOUT	UG	Island and overseas	5	1
5	10001452	CITY AND ISLINGTON COLLEGE	FT + SWOUT	PGT	HEFCE-fundable Home & EU	20	11
6	10001452	CITY AND ISLINGTON COLLEGE	FT + SWOUT	PGT	Non-fundable Home & EU	10	6
7	10001463	THE CITY LITERARY INSTITUTE	FT + SWOUT	UG	HEFCE-fundable Home & EU	30	14
8	10001463	THE CITY LITERARY INSTITUTE	FT + SWOUT	UG	Non-fundable Home & EU	6	2
9	10002835	HACKNEY COMMUNITY COLLEGE	PT	UG	HEFCE-fundable Home & EU	15	8
10	10002835	HACKNEY COMMUNITY COLLEGE	PT	UG	Non-fundable Home & EU	25	11
11	10002835	HACKNEY COMMUNITY COLLEGE	FT + SWOUT	UG	HEFCE-fundable Home & EU	62	29
12	10002835	HACKNEY COMMUNITY COLLEGE	FT + SWOUT	UG	Non-fundable Home & EU	24	11
13	10002835	HACKNEY COMMUNITY COLLEGE	FT + SWOUT	UG	Island and overseas	2	1
14						0	0

Mode of Study:  
[Annex H](#)

Fundability status:  
[Annex F](#)

UKPRN and Institution name sub-contracted to: [Annex A](#)

Level of study:  
[Annex I](#)

Column 1: sum of years countable

Column 2 (new entrants): [Annex C](#)

Note: institutions and numbers used are for illustrative purposes only

## Other worksheets

46. The data in these worksheets is completed automatically when you enter data in Tables 1 to 6.

### Funding

47. The funding comparison worksheet includes two tables on funding. The first table compares adjusted 2014-15 funding (generated by HESES14 data) with final indicative 2014-15 data, generated by your 2014-15 HESA record. You should note any unexpected changes to funding which may indicate errors in HESA data or legitimate changes to data. This table is automatically completed from the data in the 'Indicative 2014-15 funding' worksheet, but will not be completed until after the institution has submitted its HESES data.

48. The second table compares your 2015-16 funding (based on HESES14 data) with illustrative 2016-17 funding which is generated by the data you have entered into Tables 1 to 4 of HESES15. You may be asked questions about large differences in the funding, to check that any changes in data reflect actual changes in higher education provision or student numbers. The allocations shown in this sheet should not be considered to be any kind of funding commitment by HEFCE and are without prejudice to what the HEFCE Board may agree to be the final allocations for any institution. The final allocations for 2016-17 are very likely to be lower than the illustrations given in this sheet as a result of changes to data by the institution or to the data provided by any institution, or changes to the total sum available for allocation, or as a result of any changes to the funding method.

### Indicative / Illustrative funding sheets

49. The 'Indicative 2014-15 funding' worksheet will not be fully populated until you have completed and submitted your workbook. It is provided for information purposes. The results package will contain a completed worksheet which will incorporate data taken from the 2014-15 HESA funding and monitoring data web facility. For more details on how to complete the missing data for modelling purposes, see **Appendix 3**.

50. The 'Illustrative 2016-17 funding' worksheet models funding based on data you have entered in HESES15. This is not your funding allocation and is provided for illustrative purposes only, to help identify data errors.

### Comparison 1 and Comparison 2

51. These sheets contain tables that summarise your HESES15 data and compare it with previous years. There is automatic highlighting where differences are greater than expected, according to pre-set thresholds. Please refer to **Appendix 2** for further details. During data verification you will be asked to check and explain the reasons for unexpected differences.

### Comparison 3

52. This contains tables that summarise your HESES15 data and compare it with previous years. We will not routinely ask questions on these tables during the verification process. Please refer to **Appendix 2** for further details.

## Data verification and sign-off

53. Credibility checks on your data will be generated by credibility warnings showing in Tables 1 to 6, and by the highlighting in the comparison tables. You should email explanations for these to [dataverification@hefce.ac.uk](mailto:dataverification@hefce.ac.uk) at the same time as you submit your data.

54. The HESES contact at the institution will receive an emailed letter with full instructions, and an annex with specific queries on data from a data verification specialist at HEFCE, in a Microsoft Word document, within five days of the submission deadline. You will usually have five days to respond to queries. When you receive the query letter and annex you should read the document carefully and consider the queries. We will require a full response to each query and queries may draw your attention to incorrect data that you will need to amend. Responses should be emailed to [dataverification@hefce.ac.uk](mailto:dataverification@hefce.ac.uk). Instructions for resubmitting the survey if data needs to be amended will be included in the letter.

55. When the queries have been resolved and the data has been verified, your HEFCE data verification specialist will ask that your head of institution signs off the data, by signing the verification form in the final version of the workbook. The signed verification form should be scanned and emailed to [dataverification@hefce.ac.uk](mailto:dataverification@hefce.ac.uk). The final deadline for receiving the sign-off form is **noon on Friday 15 January 2016**.

## Data assurance

56. HEFCE will consider aspects of the HESES return for audit activity on a risk basis. Institutions should therefore keep an adequate audit trail recording how the data has been derived. This is especially important when institutions are including estimates or forecasts – such as for non-completion rates – or making judgements. Institutions must ensure that estimates and forecasts are reasonable and have sufficient supporting data. Evidence of enrolment should be available for inspection. Where appropriate, 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.

57. 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. The data audits that we carry out test institutions' systems and processes in preparing the aspect of the data return under review. This may involve desk-based work, and visits to institutions for the following purposes:

- a. To review their management information systems.
- b. To review the documentation that provides an audit trail showing how the return was produced.
- c. To test the values reported on the return and the assumptions underpinning it. This will involve selecting samples (or whole populations) of students and testing how they have been reported in the return.

58. The audits often include a review of the outturn position of students at the end of the academic year, to assess the reasonableness of how they were included in the HESES return.

59. Data reconciliation occurs in the following academic year. We use the HESA individualised student record to construct a HESES return reflecting the final outturn position. Where differences between the original and re-created HESES returns 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 the HESA data. At the end of the process, we will treat the final (amended) HESA data as superseding the original HESES return, and will implement any consequent funding and student number adjustments for all relevant years (subject to an appeals process where appropriate).

60. As part of our audit and reconciliation processes we will also compare HESA data with a variety of other data, most notably further education and sixth form colleges' Individualised Learner Records, National Pupil Database data and Student Loans Company data as these become available. Details of how we expect to compare HESES with HESA data are given in 'HESA funding and monitoring data (FAMD) 2014-15: Web facility' (HEFCE Circular letter 22/2015)<sup>1</sup>.

61. Paragraph 9 of Annex A of 'Memorandum of assurance and accountability between HEFCE and institutions: Terms and conditions for payment of HEFCE grants to higher education institutions' (HEFCE 2014/12)<sup>2</sup> states that the annual report of an institution's audit committee must include the committee's conclusions on the adequacy and effectiveness of the institution's arrangements for the management and quality assurance of data submitted to HESA, HEFCE and other funding bodies. This is to ensure adequate governance oversight of the systems used to generate data by the institution, since poor data may represent a significant financial risk for institutions. Further guidance for audit committees on data assurance can be found at [www.hefce.ac.uk/reg/guidance/audit/](http://www.hefce.ac.uk/reg/guidance/audit/).

62. 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 complicated 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)
- inadequate recording of submission dates of final assessments, for the purpose of determining completion status
- failure to identify students' study intentions for the year for the purpose of determining completion status
- lack of robustness in estimating non-completions and forecasting countable years

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<sup>1</sup> Available online at [www.hefce.ac.uk/pubs/year/2015/CL\\_222015/](http://www.hefce.ac.uk/pubs/year/2015/CL_222015/).

<sup>2</sup> Available online at [www.hefce.ac.uk/pubs/year/2014/201412/](http://www.hefce.ac.uk/pubs/year/2014/201412/).

## Section 1: Instructions – Data assurance

- incorrect calculation of full-time equivalence 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 in partnership arrangements
- inadequate audit trail between the student record system and the HESES return
- lack of systems notes for recording 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 makes sense
- lack of reconciliation between HESES and HESA returns before submission to HESA.

63. To assist with future compliance, we strongly recommend that each institution undertakes a formal review of existing arrangements, taking into account the shaded 'Good practice' in the annexes. As new areas of risk arise we need to gain assurance in these areas, so our data assurance activity is continuously developing. Institutions should give particular attention to any new developments in HESES15, 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 website at [www.hefce.ac.uk/funding/da/data\\_audit/](http://www.hefce.ac.uk/funding/da/data_audit/).

### **Good practice**

#### **Audit trail**

64. An adequate audit trail between student record systems and the HESES return should be retained for at least five years. This should include a record of the basis for estimating non-completions and forecast countable years, along with any relevant electronically stored data, printouts and working papers used in completing the return. Source documents such as registration forms should also be retained, including information on students' detailed study intentions for the academic year and their qualifications on entry.

65. There should be an audit trail to individual figures in the return for all Column 1 figures in Tables 1 to 4 and 6, 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 and forecasts (that is, Columns 2 and 3 in Tables 1 to 4 and all of Tables 5 and 6), there must be a clear rationale for the figures, and backup data justifying what is being returned.

66. Where the institution is involved in sub-contractual 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 and staff training**

67. 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 that person's absence, particularly at crucial times of the year, the institution may not be able to prepare the return on time and 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.

68. All relevant staff, including experienced staff, should consider the HESES guidance each year and make any necessary changes to their systems.

69. In addition, institutions should ensure that the relevant processes are adequately documented and that this documentation is kept up to date.

70. 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 D](#).

71. Although institutions have academic regulations and procedures for managing student data in their student record systems, practice within institutions can be inconsistent. In general, institutional practices for collecting and recording data should be applied consistently across all departments and faculties with the same data requirements. However, some departments may have additional requirements to meet. For example, faculties of health studies often have requirements beyond those of the rest of the institution.

72. Data quality will be improved if staff who input data into, manage and maintain the student record system understand and take into account the requirements of its users. Many instances have been found where staff responsible for completing key fields required for funding purposes had no training on the funding rules governing their completion. In many cases the data required to complete those fields correctly was 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 be trained in the institution's data requirements, with reference to any differences between academic regulation requirements and funding rule requirements, so that they understand why they are asked to perform particular tasks.

### **Analytical reviews and data reconciliations**

73. A reconciliation between HESES15 and the 2015-16 HESA individualised student record should be made before the HESA data is submitted. Differences should be examined as part of the process for identifying possible data error, and amendments made to the 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 2016 we will give institutions access to a web facility that will be able to re-create an institution's HESES15 data from its HESA 2015-16 return. An equivalent exercise carried out on the previous year's return during summer 2015 may highlight errors in HESES14 that can be avoided in HESES15.

### **Implementing new student record systems**

74. 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.

75. One problem we find with new systems (even proprietary systems) is the lack of ability to draw out management information and basic reports from the system. 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.

### **Management information**

76. In gaining assurance 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 this standard data from the student record system, and many do not even hold the required data. Data that cannot be extracted and reported on is of limited value.

77. Developing exception reporting, and using it to highlight data issues for review and subsequent amendment, will help to ensure that high-quality data is returned. Data quality is also enhanced by data management reviews by those with a good understanding of the data.

## Self-check questions

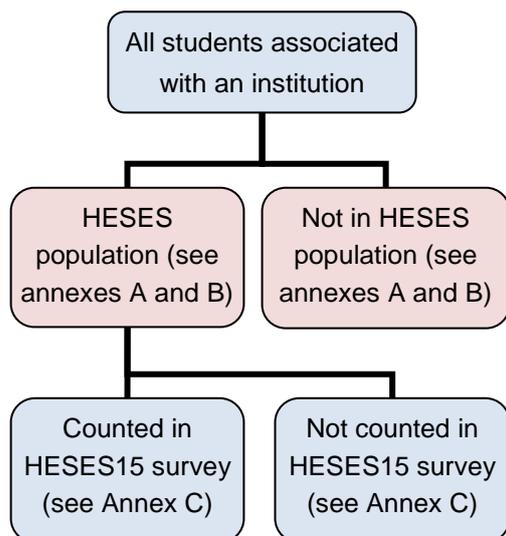
**Please ensure that you can answer ‘Yes’ to all these questions before submitting the completed HESES15 return to HEFCE.**

1. Are you assured that the institution is compliant with HEFCE’s funding rules, as set out in this publication?
2. Has the institution considered the good practice tips, available in detail throughout this publication?
3. Is there an effective audit trail to your student records system and is the system recording student information in accordance with HEFCE’s funding rules?
4. Have all validation checks on each of the tables been passed? (See **Appendix 1** for further information on the validation checks that are carried out in the workbook.)
5. Where credibility warnings are shown, or automatic check highlighting has been generated on the comparison tables, has the entered data been checked to ensure that it is correct and meets the guidance and definitions set out in the relevant sections of this publication? Have you submitted an explanation to HEFCE, setting out why the data is credible? (See **Appendix 2** for further information on the credibility warnings and the automatic check highlighting in the comparison tables, and [Section 1](#) for further information on the data verification process.)
6. Has the institution reviewed its compliance with the definition of non-completions?
7. If you have included any forecast years of instance in Column 2 of the tables, do they meet the criteria to be included in Column 2? (See [Annex C](#) for guidance on when to count years of instance, and the guidance above for further information on what activity may be recorded in Column 2.) Are you assured that the forecast components of the HESES return are grounded in robust and accurate past performance, and that this is auditable?
8. Have all years of instance which have been returned as contracted-out been included only on your institution’s return (and not on the teaching institution’s return)? (See [Annex A](#) for more information). Have you excluded years of instance which are contracted-in?
9. Where any provision is split between price groups, has this been applied according to the split in cost centre provision for each individual course? If you have any initial teacher training (Qualified Teacher Status) or in-service education and training (Qualified Teacher Status) provision, have you assigned it to the correct price groups? (See [Annex G](#) for guidance on allocating years of instance to price groups.)

# **Section 2: Funding rules and definitions**

## Annex A: Defining the HESES student population

This annex defines an 'instance' and explains which student instances should and should not be included in the HESES student population. It also explains how to treat provision delivered through connected undertakings.



### Annex A contents

#### Definitions

- The HESES population for 2015-16
- Who is in the HESES population for 2015-16?
- Connected undertakings

#### Good practice

- Sub-contractual arrangements

### Definitions

#### The HESES population for 2015-16

1. HESES15 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 or HE-level credit** that can be counted towards one.
2. For the purposes of HESES:
  - a. An 'instance' is defined as a coherent engagement with the **institution** by a student aiming towards the award of one or more qualifications, or of credit.
  - b. A 'year of instance' is defined in [Annex C](#). An instance can be split into one or more 'years of instance'. The first year of instance begins when the student starts studying towards the qualification; the second and subsequent years start on or near the anniversary of this date (allowing for minor variations in term dates).
  - c. 'Institution' means the institution including its **connected undertakings** as defined in paragraphs 9 and 10, unless such connected undertakings are subject to a separate funding agreement directly with HEFCE.
  - d. The institution with which a student is registered (both for HESES purposes and for the Higher Education Statistics Agency (HESA) student record) means:
    - i. For all courses except **joint courses**, the institution which has the full contractual responsibility to the student for the provision of educational

## Section 2: Funding rules and definitions – Annex A: Defining the HESES student population

services. Where fee payments from the Student Loans Company are concerned, this will also be the institution that collects the student tuition fee. This applies whether the institution provides all the teaching for the course or sub-contracts out some of that teaching to another body.

ii. For **joint courses**, the institution to which the student is assigned for data reporting purposes when they start their course. In joint courses responsibility for the provision of education to a student is held by more than one institution, and there may be variation from year to year as to which of these collects the tuition fee for a year of instance. For data reporting purposes, however, institutions should determine at the outset what proportion of the initial entry cohort should be reported by each institution. Reflecting this proportion, each student should then be assigned to a single institution when they start their course, and retain this assignment until they finish it. This approach will support student tracking for performance indicators and other longitudinal studies.

e. 'Joint courses' are courses made available by two (or more) institutions with degree-awarding powers, in which each institution has responsibility for the provision of education to students and which lead on successful completion to a joint award or dual or multiple awards from each institution involved. Teaching may be provided in varying proportions by the institutions involved.

f. A 'recognised HE qualification or HE-level credit' is defined in [Annex B](#).

### Who is in the HESES population for 2015-16?

3. Instances meeting **all** the following criteria should be included in the HESES population:

a. At least part of a year of instance in which the student is registered and actively pursuing studies with the institution begins within the academic year (1 August 2015 to 31 July 2016). This:

i. Includes outgoing, but not incoming, exchange students.

ii. Excludes students who the institution teaches under a sub-contractual relationship with another institution, where the latter institution has the full contractual responsibility to the student for the provision of education.

iii. Excludes instances for students who are on school-centred initial teacher training programmes.

iv. Excludes instances that are being returned on any other institution's HESES, Higher Education in Further Education: Students Survey (HEIFES) or Higher Education in Alternative Providers: Early Statistics Survey (HEAPES) return.

v. Excludes instances where no year of instance for which the student is actively studying with the institution falls at least partly in the academic year 2015-16, such as:

Section 2: Funding rules and definitions – Annex A: Defining the HESES student population

- 1) Instances where all years of instance falling in the year are entirely writing up.
  - 2) Instances where the only activity is assessment. This includes teacher training programmes which consist only of a Qualified Teacher Status assessment.
  - 3) 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.
- vi. Excludes graduate and undergraduate internships.
- 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. This excludes instances where the sole course aim is a National Vocational Qualification, but includes instances which lead to both a recognised HE qualification and a National Vocational Qualification.
- c. No more than half of the active study time for the whole instance is spent outside the UK (including through distance learning), 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 receiving UK student support from the Student Loans Company for the year.

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

4. All instances included in the HESES 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.

HESA notes

5. Students who are in the HESES population must have a HESA record returned for 2015-16 even if they do not generate a countable year in HESES15.

6. As the responsibility for reporting student data (other than for joint courses) depends on which institution has full contractual responsibility to the student for the provision of education, students should not, other than in exceptional circumstances, change the institution they are registered with, and no change should be made as to which institution reports data on students who are continuing on the same course without each student's informed agreement. The only case where we expect this to be common

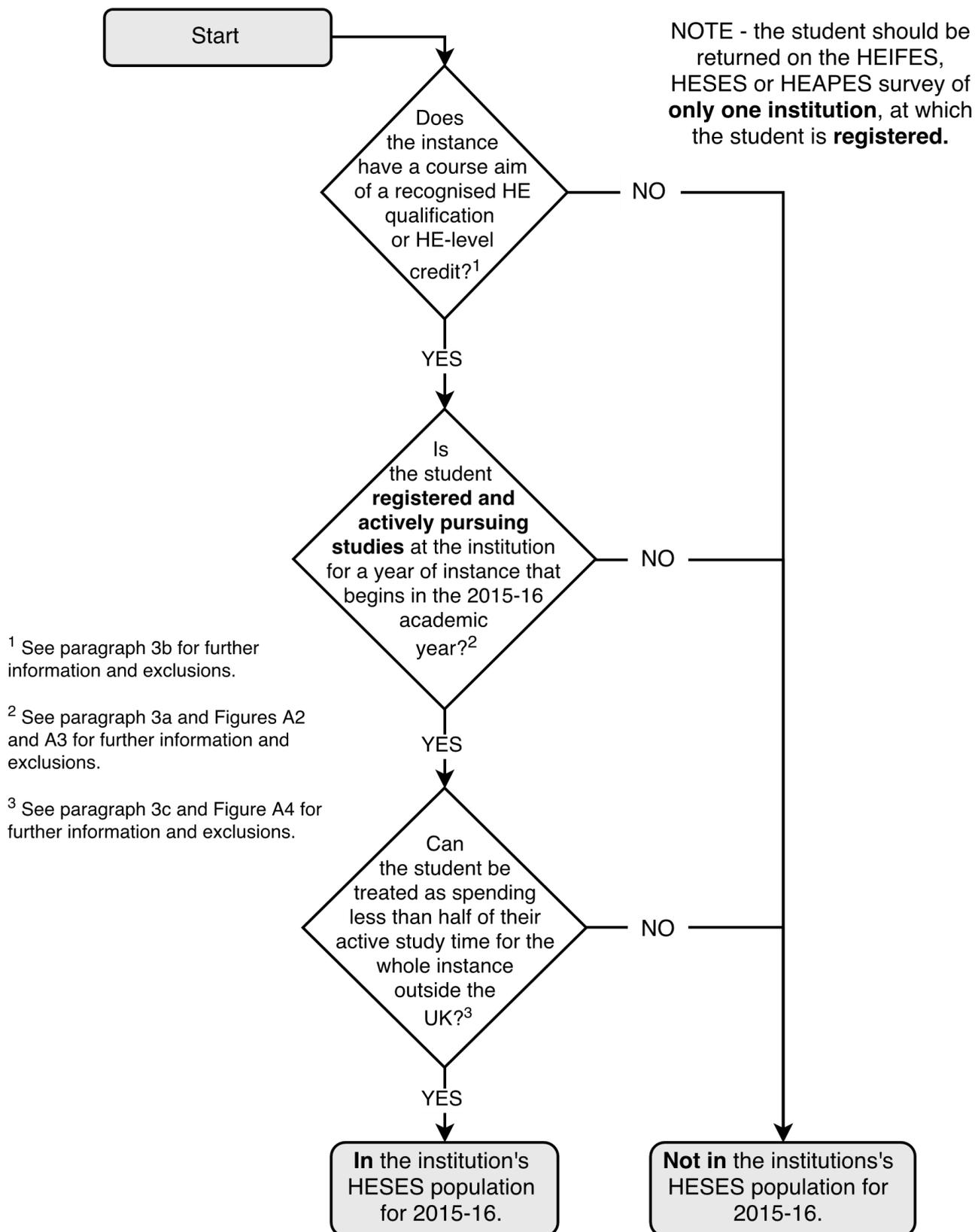
## Section 2: Funding rules and definitions – Annex A: Defining the HESES student population

practice is in formal collaborative research programmes (such as Doctoral Training Partnerships or Centres for Doctoral Training), where students will often transfer having completed an MRes. In reporting student data to us, institutions will be confirming their contractual responsibilities for the provision of education to these students.

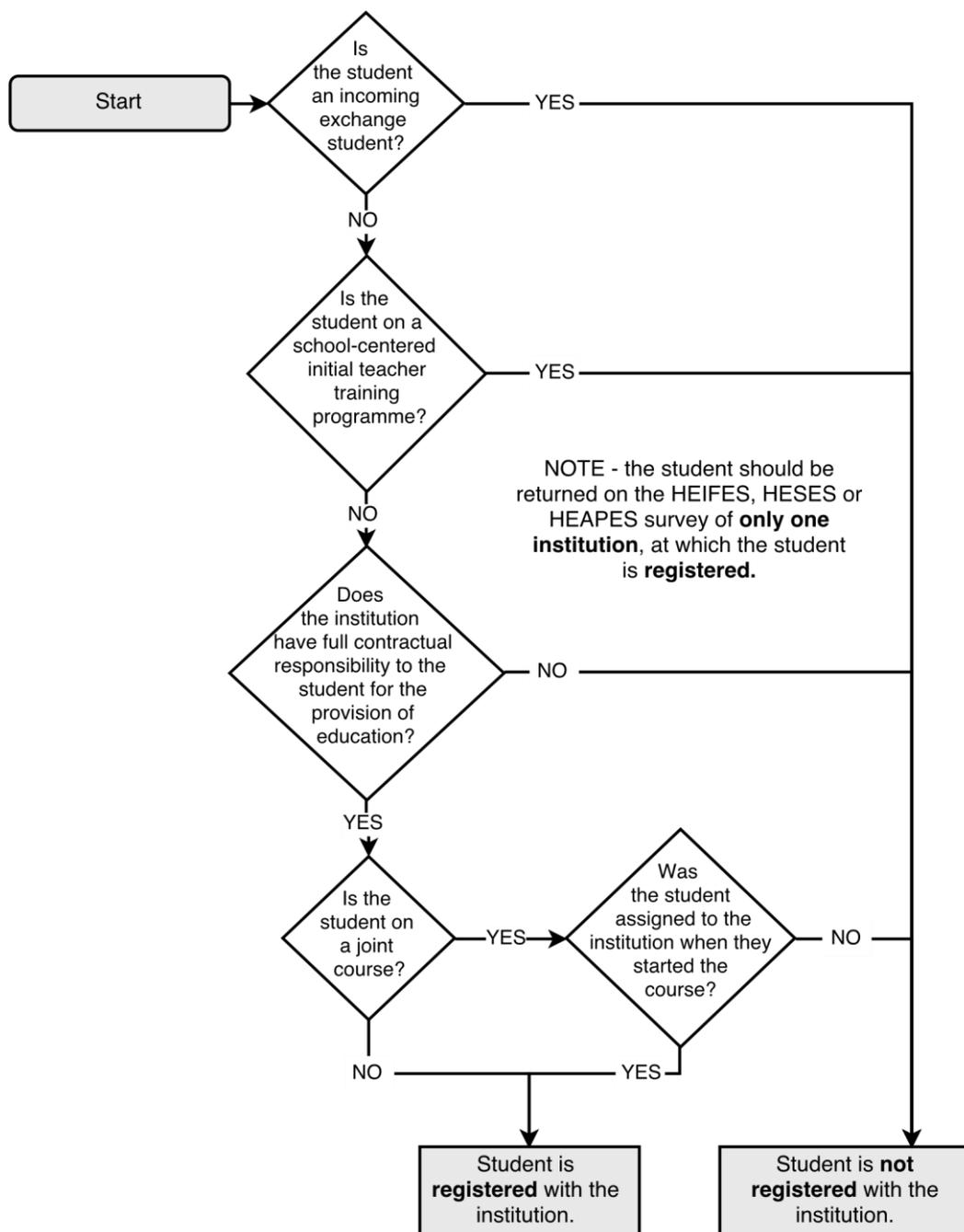
7. Students who have not completed the institution's registration process for the instance, and from whom there is no evidence of activity by the census date, should not be included in Column 1 of Tables 1 to 3 in the HESES15 return. However, if there is evidence of activity, students should be included in Column 1 of Tables 1 to 3 of the HESES15 return. Efforts should be made to ensure that all eligible students are fully registered by the census date.

8. The flowcharts provided in **Figures A1 to A4** can be used to determine if a student can be included in the HESES population for 2015-16.

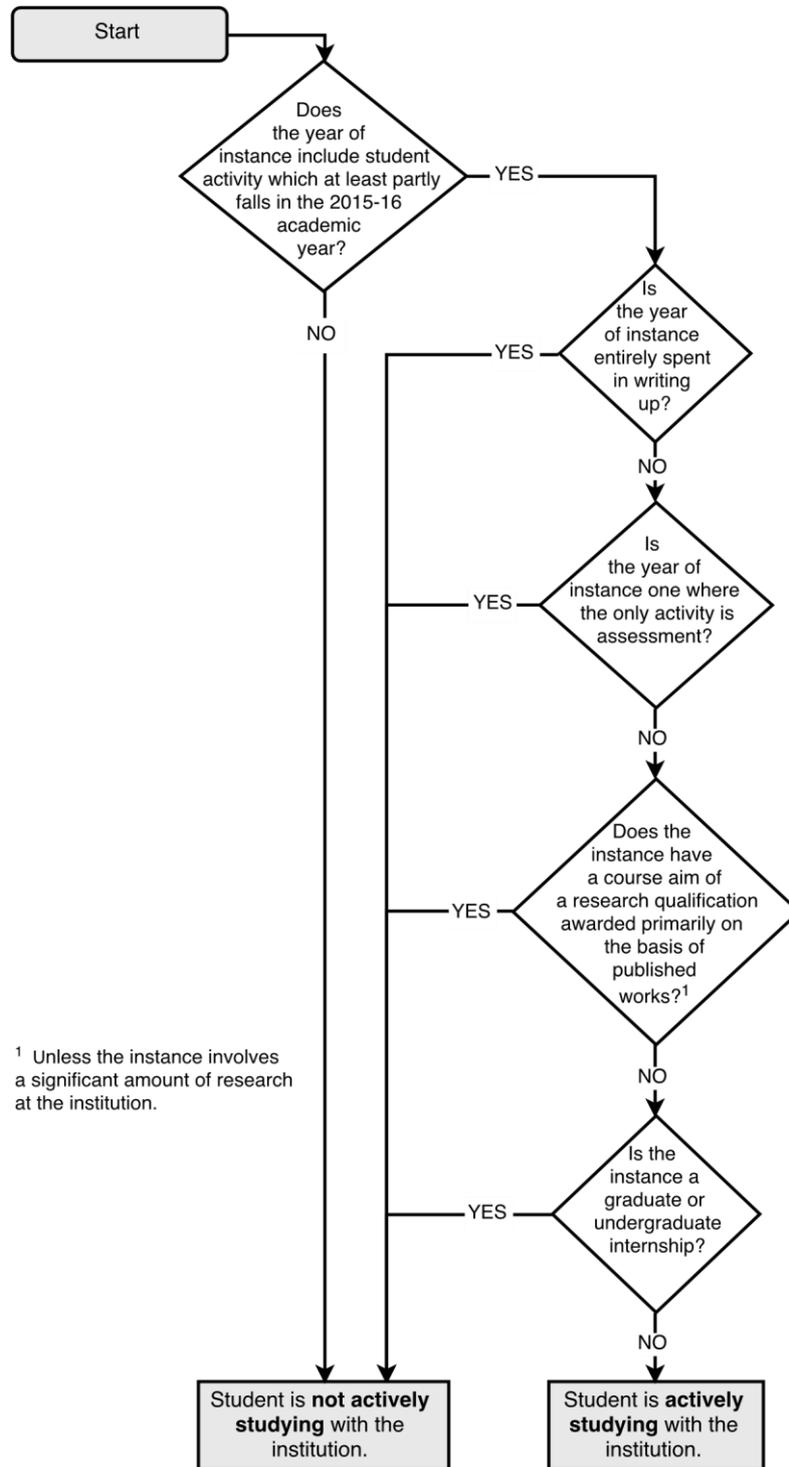
**Figure A1: Determining the HESES population for 2015-16**



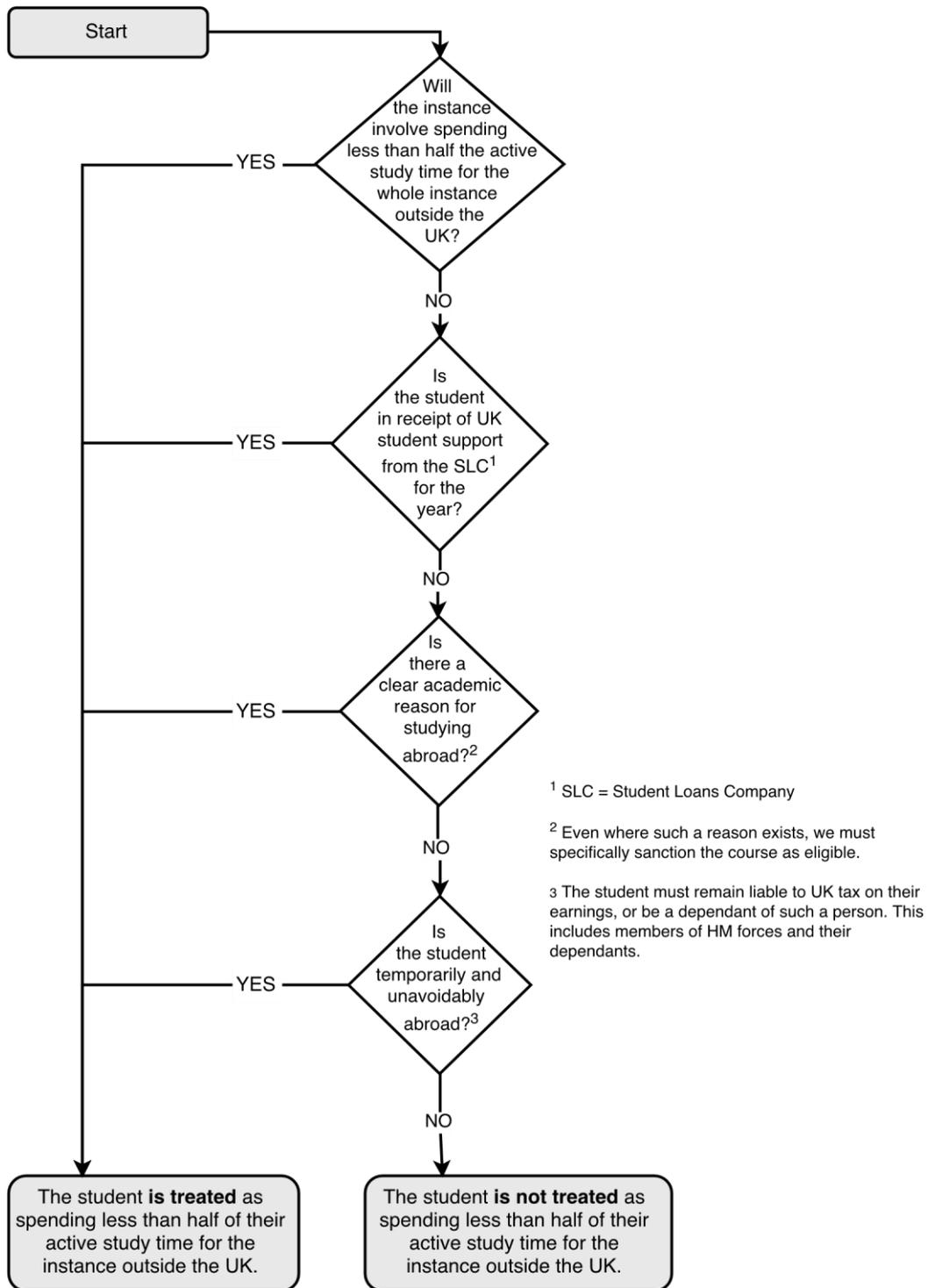
**Figure A2: Determining whether a student is registered with an institution**



**Figure A3: Determining whether a student is actively studying with an institution**



**Figure A4: Instances with less than half of the active study time spent abroad**



## **Connected undertakings**

9. An ‘undertaking’ includes a body corporate, a partnership, an unincorporated association or a trust. An undertaking will be regarded as a connected undertaking of the institution if any of the following apply:

- 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.
- 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 in any control on the institution’s numbers.

10. For the purpose of paragraph 9, an undertaking is under the ‘control’ of another if any of the following apply<sup>3</sup>:

- a. That other holds a majority of the shares in the undertaking.
- b. That other holds a majority of the voting rights in the undertaking.
- c. That other has the right to appoint or remove a majority of the board of directors or other governing body of the undertaking.
- d. 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.
- e. That other has the right to a share of more than half the assets, or of more than half the income, of the undertaking.
- f. Both are managed on a uniform basis.
- g. That other has the power, by any other means, to secure that the affairs of the undertaking are conducted in accordance with its wishes.

## **Good practice**

### **Sub-contractual arrangements**

11. It is the responsibility of the registering institution to ensure the quality of all the data it returns, including those relating to activity at its sub-contractors.

12. It is essential that the exchanges of information and communications between the partners are frequent, timely, open and effective. In particular, we highlight the

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<sup>3</sup> 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.

## Section 2: Funding rules and definitions – Annex A: Defining the HESES student population

importance of a registering institution being told promptly by its partner institutions about any withdrawing students. This may require clear protocols among partner institutions regarding exchange of information.

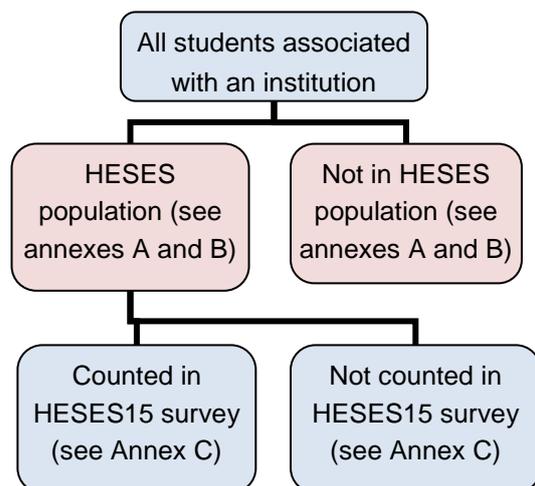
13. The different roles of each partner in collecting and managing data will vary. The principle applied at audit is that student data should be managed with equal professionalism at all partner institutions. When entering into sub-contractual arrangements, the systems in operation and the exchange of information should form part of the negotiations and final agreement.

14. It is also important that students are returned on the HEFCE survey and the HESA student record (or the Individualised Learner Record) by the registering institution only. An institution's student record system should contain all sub-contracted students' records in the same way as it does its 'own' students. However, institutions' student record systems should clearly identify those students taught under a sub-contractual arrangement as to be returned by them, and should ensure that those not eligible are excluded from the HEFCE survey. This will help to ensure that sub-contracted out students are correctly returned in HESES, and that an audit trail for such students is available.

15. Use of the registering institution's standard processes 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 has a contractual relationship with, 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.

## Annex B: Recognised higher education

This annex defines the recognised higher education courses which students must be studying if they are to be included in HESES15. It also details the treatment of students on higher, degree or advanced apprenticeships which include both higher and further education elements.



### Annex B contents

#### Definitions

- Recognised higher education (HE) qualifications
- Foundation years ('Level 0')
- Funding for higher, degree and advanced apprenticeships

### Definitions

#### Recognised higher education qualifications

1. To be included in the HESES population for 2015-16 and therefore potentially counted in HESES15, an 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.
2. Recognised HE qualifications are those awarded on successful completion of 'Courses of higher education' as 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. Instances that do not lead, upon successful completion, towards a recognised HE qualification, or an HE-level credit that can be counted towards one, are excluded from the HESES population.

#### Foundation years ('Level 0')

4. Instances for foundation years, access provision and other provision commonly referred to as 'Level 0' will be included in the HESES population 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 the foundation year is taught by a different institution, this will be treated as integrated – and therefore within the HESES population – only if it is done under a sub-contractual arrangement from the institution offering the recognised HE qualification.

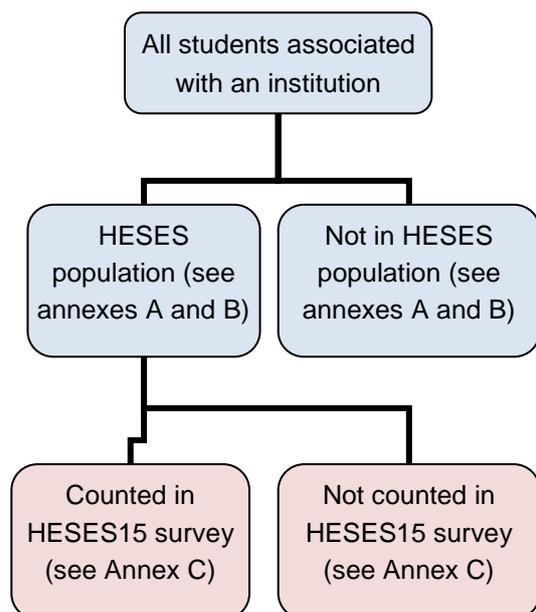
### **Funding for higher, degree and advanced apprenticeships**

6. Higher apprenticeships and degree apprenticeships (also known as higher-level apprenticeships) and some advanced apprenticeships that include HE-level elements 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 obtained during the course of apprenticeships
  - further education and HE tuition fees that may be supported through publicly funded loans from the Student Loans Company.
7. Only the activity within a higher, degree or advanced apprenticeship that meets the definition of recognised HE courses given in this annex should be included. This means that a student who has commenced such an apprenticeship but is not undertaking the recognised HE part of that apprenticeship during the year of instance should not be included in HESES.
8. Where higher education institutions or franchise partners are also providing other elements of training as part of a higher, degree or advanced apprenticeship, they should report two instances on the Higher Education Statistics Agency (HESA) student record for each student on the apprenticeship:
  - a. One of these should relate to study towards the qualifications, or credits, that meet the definition of recognised HE courses in this annex and which may be HEFCE-fundable.
  - b. The other should relate to study towards any other qualifications, which may be funded by the Skills Funding Agency. Where institutions return further education activity directly to the Skills Funding Agency on the Individualised Learner Record, the further education instance should not be included on the HESA record.

This is necessary to ensure clarity in our respective funding responsibilities.

## Annex C: Counting student activity

This annex gives the definition of a year of instance and explains how to count them in HESES15. This includes the criteria for counting a year of instance in HESES15, the definitions of standard and non-standard years of instance, flow charts to aid with determining how years of instance should be counted, and guidance on counting some short courses that are sometimes known as ‘summer schools’.



### Annex C contents

#### Definitions

- Year of instance
  - Further notes on years of instance
- Counting years of instance

#### Guidance

- How to count years of instance
  - Students who withdraw before the census date
  - Standard and non-standard years
- New entrants
- Assigning modules to year of instance
- Summer schools
  - Summer schools for potential HE students
  - Access provision
  - Within-course periods of study in vacation time
  - Foundation degree bridging courses

#### Examples

#### Good practice

### Definitions

#### Year of instance

1. Paragraph 2 of [Annex A](#) defines an ‘instance’ as ‘a coherent engagement with the institution by a student aiming towards the award of one or more qualifications, or of credit’. An instance can be split into one or more ‘years of instance’. The first year of instance begins when the student starts studying towards the qualification; the second and subsequent years start on or near the anniversary of this date (allowing for minor variations in term dates).
2. HESES counts years of instance for students studying towards recognised higher education (HE) qualifications or credits. 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**

3. Exceptionally, a student may be on two courses at the same time, aiming for two independent recognised HE qualifications. Each instance then generates its own year of instance which will 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 could count towards the same final qualification would generate only one year of instance each year. Usually, independent instances link to different course aims on the Higher Education Statistics Agency (HESA) student record.
4. Where a student completes a foundation degree and then undertakes 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, as explained in paragraph 24-28 of this annex.
5. Where a student is on a Subject Knowledge Enhancement short course connected with teacher training, for HESES purposes this should not be seen as a separate instance from the main course. However, in the HESA record it will be identified as a separate instance.
6. 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/c14051/UHN](http://www.hesa.ac.uk/c14051/UHN).

### **Counting years of instance**

7. To be counted, years of instance must be generated by a student in the HESES population for 2015-16, 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. Other than for sandwich year out students 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 them 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 throughout 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.
  - d. The student has not withdrawn, and is not forecast to withdraw, within two weeks of starting their instance.

8. 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.

## Guidance

### How to count years of instance

#### Students who withdraw before the census date

9. If a student has withdrawn from their course on or before 1 December 2015 without completing the year of instance, their year of instance should not be returned.

#### Standard and non-standard years

10. 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.

b. A **non-standard year** is one where all activity for the year of instance is **not** entirely within one academic year – that is, where 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.

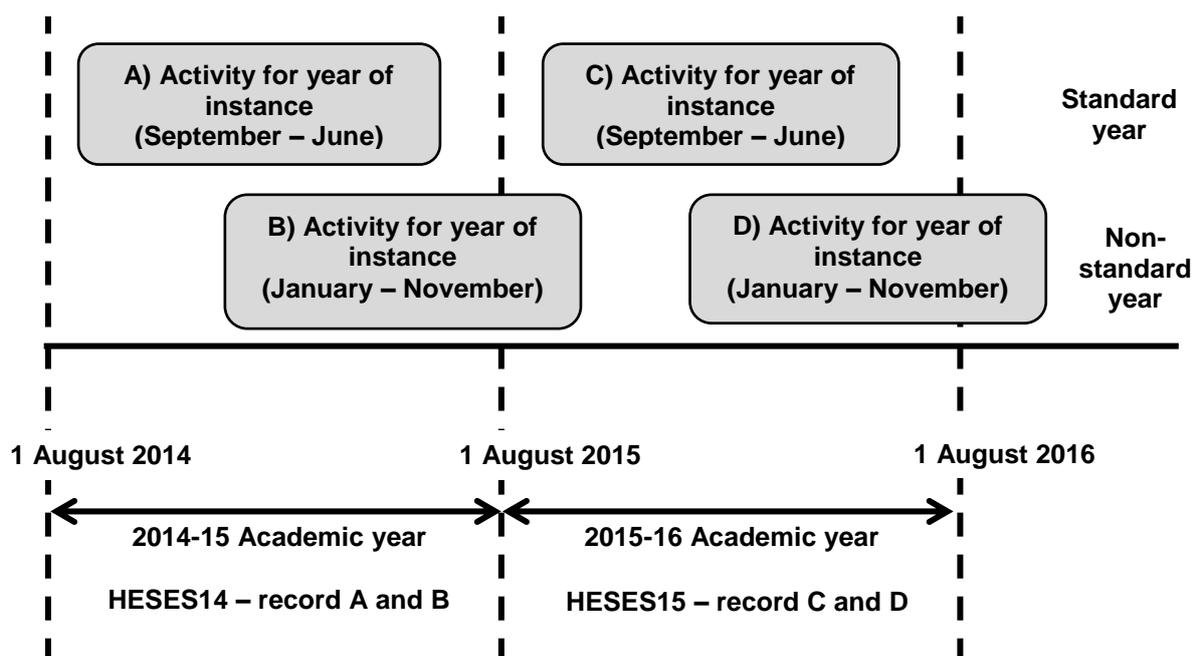
11. In both standard and non-standard years, **students become countable at the start of each year of instance**. The FTE returned should be the FTE for the whole year of instance (See [Annex E](#) for further details):

a. For students on standard years, the FTE for the whole year of instance will usually be the same as the FTE for the academic year.

b. For students on non-standard years, 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.

**Figure C1** shows how to count standard and non-standard years in HESES15.

**Figure C1: How to record standard and non-standard years**



### New entrants

12. For Tables 5 and 6, students should be classed as new entrants when they meet both the following criteria:
- a. They first generate a countable year for the instance.
  - b. They have not been active at the same broad level (undergraduate, postgraduate taught or postgraduate research) at the registered institution in either of the two previous academic years.

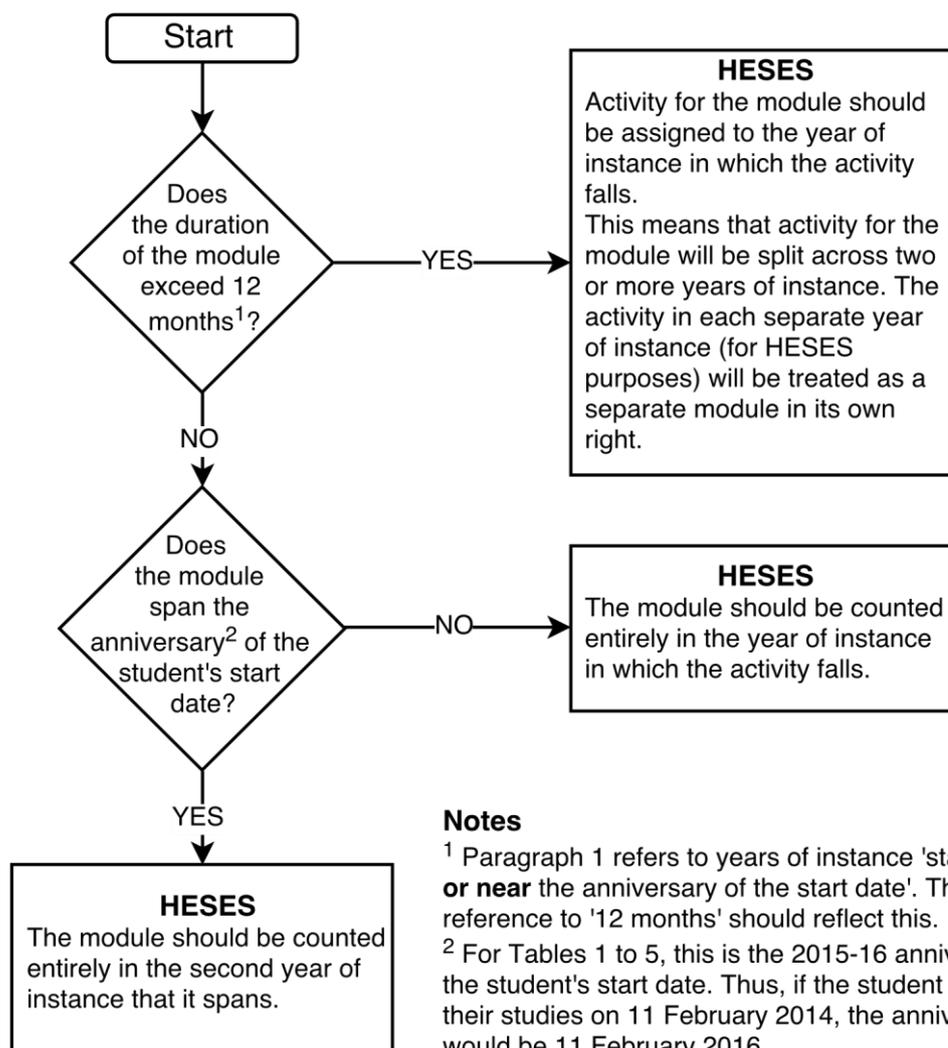
Students repeating the first year of a course should not therefore be included as new entrants, whereas those entering directly into the second or later year of a course could be.

### Assigning modules to years of instance

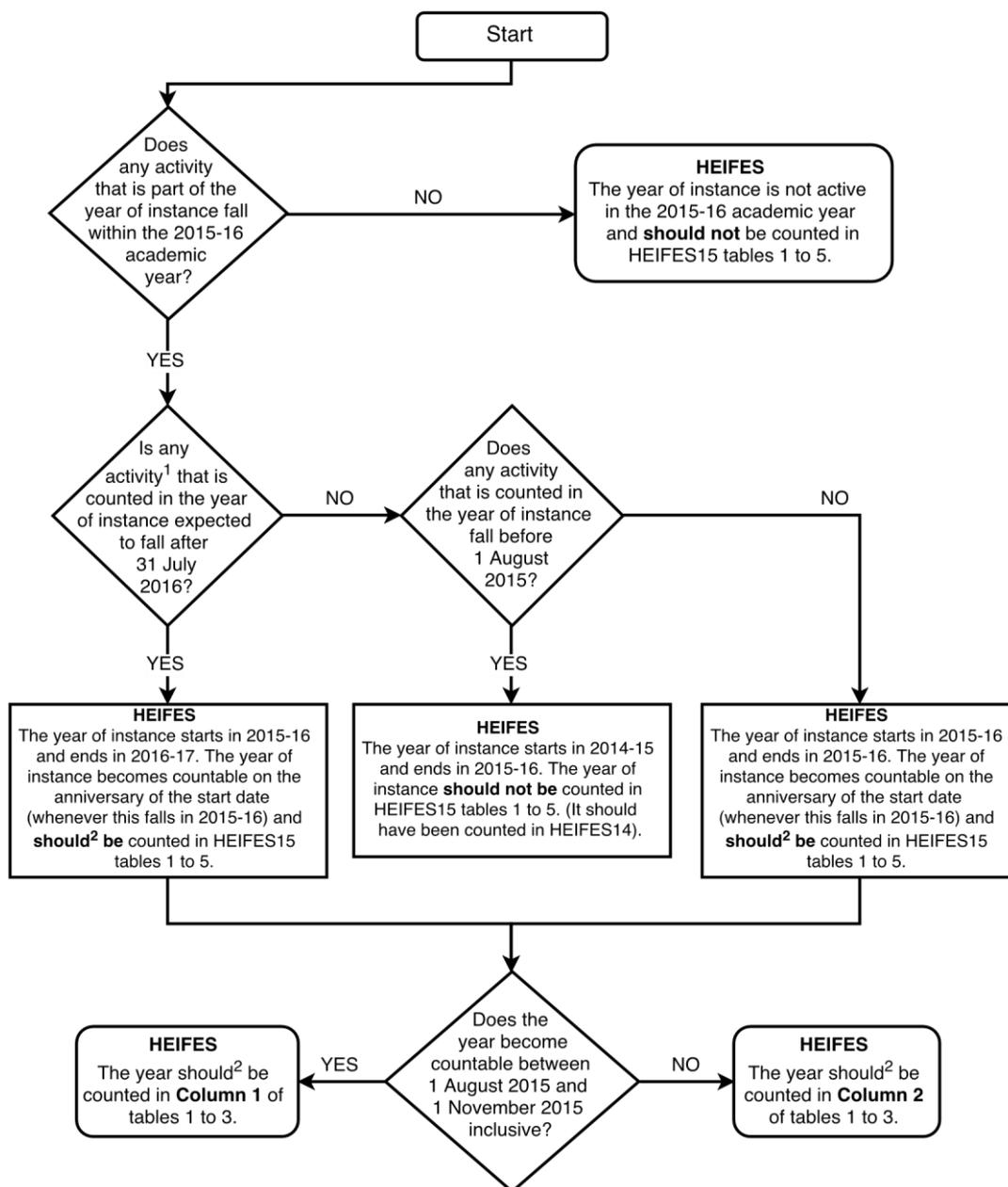
13. If a module spans two years of instance then all activity for that module should be counted in the second year of instance in which it occurs. Exceptionally, where the duration of the module is greater than 12 months, the activity for the module should be assigned to the year of instance in which 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. Consequently this includes where the HESES year of instance concept is used to determine HESA field values: such as FUNDCOMP, LOADYRA, and FUNDLEV.

14. The flow chart in **Figure C2** can be used to determine which year of instance a module should be assigned to. The flow chart in **Figure C3** can then be used to determine whether or not the year of instance should be counted in HESES15, and if so, whether it should be returned in Column 1 or 2 of Tables 1 to 3.

**Figure C2: How to assign modules to a year of instance**



**Figure C3: How to determine whether a year of instance should be returned in HESES15, and whether in Column 1 or 2 in Tables 1 to 3**



<sup>1</sup> For this purpose, periods of work experience that would cause the year of course to span academic years should be ignored.

<sup>2</sup> Subject to meeting the other conditions to be counted in HEIFES.

HESA notes

15. Data returned on the HESA record mainly relates to the HESA reporting year and is not disaggregated across years of instance. To allow institutions to return accurate data on activity within years of instance, the HESA record includes four fields: INSTAPP, LOADYRA, LOADYRB and MODYR. The latter three fields are optional.

16. For monitoring purposes, where institutions do not complete these fields, we will make assumptions about the FTE for the year of instance. Broadly, we assume patterns of activity across years are constant and are equivalent for similar students. Full details of the algorithms we expect to use are shown in the documentation for 'HESA funding and monitoring data 2014-15: Web facility', which is available on the HEFCE website at [www.hefce.ac.uk/data/famd/latest/](http://www.hefce.ac.uk/data/famd/latest/). Institutions should, where possible, avoid making an approximation of activity for the year of instance in completing HESES.

### **Summer schools**

17. 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**

18. 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.

#### **Access provision**

19. 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 a course leading to a recognised HE qualification, the students are included in the HESES population: see paragraphs 4 and 5 of [Annex B](#) 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 J](#).

20. If the access provision is not an integrated part of the course leading to a recognised HE qualification, it is not HE and the students are not part of the HESES population.

#### **Within-course periods of study in vacation time**

21. 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 usually fall 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 J](#).

22. 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 these should be treated as standard years of instance.

HESA notes

23. 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**

24. These are short courses which come after a foundation degree has been completed, but before the final year of an honours degree course. They 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 HESES, 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.

HESA notes

25. 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 including a foundation degree bridging course means that the year of instance becomes non-standard. Where the year would otherwise have been recorded as a standard year of instance, it should still be recorded as such.

26. Where a student's only activity during the academic year is a foundation degree bridging course (for instance if they withdraw during or following completion of the course, or transfer in from another institution before starting the 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.

27. 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 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 completing the bridging course, FUNDCOMP should reflect the completion status of the year of instance of the degree.

28. Full guidance on how to return foundation degree bridging courses on the HESA record is available at: [www.hesa.ac.uk/c15051/a/bridge](http://www.hesa.ac.uk/c15051/a/bridge).

## Examples

### Counting years of instance

#### Example 1: Standard year (Column 1)

29. A full-time student starts a degree programme on 22 September 2015, with each year of the course finishing at the end of June: each year is a standard year. The student becomes countable on 22 September 2015 and on or around the anniversary of this date each subsequent year.

30. As the first year of instance becomes countable between 1 August 2015 and 1 December 2015, it would be included in Column 1 of Table 1 in HESES15. Later years would similarly be returned in Column 1 of subsequent HESES returns.

#### Example 2: Standard year (Column 2)

31. A full-time student starts an HNC on 10 December 2015, with all activity completed before the end of July 2016: therefore the year is a standard year. The student becomes countable on 10 December 2015.

32. As the year of instance becomes countable between 1 December 2015 and 31 July 2016, it would be included in Column 2 of Table 1 in HESES15.

#### Example 3: Non-standard year

33. A full-time student starts a three-year degree programme on 18 January 2016 with each year of the course finishing in November: each year is a non-standard year. The student becomes countable on 18 January 2016 and on or around the anniversary of this date in each subsequent year.

34. As the first year of instance becomes countable between 1 December 2015 and 31 July 2016, it would be included in Column 2 of Table 1 in HESES15. Later years would similarly be returned in Column 2 of subsequent HESES returns.

#### Example 4: Non-standard year, final year of course

35. In January 2016, a full-time student begins the final year of a degree programme they started on 18 January 2014. Each year of the course runs from January to November: each year is a non-standard year.

36. The student initially became countable on 18 January 2014, the date they started their course. As they have progressed through the course they have been counted on or around the anniversary of this date in each subsequent year.

37. For HESES15, as the final year of instance becomes countable between 1 December 2015 and 31 July 2016, the student would be included in Column 2 of Table 1 in HESES15, as happened in HESES14 and HESES13. All activity for this final year would be recorded on HESES15.

38. If the student successfully completes their final year, no activity would be recorded on HESES16 (for the period from August to November 2016), as all activity would have been returned on HESES15.

Example 5: Standard year, student starting late

39. A full-time Higher National Diploma (HND) course starts on 9 October 2015 and runs from 9 October to 30 June each year. A student starts the HND programme late, on 11 December 2015, but intends to catch up with the rest of the students on the course and follow the same pattern of activity as them. As all the activity for that student's year of instance remains entirely within one academic year, it is a standard year.

40. As that student's year of instance starts on 11 December 2015 and on the anniversary of that date in subsequent years, the student should be included in Column 2 of Table 1 in HESES15, and similarly in subsequent HESES returns as they continue their studies.

Example 6: Standard year, student who interrupts their course

41. A full-time student starts in September 2015 intending to study eight modules before June 2016. At the end of the first semester in February 2016, having completed four modules, they interrupt the course and return 12 months later to complete the remaining four modules by June 2017.

42. The first year of instance becomes countable in September 2015 and is therefore returned in Column 1 of Table 1 of HESES15. The data entered in Column 3 of Table 1 of HESES15 should reflect a forecast of such students entered in Column 1 or 2 who will intermit (and therefore non-complete) after 1 December 2015.

43. The second year of instance becomes countable at the start of the year of instance in September 2016 (and not in February 2017 when the student returns), and is therefore returned in Column 1 of Table 3 of HESES16 (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 1 of Annex H).

## New entrants on Tables 5 and 6

### Example 7: Students topping up from a foundation degree (Table 5)

44. A HEFCE-fundable student studies full-time for a foundation degree at a college in the academic years 2013-14 and 2014-15, then tops up to a full-time bachelors degree at a university in 2015-16:

a. If the foundation degree was delivered by the college under a sub-contractual arrangement from that university, then the student would be considered to be studying at the same institution (the university) and at the same broad level throughout the period 2013-14 to 2015-16. They should **not** therefore be reported as a new entrant for 2015-16 in Table 5.

b. If the foundation degree was **not** delivered under a sub-contractual arrangement, but was funded directly at the college, then the student would be considered to be a student of the college for 2013-14 and 2014-15, and of the university in 2015-16. Because the study is not at the same institution, the student should be reported as a new entrant in Table 5 when they top up to the bachelors degree in 2015-16.

### Example 8: Students topping up from a foundation degree (Table 6)

45. A HEFCE-fundable student starts a full-time foundation degree at a college under a sub-contractual arrangement from a university, intending to complete this in the academic years 2015-16 and 2016-17, and then topping up to a full-time bachelors degree at that university in 2017-18.

46. As the foundation degree was delivered by the college under a sub-contractual arrangement, the student is a registered student of the university for all academic years 2015-16 to 2017-18, and the university would have the responsibility for returning the student on its HESSES return. As such, for the academic years 2015-16 and 2016-17 the university would need to record the student as follows on Table 6:

a. In 2015-16, the university would record the student in both Columns 1 and 2 of Table 6.

b. In 2016-17, the university would record the student in column 1 only.

c. In 2017-18, the student would not be recorded on Table 6.

47. In each of the years, the student would also be returned on Table 1.

### Example 9: Students who switch modes

48. A student started studying towards an HND on a part-time basis in 2013-14. In 2015-16 they switch to full-time study. The student is considered to be studying at the same institution and at the same broad level throughout the period 2013-14 to 2015-16. They should not therefore be reported as a new entrant for 2015-16 in Table 5.

## Summer schools

### Example 10: Within-course periods of study in vacation time

49. 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 is not a separate instance.

## Good practice

### Removing duplicate records

50. Data held on the student record system should be reviewed before it is 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. Exceptionally there may be genuine reasons why a student has two records, and these will 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.

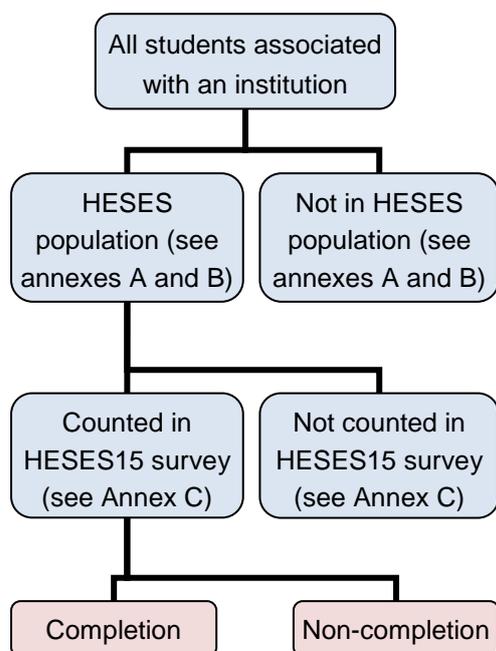
51. Part-time students are sometimes incorrectly counted as more than one headcount for different modules within the same instance. It is important that if students generate only one instance they should only have one headcount in the return. Processes should be designed to ensure this. This tends to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

### Evidence relating to fee waivers

52. Where the fee has been waived for an individual student, evidence of the reason for the waiver must be retained.

## Annex D: Completion and non-completion

This annex explains how to determine the completion status of a year of instance in HESES15.



### Annex D contents

#### Definitions

- Module
- Final assessment
- Fees
- Completion

#### Guidance

- Estimates of non-completion

#### Special cases

- Mode changes
- Modules taken in addition to standard requirements
- Substituted or retaken modules
- Years of instance or modules with no formal assessment
- Modules where assessment is optional
- Withdrawing from a module before it starts
- Changing study intentions within the year due to accredited prior learning

#### Examples

#### Good practice

### Definitions

#### Module

1. For the purposes of HESES15, a 'module' is 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.

#### Final assessment

2. The final assessment for a module is the one that has its first occurrence on the latest normal due date: the timing of resits and coursework extensions should therefore be disregarded. Whether an assessment is considered to be the final assessment does not depend on its associated weight. For example, if a module is assessed by an exam

which accounts for 90 per cent of the marks, with the remainder assessed via coursework due after the exam (and not solely because of an extension) the coursework, rather than the exam, is the final assessment.

3. Where the last two assessments for the module are due on the same day, either one can be considered the final assessment.
4. Where the final assessments for a module comprise 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) which may be timetabled for individual students either before or after the fixed assessment, then the fixed assessment should be treated as the final assessment.
5. A viva voce examination should not be treated as the final assessment unless all students are required to undertake it.

### **Fees**

6. 'Fees' has the meaning set out in Section 41 of the Higher Education Act 2004 and in the Education (Student Fees) (Exceptions) (England) Regulations 1999, which continue to apply<sup>4</sup>.

### **Completion**

7. 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. They must do this 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, which defines the start of the year of instance.
8. 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 that 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 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.
9. 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. 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 a student who starts the year intending to follow a certain pattern of activity, but does not complete all of it, would be a non-completion.

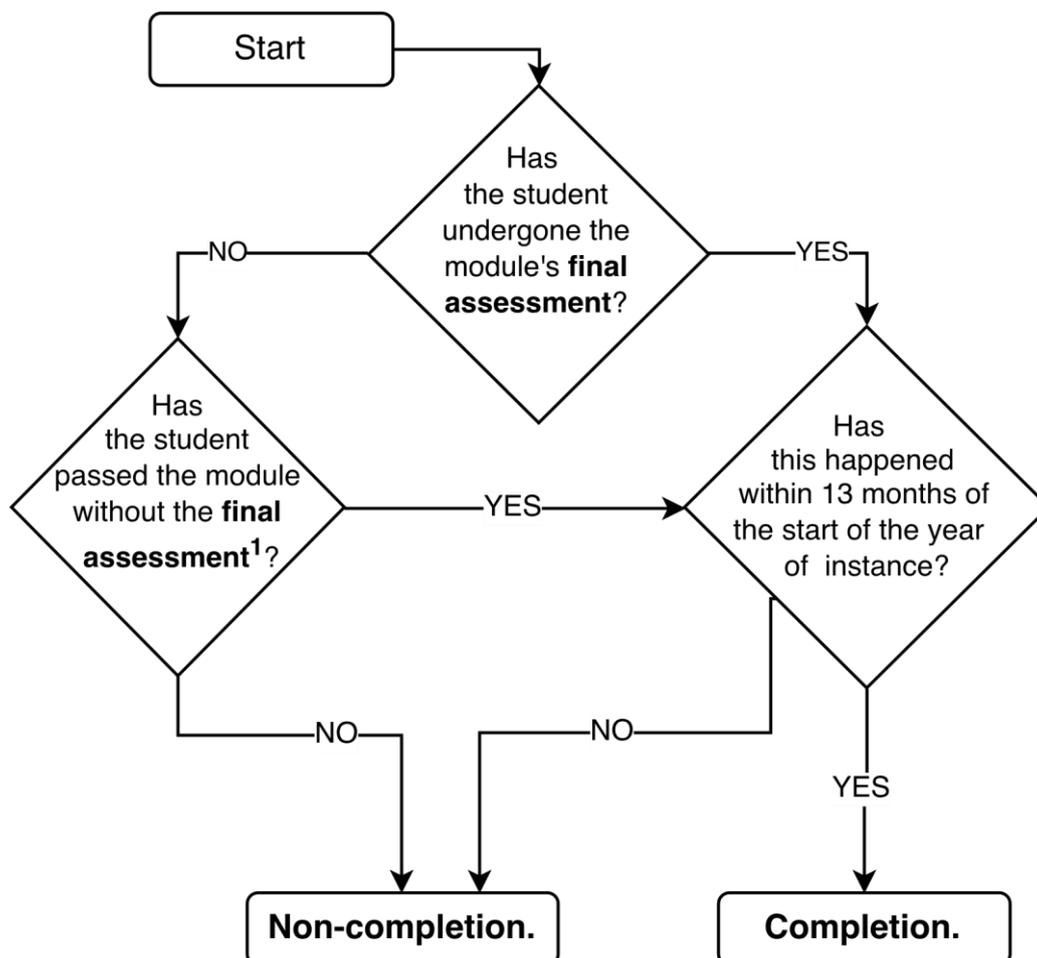
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<sup>4</sup> Statutory Instrument 1999/2265 – available at [www.legislation.gov.uk/ukSI/1999/2265/contents/made](http://www.legislation.gov.uk/ukSI/1999/2265/contents/made).

10. If a student has not formally withdrawn from the institution by the year end, this does not in itself qualify as a completion. Continuation of study to the following year should not be taken as evidence of, or a proxy for, completion in the previous year.

11. The flowchart in **Figure D1** can be used to determine a student's completion status for a module.

**Figure D1: Determining a student's completion status for a module**



<sup>1</sup> This should not be due to credit attained in other modules. See paragraph 8b for further detail.

## Guidance

### Estimates of non-completions

12. Institutions should ensure that estimates of non-completion are supported by historical data. Any 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 reflects their actual completion status.

13. Estimates of the number of non-completions for a particular year of a course should normally be based on the equivalent non-completion rates for that course from the

previous academic year. Institutions should note that non-completion rates will typically vary by course, year of course and mode of study, and should therefore ensure that such variation is accounted for in their estimates. In particular, non-completion rates for first years of a course are typically higher than later years. Non-completion rates for distance-learning courses are often much higher, and estimates should therefore be based only on other distance-learning courses.

14. Where the number of students on a course is small, or the course is new, institutions should base the estimates for each year of the course on (groups of) similar courses to ensure that estimates are robust.

15. Institutions should not use previous years' HESES estimates as a basis for determining the estimates for the current year. If Higher Education Statistics Agency (HESA) data is used, institutions should make adjustments to account for students whose completion status was unknown (FUNDCOMP = 3) when the HESA data was submitted.

16. Institutions should be able to demonstrate the validity of their estimates by analysing the non-completion rates for different courses over three to five years. This will help to identify trends, and years where the result is atypical compared with the trend. Institutions should keep documentation to support their estimates, along with other documentation relating to the return, for a minimum of five years and may be asked to provide this as part of audit or other data assurance activity. Where the non-completion rate used differs significantly from past data, there should be a clear rationale for the change; institutions may be asked for evidence of this during data verification of HESES15.

## **Special cases**

### **Mode changes**

17. If a student formally switches mode from full-time to part-time as defined in paragraph 11 of [Annex H](#), their completion status should be determined with reference to their revised study intentions.

### **Modules taken in addition to the standard requirements**

18. Occasionally students may study modules as part of an instance 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.

### **Substituted or retaken modules**

19. Within their overall study intentions, students may substitute or retake modules without affecting their completion status. For substitute or retaken modules to be counted and the original modules to be disregarded in assessing completion and full-time equivalence, both the following criteria must apply:

- a. The total number of credit points in any substituted modules would need to be greater than or equal to that in the original module or modules.

and

b. Either the fees charged remain the same (this will commonly be the case for full-time students), or the entire fee for the original module or modules is refunded and a separate fee charged for the substitute or retaken module or modules.

20. 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.

### **Years of instance or modules with no formal assessment**

21. In some cases a year of instance or module 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, continued attendance throughout the year of instance constitutes completion. Institutions should therefore ensure that adequate evidence of attendance exists, such as class registers.

### **Modules where assessment is optional**

22. 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 the module that they will not undergo assessment for it. In this case, the module will not be reported at all in HESES, and the completion status of the student will not be affected by their completion or non-completion of the unassessed module.

### **Withdrawing from a module before it starts**

23. Where the pattern of activity within the year is not specified, students will occasionally register for a module then withdraw before it starts. Provided the fee for this module is refunded in full, the module should not be reported at all in HESES, and should be disregarded in determining completion and full-time equivalence. 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.

### **Changing study intentions within the year due to accredited prior learning**

24. Where a student's study intentions change partway through the year of instance because they are awarded accredited prior (experiential) learning equivalent to one or more modules, their 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 full-time attendance requirements. Provided the student meets the requirements to be treated as a mode switcher (see paragraph 11, [Annex H](#)) they should be treated as a part-time student, with completion judged against their revised study intentions.

## Examples

### Example 1: Final assessment taken within 13 months

25. A standard year of instance commences on 29 September 2015. Final assessment for a particular module counted within the year of instance takes place in June 2016, with an opportunity to resit or resubmit in September 2016. The student does not take the assessment in June 2016, but does so for the first time at the resit or resubmission opportunity in September 2016. The module is treated as **completed**, because the assessment was taken within 13 calendar months of 29 September 2015, the start of the year of instance.

### Example 2: Final assessment taken after 13 months

26. A standard year of instance commences on 29 September 2015. Final assessment for a particular module counted during the year of instance takes place only in June each year. The student does not take the assessment in June 2016 and has not otherwise passed the module, but does take the assessment at the next opportunity in June 2016. The module is treated as **not completed**, because the assessment was not taken within 13 calendar months of 29 September 2015, 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.

27. In the following examples, unless otherwise specified, final assessments were taken within 13 calendar months of the start of the year of instance.

### Example 3: Module already passed without taking final assessment

28. A student studies for eight modules during 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 is 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: Student undertaking all final assessments but failing a module

29. A student studies for eight modules during 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. In this case, the year of instance would be treated as a **completion**, because the student underwent the final assessments in all modules.

Example 5: Credit awarded for a module where the student did not take the final assessment

30. A student studies for eight modules during a year of instance. They undergo the final assessments for seven modules, but not the eighth, 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 is 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 is not sufficient to meet the completion definition.

Example 6: Substituted modules

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

Example 7: Break in study

32. A full-time student starts in September intending to study eight modules during 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 is 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 normally this will be part-time because they will not meet the attendance requirements to be full-time.

Example 8: Repeating modules

33. A 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. Providing no additional fee is charged, the first attempt at the module from October would not be reported at all in HESES, and should be disregarded in determining the completion status for the year of instance.

Example 9: Failure to complete overall study intentions

34. 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 it in the second semester in place of another one, and completes it. 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.

HESA notes

35. In completing the HESA record, it should be noted that some students may still have opportunities after 31 July to undergo the final assessment within 13 months of the start of their year of instance. Wherever possible, the institution should seek to update its 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 having undetermined completion status simply because the 13 months have not fully elapsed.

36. In the HESA data, the module outcome field (MODOUT) should be reported in accordance with these completion rules. The FUNDCOMP status of a student should in turn reflect the overall position of the student for the year of instance.

## **Good practice**

### **Estimation of non-completions**

37. 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.

38. Non-completion status should be established in a timely fashion, and the student record system updated to reflect the student's change in status. 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.

39. Use of a central database, rather than separate records held locally at departmental, school or faculty level, will help to ensure that the main student record is up to date and useful as a management tool.

40. 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, identifying 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.

### **Assessment of headcount and completion status for part-time students**

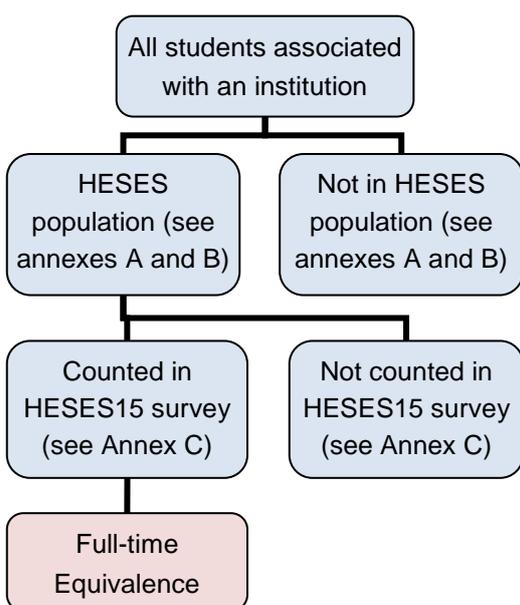
41. Assessment of completion status for part-time students should normally take account of all modules undertaken by an individual student within the year. Headcount and completion status of part-time students (particularly those on continuing education courses) should not be based on an individual module extract, as this does not take into account that a student may be taking more than one module during the year.

### **Exception reports**

42. 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 is submitted. Institutions should also check cases where students have withdrawn or interrupted early in the year of instance but have a FUNDCOMP of 1.

## Annex E: Full-time equivalence for part-time years of instance

This annex explains how full-time equivalence for part-time years of instance should be calculated in HESES15. This includes guidance on how to treat students who are exempt from part of a course, and full-time students who change mode within a year of instance to become part-time students.



### Annex E contents

#### Definitions

- Estimates for flexible part-time study (including distance-learning courses)

#### Examples

### Definitions

1. The full-time equivalence (FTE) for a part-time course is defined with reference to 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.
2. Calculation of the FTE can be based on either of the following:
  - credit points studied
  - duration of the course.

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 the 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.

Section 2: Funding rules and definitions – Annex E: Full-time equivalence for part-time years of instance

3. Where no equivalent full-time course exists at the institution, calculations of FTE should be based on a typical full-time pattern of 120 credit points per standard year (or 180 credit points for a long year).
4. Credit awarded based on accredited prior learning (APL) modules should be excluded from the calculation of the FTE. However, activity that is preparation of a portfolio of evidence for APL may be counted (in such cases, a nominal FTE may be included to reflect such activity). This may mean that a student is on a full-time programme but because of APL may be studying only at a part-time rate.

HESA notes

5. In completing the STULOAD field on the Higher Education Statistics Agency (HESA) record institutions should generally exclude APL activity. Where some FTE is included as described in paragraph 4, this should be included in STULOAD.

6. The FTE for a foundation degree bridging course is 0.3 (as defined in [Annex C](#), paragraph 24).

7. Where a student does not complete a year of instance, their FTE should not be recorded on HESES. This differs from the treatment of 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 during a year of instance to become part-time students (see paragraph 11, [Annex H](#)), their FTE should be calculated in the usual way, by comparison with the equivalent full-time course.

HESA notes

9. Student FTE recorded in HESES15 should relate to the years of instance being counted. In some cases this may not be consistent with the FTE returned on the HESA student record. However, it should be consistent with HESA data when summed over the instance.

**Estimates for flexible part-time study (including distance-learning courses)**

10. For flexible part-time study programmes where students can study at their own pace, institutions should ensure that estimates of the FTE are supported by historical data. Any data used in this way should not be skewed by exceptional circumstances. Institutions should ensure that the FTE of students on the HESA record reflects their actual activity for the academic year.

11. Estimates of the FTE for a particular year of a course should normally be based on the average FTE for an equivalent flexible course from the previous academic year. Institutions should note that rates of study for flexible courses will often vary from course to course, and should therefore ensure that such variation is accounted for in their estimates. Institutions should ensure that over the course, the total FTE is equal to the total FTE for a full-time course leading to the same qualification.

Section 2: Funding rules and definitions – Annex E: Full-time equivalence for part-time years of instance

12. Where the number of students on a course is small, or the course is new, institutions should base the estimates for each year of the course on (groups of) similar courses to ensure that estimates are robust.

13. Institutions should not use previous years' HESES estimates as a basis for determining the estimates for the current year. Institutions should be able to demonstrate the validity of their estimates by analysing the FTE for different courses over three to five years. This will help to identify trends, and years where the result is atypical compared with the trend. Where the FTE used differs significantly from past data, there should be a clear rationale for the change; institutions may be asked for evidence of this during data verification of HESES15.

## Examples

### Example 1: Calculating FTE based on credit points

14. A full-time course is studied over three years, with 120 credits taken each year. The equivalent part-time course lasts six years. In each of the first three years 90 credits are studied, 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 2: Calculating FTE based on duration of the course

15. A full-time course is studied over three years, so has a total FTE of 3. The equivalent part-time course is studied over six years, so would have an FTE of 0.5 in each year.

### Example 3: Repeating a year

16. As in Example 2, but the student resits year two. The FTE returned each time the student becomes countable is still 0.6; the student becomes countable six times, so the total FTE returned over all years is  $7 \times 0.5 = 3.5$

### Example 4: Student with accredited prior learning

17. As in Example 2, but the student has accredited prior learning and enters directly onto year three of the part-time course. The FTE returned each time the student becomes countable is still 0.5. The student becomes countable four times, so the total FTE returned over all years is  $4 \times 0.5 = 2$ .

### Example 5: Changing from full-time to part-time within the year

18. 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.

Example 6: Calculating FTE where some students take longer than expected

19. 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.

Example 7: Calculating FTE for a two year masters with work placement

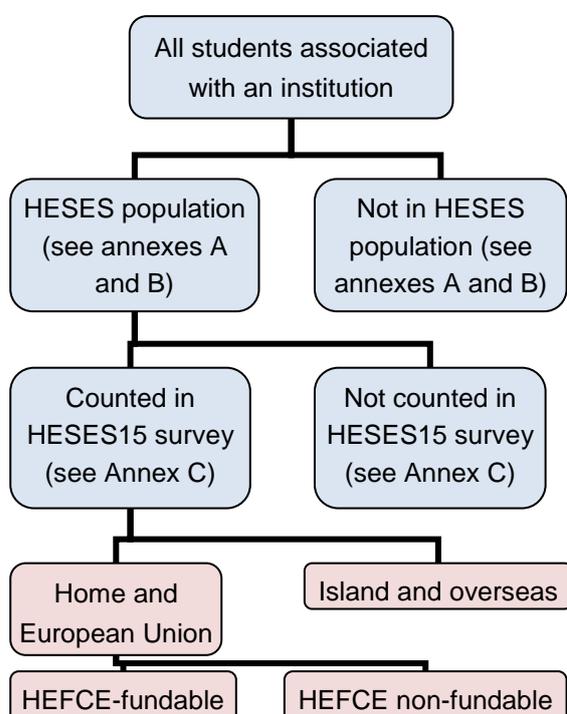
20. A masters degree is studied over two years, with year one consisting entirely of taught modules worth 120 credits points and year two consisting of a 60 credit point dissertation. Alongside the dissertation, the student undertakes a 40-week work placement.

21. The FTE would be 1.0 in the first year and 0.5 in the second year, based on comparison to a typical full-time pattern for a standard year of 120 credit points. As such, the student would be returned as full-time in year one, and part-time in year two.

## Annex F: Residential and fundability status

This annex provides guidance on identifying the residential and fundability status of a student for the purposes of HESES15. It includes guidance on:

- which students should be classified as Home and European Union (EU), and which are Island and overseas
- categorising Home and EU students as HEFCE-fundable or non-fundable
- how to determine the fundability status of students aiming for equivalent or lower qualifications (ELQ), and of those supported from other EU public sources.



### Annex F contents

#### Definitions

- Home and EU students
- Island and overseas students
- HEFCE-fundable students
- HEFCE non-fundable students

#### Students aiming for ELQs

- Students with multiple stated qualification aims
- Students exempt from ELQ policy for HEFCE funding purposes
- Determining level of qualification
- Reviewing ELQ status
- Relationship to fee regulations

#### Examples

#### Good practice

### Definitions

#### Home and EU students

1. 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. These regulations can be found on the website [www.legislation.gov.uk](http://www.legislation.gov.uk). Students from specified overseas territories may be classified as Home and EU if they meet the criteria set out in these regulations. A list of these overseas territories and countries is available on the HEFCE website at [www.hefce.ac.uk/data/collect/heses/](http://www.hefce.ac.uk/data/collect/heses/) under 'Frequently asked questions'.

### **Where a country accedes to the EU during the year**

2. 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.

### **Other students treated as EU nationals**

3. Students from Gibraltar should be treated as if they were from a country in the EU.

4. Turkish Cypriots who are recognised by the Government of the Republic of Cyprus as being Cypriot nationals are 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 are considered as Home and EU students.

5. Students from countries that are in the European Economic Area 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.

6. Students from Switzerland should be treated as if they were from a country that is in the European Economic Area but not the EU.

### **Obtaining guidance on fee eligibility**

7. Student Finance England provides a student support helpline to provide advice and guidance on the fees and awards regulations (including eligibility). If you are unsure whether an individual student meets the eligibility requirements as set out in paragraphs 1 to 6 of this annex, you should phone the student support helpline on 0300 100 0607. 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.

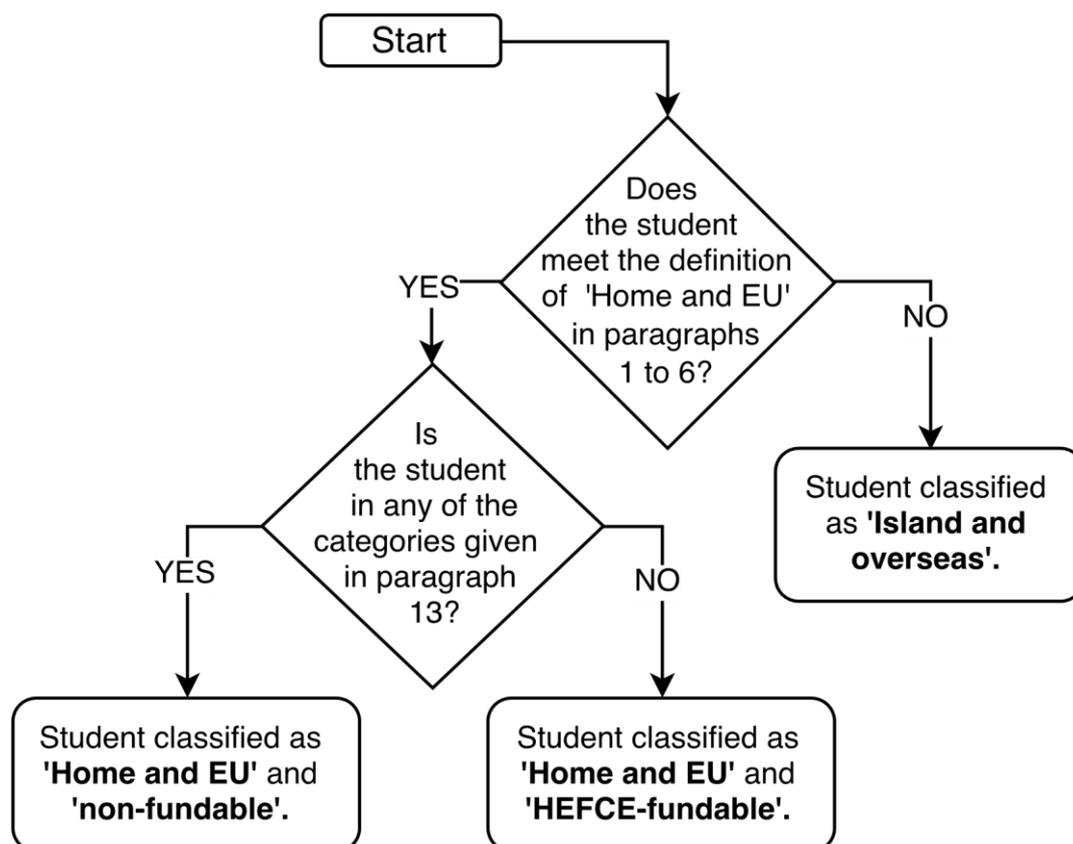
### **UK-domiciled in Table 5**

8. For the purposes of Table 5, UK-domiciled students are those entitled to pay Home and EU fees and whose DOMICILE field on the Higher Education Statistics Agency (HESA) student record is coded as XF, XG, XH, XI or XK for England, Northern Ireland, Scotland, Wales or UK not otherwise specified, respectively.

### **Island and overseas students**

9. All students who fall outside the definition of 'Home and EU' in paragraphs 1 to 6 of this annex should be recorded as 'Island and overseas'. This will include students ordinarily resident in the Channel Islands and the Isle of Man.

**Figure F1: Classifying students in the HESES population**



### HEFCE-fundable students

10. 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 A](#), and do not meet any of the criteria in paragraph 13 of this annex. Island and overseas students are not HEFCE-fundable.

11. 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.

12. The flowchart in **Figure F1** can be used to determine a student's residential and fundability status.

### HEFCE non-fundable students

13. Home and EU students meeting any of the following criteria should be recorded as HEFCE non-fundable:

- a. Postgraduate research students.

#### HESA notes

Postgraduate research students who are recorded as non-fundable for HESES purposes solely by virtue of sub-paragraph 13a should still be returned as fundable on the HESA student record. Further guidance on the fundability status of research students can be found in the FUNDCODE field on the HESA student record.

- b. 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.
- c. 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.
- d. Students on courses provided under a contract with an NHS organisation which lead to professional registration as a dental hygienist, dental therapist, occupational therapist, operating department practitioner, orthoptist, physiotherapist, radiographer or radiotherapist.
- e. Students on courses commissioned and funded by an NHS organisation, where the tuition fee charged to the student is zero because an NHS organisation is meeting the tuition costs of the course. A course is commissioned by an NHS organisation if there is a contractual agreement with it that the institution will provide a certain number of places on the course. Other students on the same course who are not funded by an NHS organisation should be returned as fundable, where they meet all other relevant criteria.
- f. Postgraduate taught students on a course, other than an ITT course, funded by another EU public source where the tuition fee charged to the student is zero because that source is meeting the tuition costs.
- g. Students on closed courses. These are courses that are not generally available to any suitably qualified candidate, but only to employees of particular companies or organisations that are meeting the costs of students' studies. This being the case, few students on such courses will be claiming student support. Closed courses will not commonly be marketed or advertised in general prospectuses or in course searches on an institution's main website, 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.
- h. Students who are aiming for an ELQ, unless they are exempt from the ELQ policy, as defined in paragraphs 14 to 32 of this annex.
- i. Undergraduate and postgraduate taught students at the Open University who are domiciled in Scotland, Wales, or Northern Ireland.

### **Students aiming for ELQs**

14. An ELQ is a qualification that is no higher than one that a given student has already achieved. 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 levels of the qualifications 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.

15. The flowchart in **Figure F2** can be used to determine the ELQ status of a student.

### **Identifying entry qualifications through other sources**

16. Institutions should take reasonable steps to test the accuracy of the entry qualifications reported by their students, taking into account the availability of other sources of information such as data from UCAS, the Learning Records Service, the SLC, application forms and students' certificates. This does not require an institution to test the qualifications achieved by all its students. For many students, the data provided by UCAS through the awarding body linking (often referred to as ABL) will be sufficient. However, this will not apply in some cases, such as students who achieved their Level 3 qualifications some time ago or whose qualification types are not included. In these circumstances we expect institutions to verify entry qualifications using the Learning Records Service. Otherwise, institutions should use a random sample to test the overall accuracy of their entry qualifications data, plus selective samples where doubts may exist about the entry qualifications reported by individual students or where there is a higher possibility that the student is aiming for an ELQ.

### **Students with multiple stated qualification aims**

17. Where students currently have multiple higher education qualification aims stated 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 qualification, then the year of instance should not be treated as an ELQ, even where a given year is at the same or lower level than a qualification already achieved.

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

19. 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 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**

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

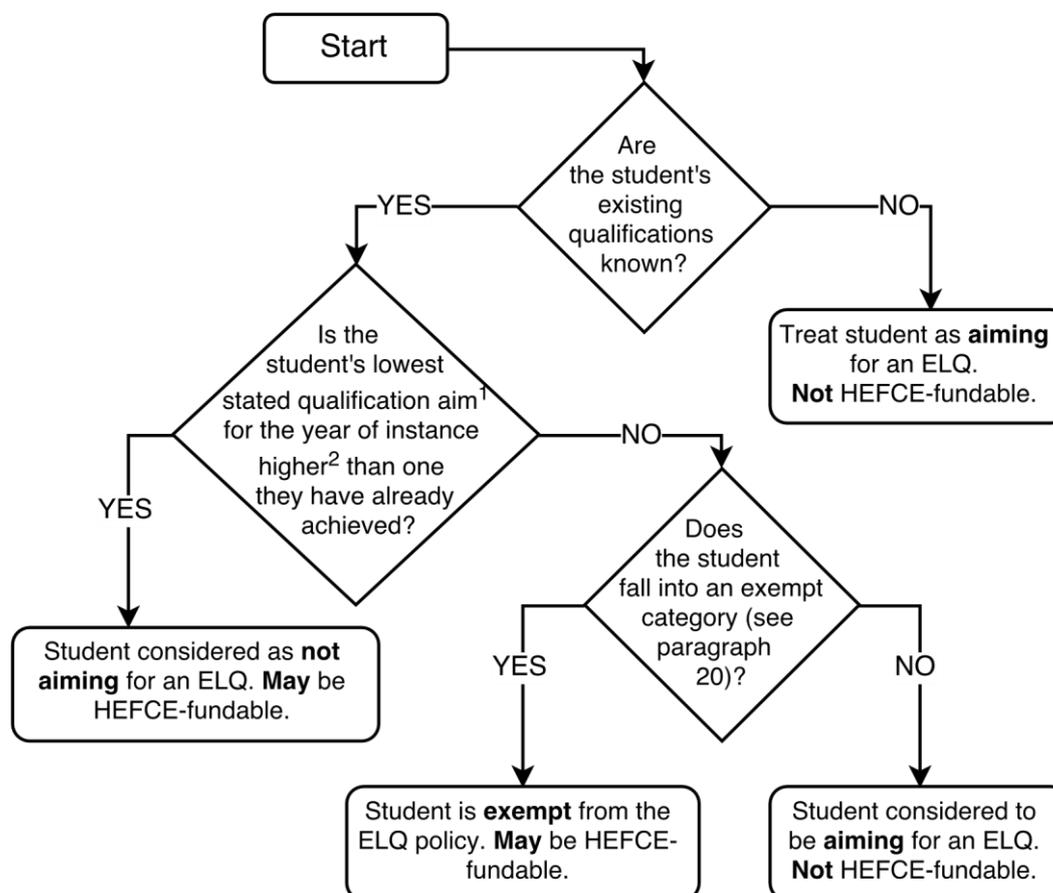
- a. They receive the Disabled Students' Allowance (DSA) for at least some of their year of instance reported in the HESES return. Institutions should make estimates for HESES purposes of the numbers of students whose receipt of the DSA for the year of instance will be confirmed after 1 December 2015.
- 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 whose primary (but not necessarily only) purpose is to improve the effectiveness of teachers, lecturers or trainers.

## Section 2: Funding rules and definitions – Annex F: Residential and fundability status

- d. They are on a year of instance (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/collect/heses/](http://www.hefce.ac.uk/data/collect/heses/) under 'Frequently asked questions'.
- e. They are on an undergraduate course (in any mode of study) which leads to a first registrable qualification with one of the following.
- 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
    - 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) whose primary (but not necessarily only) purpose is to improve the effectiveness of practitioners registered with one of the professional bodies listed in sub-paragraph 20e. In the case of the Health and Care Professions Council, this must additionally relate to practitioners in the professions listed in sub-paragraph 20e.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) whose primary (but not necessarily only) purpose is to improve the effectiveness of professionally qualified youth and community workers.
- i. They are on a full-time course (for student support purposes) which leads towards registration with the Architects Registration Board.

- j. They are aiming for a postgraduate research qualification.

**Figure F2: Establishing ELQ status**



<sup>1</sup> See paragraph 4, Annex I.

<sup>2</sup> See paragraph 21.

### 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 highest existing qualification achieved. Institutions should bear in mind the guidance in paragraphs 22 to 32 of this annex.

### Frameworks for Higher Education qualifications of UK Degree-Awarding Bodies

22. From August 2015, the Framework for Higher Education Qualifications in England, Wales and Northern Ireland (FHEQ) and the Framework for Qualifications of Higher Education in Scotland (FQHEIS) are combined into a single publication, 'The Frameworks for Higher Education Qualifications of UK Degree-Awarding Bodies' (available at [www.qaa.ac.uk/assuring-standards-and-quality/the-quality-code/qualifications](http://www.qaa.ac.uk/assuring-standards-and-quality/the-quality-code/qualifications)). These frameworks should generally be used to determine a basic

hierarchy of qualifications and any revisions should be reflected as they are introduced. Further guidance on the use of the 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 on the FHEQ, 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 on the FHEQ, 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 on the FHEQ, 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 in itself determine whether or not they are aiming for an ELQ. The ELQ policy is about the academic level of qualifications, so the level of the final qualification for which the student is aiming 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 to their course, and does not necessarily indicate the academic level of their study or final qualification aim. In particular, the following considerations will apply to any student whose highest qualification already achieved is an honours degree:
- a. Where they are undertaking a graduate conversion course, they should be recorded as a postgraduate taught student, but also considered as aiming for an ELQ. In this context, a graduate conversion course is one for which a normal condition of entry is an honours degree, but whose academic level is no higher than Level 6 on the FHEQ. Some such courses may be designed to enable 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 at undergraduate level in HESES, because a degree is not a normal entry requirement for such study. However, with the exception of the Master of Pharmacy (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 on the FHEQ. This also means that (again with the exception of students who hold an MPharm) 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 frameworks, MAs granted by the universities of Oxford and Cambridge are not academic qualifications. Students holding such awards should be treated as holding Level 6 qualifications on the FHEQ (reflecting whether these qualifications are degrees 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 frameworks for higher education qualifications**

26. The MPharm should be treated as a Level 6 qualification on the FHEQ for ELQ purposes. This means that the following hold true:

- 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 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 Frameworks for Higher Education Qualifications of UK Degree-Awarding Bodies state (in paragraph 4.17.5) 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 the following hold true:

- 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 should be considered to be aiming for an ELQ. However, they are exempt from the ELQ policy by virtue of sub-paragraph 20e 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 postgraduate initial teacher training courses, such as 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 20c 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 higher education (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 having potentially accumulated undergraduate level credit from recent study), then the student would be treated as aiming for an ELQ if that qualification is at a level equivalent to, or higher than, the credit towards which they are 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 should.

### **Professional qualifications and qualifications awarded abroad**

30. Institutions may wish to take advice from the National Recognition Information Centre for the UK (UK NARIC, [www.ecctis.co.uk/naric/](http://www.ecctis.co.uk/naric/)) 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.

31. There may be cases where UK NARIC advises that, for example, the academic level of a degree awarded in another country is below that of a degree in the UK. In such a case it is acceptable to treat a student whose highest HE qualification is a degree from that 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 are identified at [www.hefce.ac.uk/data/collect/heses/](http://www.hefce.ac.uk/data/collect/heses/) under ‘Frequently asked questions’.

### **Reviewing ELQ status**

32. 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 to take account of changing student circumstances, such as where a student:

- while following two separate programmes of study, receives a qualification for one before the other is complete
- changes their qualification aim
- begins to receive the DSA.

In general, and subject to the guidance in paragraph 20a, we would not expect institutions to change the ELQ status of their students within a year of instance.

### **Relationship of HEFCE policy on ELQs to fee regulations**

33. The Student Fees (Qualifying Courses and Persons) (England) Regulations (statutory instrument 2007 No. 778, as amended in particular by statutory instrument 2008 No. 1640 for the ELQ policy), 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 the limits stated in their access agreement with the Office for Fair Access.

34. The Education (Student Support) Regulations 2011 (statutory instrument 2011 No. 1986), as amended, define entitlements to student support. In particular, amendments to those regulations in the Education (Student Support) (Amendment) Regulations 2014 (statutory instrument 2014 No. 2765) define entitlements to student support for 2015-16. The statutory instrument 2011 No. 1986 contains definitions of ELQs.

35. 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 – thus 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 0300 100 0607.

## Examples

### Example 1: Student aiming for both HND and degree

36. 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: Student who acquires undergraduate certificate (not stated aim)

37. A student aiming for a first degree has a Higher National Certificate (HNC) as their highest existing HE qualification. The student will be awarded an undergraduate certificate if they successfully complete their first year, but this is not a stated aim. 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.

### Example 3: Student aiming for honours degree with foundation degree as highest qualification

38. 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 whether the honours degree involves three years of full-time study or the student is aiming for the honours degree through, for example, a one-year top-up from the foundation degree.

Example 4: Student with honours degree studying for foundation degree and then topping up to a second degree

39. A student enters already holding an honours degree as their highest qualification, and intends to study for a foundation degree over two years 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 is exempt from the ELQ policy in the first two years when studying for the foundation degree. However, when topping up to an honours degree in the final year, the student will be treated as aiming for an ELQ.

Example 5: Student studying a succession of continuing education courses

40. A student without any prior HE qualification is undertaking a succession of 20 credit-point undergraduate continuing education courses, all at the same academic level. After successful completion of such a course, the student is permitted 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 of both a university certificate and the Certificate of Higher Education, then (following the guidance in paragraph 14), they would be treated as aiming for an ELQ, by virtue of sub-paragraph 40b.i.

Example 6: Student who becomes ELQ part way through a course

41. 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 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. However, the student should be treated as aiming for an ELQ in 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.

## **Good practice**

### **Collecting qualification data from students**

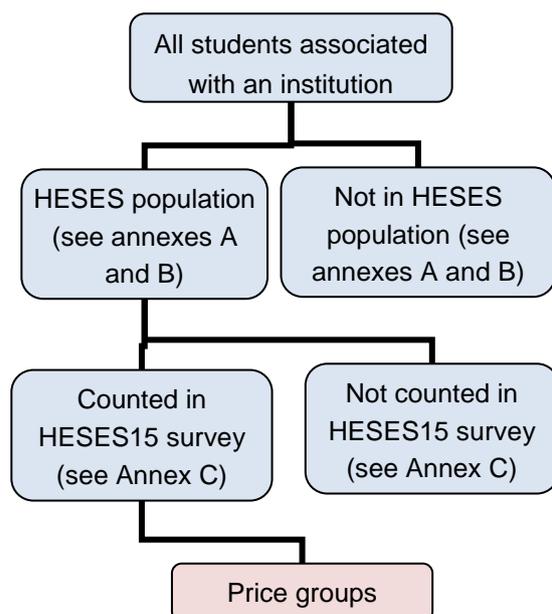
42. Institutions should ask students to confirm annually that they have not achieved any new qualifications since they last enrolled.

### **Recording of non-exempt students aiming for an ELQ**

43. Home and EU students aiming for an ELQ and not covered by an exemption should be clearly identified on the student record system.

## Annex G: Price groups

This annex explains how years of instance should be mapped to price groups for the purposes of HESES15, including guidance on the special cases of medicine, dentistry, veterinary science, education, social work and social policy, computing and sandwich years out. Examples are given for cases where a year of instance can be split across price groups or where provision is contracted out.



### Annex G contents

Tables relating cost centres to price groups

Special cases

- Sandwich years out
- Medicine, dentistry and cost centres 101 and 102
- Veterinary science and cost centre 109
- Social work and cost centre 131
- ITT, INSET and cost centre 135
- Attribution of computing to cost centres 119 and 121

Allocation of years of instance to price groups

- Activity delivered under a sub-contractual arrangement
- Students on a study year abroad

Good practice

### Tables relating cost centres to price group

1. 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)<sup>5</sup>.

<sup>5</sup> Available online at

[webarchive.nationalarchives.gov.uk/20120118171947/http://www.hefce.ac.uk/pubs/circlets/2005/cl32\\_05/](http://webarchive.nationalarchives.gov.uk/20120118171947/http://www.hefce.ac.uk/pubs/circlets/2005/cl32_05/).

**Table 1: Attribution of academic cost centres to price groups**

<b>Cost centre</b>	<b>Price group(s)</b>
101 Clinical medicine	A, B
102 Clinical dentistry	A, B
103 Nursing and allied health professions	C2
104 Psychology and behavioural sciences	C2
105 Health and community studies	C2
106 Anatomy and physiology	B
107 Pharmacy and pharmacology	B
108 Sports science and leisure studies	C2
109 Veterinary science	A, B
110 Agriculture, forestry and food science	B
111 Earth, marine and environmental sciences	B
112 Biosciences	B
113 Chemistry	B
114 Physics	B
115 General engineering	B
116 Chemical engineering	B
117 Mineral, metallurgy and materials engineering	B
118 Civil engineering	B
119 Electrical, electronic and computer engineering	B
120 Mechanical, aero and production engineering	B
121 Information technology, systems sciences and computer software engineering	C1
122 Mathematics	C2
123 Architecture, built environment and planning	C2
124 Geography and environmental studies	C2
125 Area studies	D
126 Archaeology	C1
127 Anthropology and development studies	D
128 Politics and international studies	D
129 Economics and econometrics	D

Section 2: Funding rules and definitions – Annex G: Price groups

<b>Cost centre</b>	<b>Price group(s)</b>
130 Law	D
131 Social work and social policy	C2, D
132 Sociology	D
133 Business and management studies	D
134 Catering and hospitality management	C2
135 Education	C2, D
136 Continuing education	D
137 Modern languages	C2
138 English language and literature	D
139 History	D
140 Classics	D
141 Philosophy	D
142 Theology and religious studies	D
143 Art and design	C1
144 Music, dance, drama and performing arts	C1
145 Media studies	C1
999 Cost centre not assignable	D

**Table 2: Cost centres within each price group**

<b>Price group</b>	<b>Cost centres</b>
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

\* For definitions see following paragraphs.

## Special cases

### Sandwich years out

2. Regardless of academic cost centre, students on a sandwich year out should be recorded in price group C2.

### Medicine, dentistry and cost centres 101 and 102

3. 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 whose course meets the following three criteria.
  - i. The course bears very high average annual costs of at least £15,000 per full-time equivalent.
  - 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 the focus of whose research is in a clinical environment and whose lead supervisor is a clinical academic.

4. Students who meet the criteria in paragraph 3 should have all of their activity for the year of instance attributed to price group A, irrespective of activity in any academic cost centre. All other activity in cost centres 101 and 102 should be returned in price group B.

5. Where, and only where, a postgraduate course meets the criteria set out in paragraph 3, the subject of the 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**

6. 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 activity in any academic cost centre. All other undergraduate veterinary science activity, including foundation years, should be returned in price group B.
7. To be included in price group A, clinical veterinary science postgraduate taught students must be on courses which meet the following three criteria:
  - a. The course bears very high average annual costs of at least £15,000 per full-time equivalent.
  - 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.
8. For research veterinary science 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.
9. Students who meet the criteria in paragraphs 7 or 8 should have all of their activity for the year of instance attributed to price group A, irrespective of any activity in any academic cost centres. All other postgraduate activity in cost centre 109 should be returned in price group B.
10. Where, and only where, a postgraduate course meets the criteria set out in paragraph 7 or 8, the subject of course aim should be coded as D2 (clinical veterinary medicine and dentistry), on the HESA student record.

### **Social work and cost centre 131**

11. Students on courses leading to registration as a social worker with one of the UK regulatory bodies, or providing post-registration qualifications for social workers, should be entirely attributed to price group C2, irrespective of activity in any academic cost centre.
12. For the purposes of paragraph 11, the UK regulatory bodies are the Scottish Social Services Council, the Care Council for Wales, the Northern Ireland Social Care Council and the Health and Care Professions Council (identifiable on the HESA record where REGBODY = 09, 10, 11, 54 respectively).

#### HESA notes

13. Post-registration courses for social workers will commonly 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 or M16.

14. All other activity in cost centre 131 should be attributed to price group D.

### **ITT, INSET and cost centre 135**

15. Students on initial teacher training (ITT) courses, whether or not leading to qualified teacher status (QTS), should be entirely attributed to price group C2, irrespective of activity in any academic cost centre. All Home and European Union (EU) students on ITT courses leading to QTS should be returned as non-fundable.

16. In-service education and training (INSET) courses are defined as courses whose primary (but not necessarily only) purpose is to improve the effectiveness of teachers, lecturers or trainers. Students who do not hold QTS but are studying for an ITT qualification via an INSET course should be recorded in price group C2. Other students on INSET courses should be attributed to price groups in the normal way. Home and EU students holding or aiming for QTS on INSET courses should be returned as non-fundable.

17. Students studying for a foundation degree to become a teaching assistant should be returned in price group C2.

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

### **Attributing computing to cost centres 119 and 121**

19. Only computer engineering departments in the area of computer hardware development – 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.

20. All other computing departments should be returned in cost centre 121.

### **Allocating years of instance to price groups**

21. Except where noted in paragraphs 2 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 activity 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. If a module or part of a course is provided by a different cost centre from the rest of the course, this should be identified on the HESA record and on HESES by mapping the relevant student activity to the correct price group.

#### HESA notes

22. 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 with students through the subjects and cost centres associated with the modules attached to the student

23. In general, staff will be associated with only a single cost centre even where their department is split across cost centres. 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 activity to the appropriate cost centre. In general this approach will not be consistent with pro-rating student activity to the staff cost centre split at departmental level. Where two or more members of staff from different cost centres

are associated with a particular activity, the student activity should be split according to the proportion contributed by each member of staff. Up to two decimal places may be used for this.

### **Activity delivered under a sub-contractual arrangement**

24. Where activity is delivered under a sub-contractual arrangement it should normally be returned in the cost centre or centres of the department that arranges it. Alternatively, the institution may choose to return the contracted-out activity in the cost centre or centres most closely matching the academic content of the provision. Institutions **must** do the latter if one of the following applies:

- a. The student activity is at least 20 per cent of the total student activity in the department that arranges it.
- b. The contracted-out full-time equivalent student numbers are at least 100.

25. Provision delivered under a sub-contractual arrangement may not be naturally attributable to a cost centre in which the institution is active. In this case institutions should create a virtual cost centre in which to return this activity and its related expenditure. If institutions return such activity using cost centre 999 on the HESA record, it should be treated as falling into price group D.

### **Students on a study year abroad**

26. For students taking a whole or partial study year abroad, the price group attribution should be determined in the same way as if the provision was delivered under a sub-contractual arrangement.

## **Examples**

27. The following examples relate to a student who aims to study for four 30-credit-point modules in a year:

#### Example 1: Allocation to price group based on staff cost centre

28. The first of these modules is taught by a member of staff in the Classics Department (cost centre 140). The student would therefore be allocated to price group D for this module.

#### Example 2: Allocation to price group in department with split cost centres

29. The second module the student studies is taught by the Department of Geographical Studies (split between cost centres 124 and 125). This module is taught by a member of staff allocated to the area studies cost centre (cost centre 125), and the student would therefore be entirely allocated to price group D for this module.

Example 3: Allocation to price group for activity delivered under sub-contractual arrangement

30. The third module the student studies is delivered under a sub-contractual arrangement. This module has been arranged by the Classics Department (cost centre 140) and is delivered by the Faculty of Archaeology (cost centre 126) in the partner institution. As the cost is delivered under a sub-contractual arrangement, the institution has two options:

- a. Return the activity under the cost centre of the department that arranged the provision, in which case the student would be returned under cost centre 140 and the activity would therefore be allocated to price group D for this module.
- b. Return the activity under the cost centre most closely matching the academic content of the provision, in which case the student would be returned under cost centre 126 and the activity would therefore be allocated to price group C1 for this module.

Example 4: Allocation to price group for activity in Computing Department

31. The fourth module the student studies is delivered by the Computing Department (cost centre 119 or 121). As the module is **not** relating to the development of computer hardware (cost centre 119), the activity **must** therefore be allocated to cost centre 121. The student would therefore be allocated to price group C1 for this module.

## **Good practice**

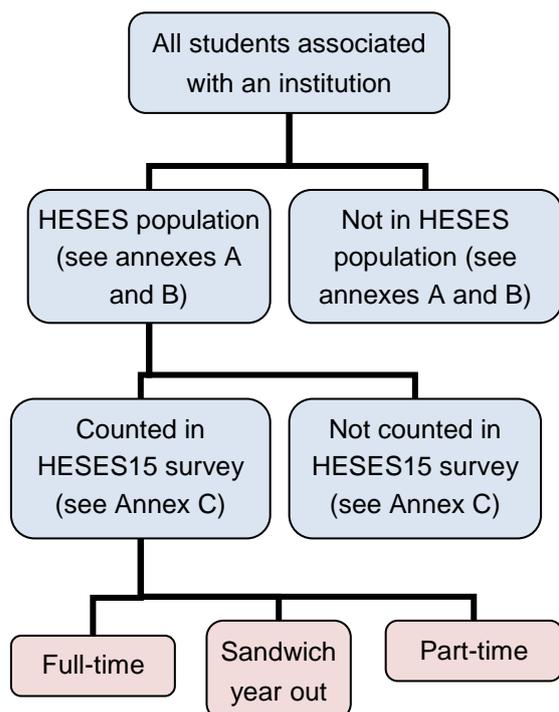
### **Assigning departments to cost centres**

32. Institutions should be able to provide evidence of how they have allocated particular departments to cost centres, and their compliance with the guidance in HEFCE Circular letter 32/2005. This should include the rationale for splitting or not splitting departments.

33. The assignment of departments to cost centres should be reviewed regularly to ensure that the guidance is being followed.

## Annex H: Mode of study

This annex explains how to determine, for the purposes of HESES15, the mode of study for a year of instance (full-time, sandwich year out or part-time). It includes 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.



### Annex H contents

#### Full-time

- Part-time students in receipt of full-time student support
- Accredited prior learning

#### Sandwich year out

#### Part-time

#### Additional guidance on mode of study

- Students only active for part of a year
- Students who change from full-time to part-time within a year of instance
- Treatment of learning in the workplace and work experience for the purposes of determining mode of study

#### Examples

### Full-time

1. 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 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. 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 them for all students.

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

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

3. Some students may receive full-time student support, but not meet the criteria given in paragraph 1a. Such students should be returned as part-time, unless they fall under the definition of 'sandwich year out' given below.

### **Accredited prior learning**

4. Students who are on a full-time programme but because of accredited prior learning do not meet the attendance requirements to be full-time should be returned as part-time.

### **Sandwich year out**

5. A year of instance is counted as a 'sandwich year out' if it includes a period of work-based experience and meets the following criteria:
  - a. The course falls within the definition of a 'sandwich course' in Regulation 2(10) of the Education (Student Support) Regulations 2011 (SI 2011 No. 1986) as amended, or the year of instance is an Erasmus+ year abroad spent working.
  - b. It is a year of instance:
    - i. During which any periods of full-time study are in aggregate less than 10 weeks; or
    - ii. For which, in respect of that year of instance and any previous year(s) of instance, the aggregate of any one or more periods of attendance which are not periods of full-time study (disregarding intervening vacations) exceeds 30 weeks.
  - c. A reduced fee is chargeable for the course for the year, compared with what would be chargeable if the student were studying full-time in the year.
6. Students spending a full year abroad working, including under the Erasmus+ scheme, should be returned as sandwich year out. This includes students under the British Council's Language Assistant scheme.

### **Part-time**

7. A year of instance is counted as part-time if it does not meet the requirements to be either full-time or a 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.

### **Additional guidance on mode of study**

8. 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, if the second year does not have 24 weeks of study.

HESA notes

9. In this case the student's activity would be recorded as 'other full-time' in year two on the HESA student record.

**Students only active for part of a year**

10. 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 will be 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.

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

11. Where full-time students change mode within a year of instance to become part-time, the year of instance should be recorded as part-time only. This applies only when 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 full-time equivalence should be calculated in the usual way, by comparison with the equivalent full-time course.

**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 the 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 all 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 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 not, therefore, extend the normal duration of a course.

## Examples

### Example 1: Student intermitting their studies

15. A student intends to study full-time in 2015-16 for the second year of their course. They complete all modules in term one, but then intermit their studies for a year. They return to full-time study in term two of 2016-17 and complete all remaining modules.

- a. For 2015-16, the student would have a full-time mode of study for the year of instance, though they would be a non-completion.
- b. For 2016-17, the student would have a part-time mode of study for the year of instance, as they would not meet the criteria given in paragraph 1a.

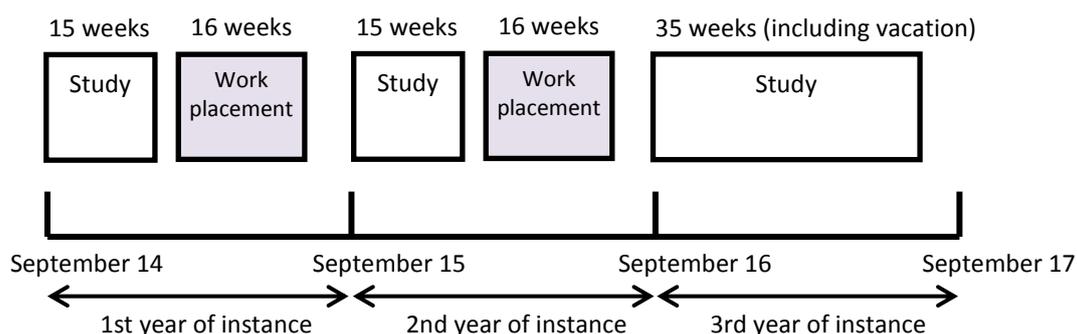
### Example 2: Student on the final year of a full-time course

16. A student is studying on the final year of a full-time course, which is ordinarily completed in less than 24 weeks. The student would have a part-time mode of study for the year.

### Example 3: Student repeating part of the year

17. A student is studying full-time in 2014-15, but fails three modules. In 2015-16 the student repeats these modules on a part-time basis, studying for an average of seven hours per week. The student is still eligible to claim full-time student support. As the year of instance would not meet criteria given in paragraph 1a, the student would have a part-time mode of study for the year.

### Example 4: Year in which total sandwich placement exceeds 30 weeks



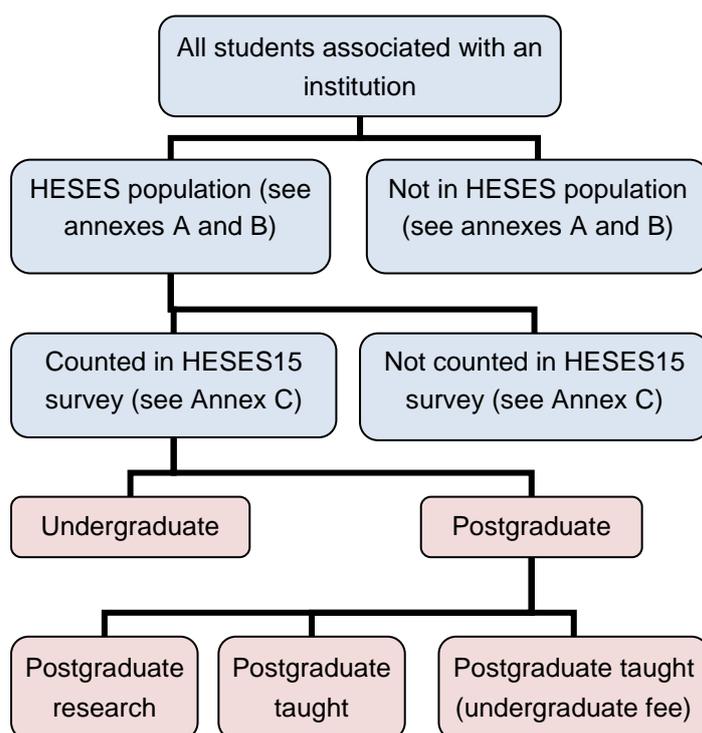
18. A student studies for an HND over three years. This includes two periods of work placement, taken in the first and second years of instance.

- a. The first year of instance is full-time, as the period of full-time study is more than 10 weeks, the cumulative period on work placement to date is less than 30 weeks, and the total attendance is greater than 24 weeks.

b. The second year of instance is a sandwich year out. Though the pattern of activity is the same as for the first year, the cumulative period on work placement exceeds 30 weeks ( $16 + 16 = 32$  weeks total work placement). This meets the definition in paragraph 5b(ii).

## Annex I: Level of study

This annex explains how to determine a student's level of study (undergraduate or postgraduate) for the purposes of HESES15. It also explains how the undergraduate data on Table 5 are split, and how to disaggregate postgraduate students between postgraduate taught and postgraduate research.



### Annex I contents

Undergraduate (UG)

Postgraduate

- postgraduate research (PGR)
- postgraduate taught (PGT)
- postgraduate taught (undergraduate fee) (PGT (UG fee))

Further information

### Undergraduate (UG)

1. Undergraduates are students studying towards a first degree (including foundation degree), integrated masters programme (such as a four-year Master of Engineering (MEng), Master of Physics (MPhys) or Master of Chemistry (MChem)), 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.
2. The undergraduate data in Table 5 is split between:
  - students on Higher National Diploma (HND) courses
  - students on sub-degree level courses excluding HNDs (such as those aiming for a Higher National Certificate (HNC), Diploma of Higher Education (DipHE) or Certificate in Education (CertEd))
  - students on foundation degree courses
  - students on other undergraduate degrees (excluding foundation degrees but including foundation degree bridging courses).

3. Where a student registers, without stating a qualification aim, for credits which may count towards a qualification at either undergraduate degree or sub-degree level, they should be counted as sub-degree level.
4. 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**

5. 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 Higher Education. There are two groups, postgraduate research (PGR) and postgraduate taught (PGT).

### **Postgraduate research (PGR)**

6. Postgraduate research (PGR) students are those whose qualification aim is a research-based higher degree. This is a postgraduate programme comprising a research component (including a requirement to produce original work) which is larger in terms of student effort than any accompanying taught component. The arrangements for assuring and maintaining the academic standards and enhancing the quality of these programmes should be fully compliant with Chapter B11 of the Quality Assurance Agency for Higher Education's UK Quality Code for Higher Education on postgraduate research programmes.

### **Postgraduate taught (PGT)**

7. Postgraduate taught (PGT) students are postgraduates who do not meet the requirements to be a research student.
8. Postgraduates include those on graduate conversion courses and all on postgraduate initial teacher training courses such as PGCEs (whether Postgraduate or Professional Graduate Certificates in Education).

### **Postgraduate taught (undergraduate fee) (PGT (UG fee))**

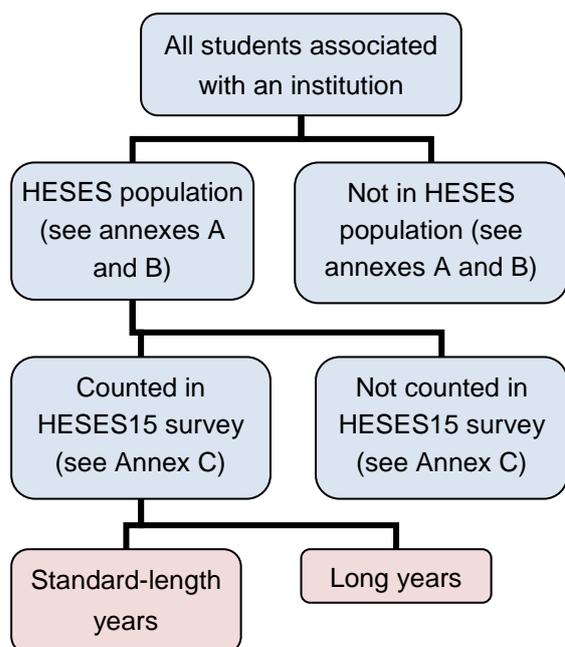
9. We split postgraduate taught students between those who are eligible under the undergraduate student support regime and all others. The former applies only to students aiming for a postgraduate initial teacher training qualification, and some students studying architecture – specifically those who are on Parts 2 or 3 of the qualification leading towards registration with the Architects Registration Board.

## **Further information**

10. This annex provides information on determining a student's level of study at a broad level of undergraduate or postgraduate. Further information on how to determine level in relation to equivalent or lower qualification (ELQ) status can be found in [Annex F](#) under 'Students aiming for ELQs'. This includes further guidance on the Framework for Higher Education Qualifications.

## Annex J: Long years of instance

This annex explains how to determine whether a full-time or part-time year of instance should be classed as 'long' for the purposes of HESES15. 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.



### Annex J contents

#### Definitions

- Full-time long years of instance
- Part-time long years of instance
- Mixed-length courses

#### Examples

### Definitions

#### Full-time long years of instance

1. For full-time courses, the year of instance will be classified as 'long' if students are normally required to attend for 45 weeks or more within that year of instance.
2. 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.
3. 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, nor would we generally expect foundation degrees to be recorded as long.
4. For undergraduate students, long years of instance will typically occur in accelerated programmes where the qualification is achieved in a much shorter time than normal. The number of credit points studied in the year is not a criterion in defining a long year of instance.
5. For postgraduate students, most long years of instance will be for higher degrees.

### Part-time long years of instance

6. 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).
7. 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 2 of [Annex E](#). The rationale for such a judgement should be recorded for audit purposes.

### Mixed-length courses

8. In some cases a full-time course may have one or more years of instance which are long, and 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 part-time 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 courses.

### Examples

#### Example 1: Foundation degree with work-based study

9. A full-time student on a foundation degree studies for 47 weeks in the year of instance, 10 of which 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.
10. 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.

#### Example 2: Calculating the length of year for a part-time course from the full-time equivalent

11. 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.
12. Conversely, if each year of the part-time course lasted for 30 weeks, but the year of instance for the full-time course was 45 weeks, then the part-time course would be classified as long. The FTE for the part-time course would be 0.5 in both cases.

Example 3: Taking a foundation degree bridging course after a foundation degree

13. 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.

Example 4: Mixed length part-time course – standard-length

14. A four-year part-time course has an equivalent two-year full-time course where year one is long and year two is standard-length. As the proportion of FTE recorded as long should be the same on both full and part-time courses, 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 to ensure the total FTE over the whole part-time course is the same as the equivalent full-time course ( $4 \times 0.5 = 2$  FTE).

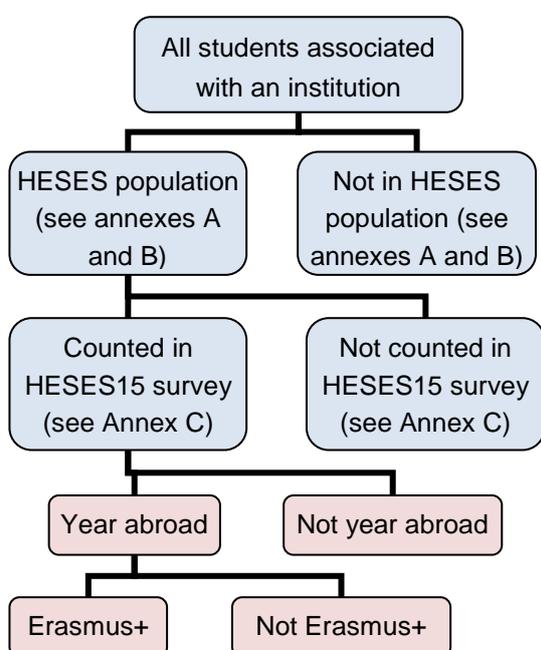
Example 5: Mixed length part-time course – accelerated

15. A part-time course lasts two and a half years and has an equivalent two-year full-time course where year one is long and year two is standard-length. The part-time course has FTE of 0.8, 0.8 and 0.4 in the three years respectively, which ensures the total FTE over the whole course is the same as the full-time course ( $0.8 + 0.8 + 0.4 = 2$  FTE).

16. To ensure the proportion of FTE reported as long for the part-time course is equivalent to the full-time course (as per sub-paragraph 8b), this can be achieved by recording all first years of study as long (0.8 FTE), and all activity for half of the students in the final years of study as long, and the activity of the other half as standard-length. The second year would be recorded as standard-length.

## Annex K: Year abroad categories in Table 4

This annex provides guidance on how to assign years of instance to the appropriate category of year abroad in Table 4 of HESES15.



### Annex K contents

Year abroad

Erasmus+

Examples

1. Table 4 collects information about a subset of Home and European Union (EU) undergraduate students included in Columns 1 and 2 of Tables 1 and 2: those undergraduates taking a year abroad in 2015-16 as part of their instance.
2. We will use the information on Table 4 to determine the 2016-17 'Erasmus+ and overseas study programmes' funding allocation to support institutions' participation in such programmes.

### Year abroad

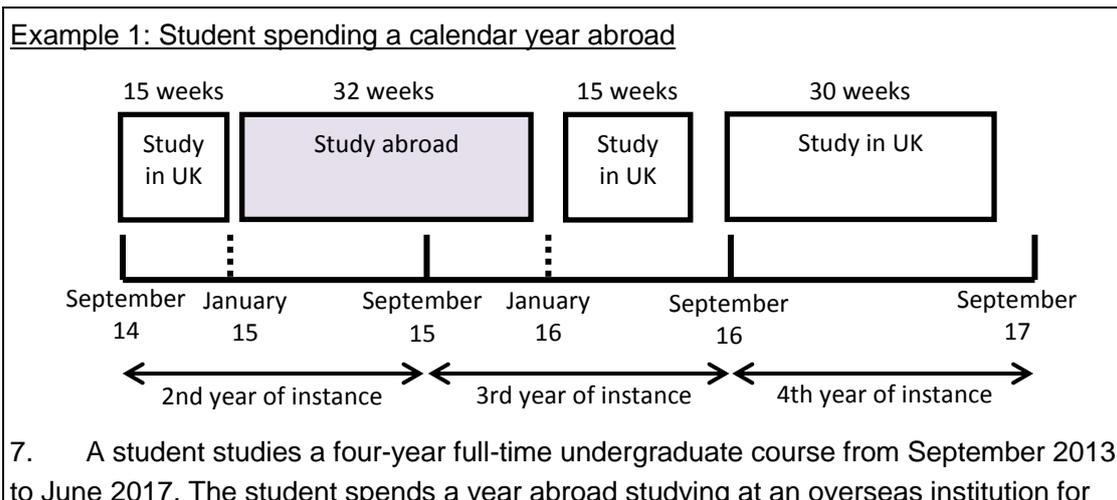
3. A full-time year of instance is a year abroad if it is provided in conjunction with an overseas educational institution and:
  - a. During which any periods of full-time study at the institution in the United Kingdom are in aggregate less than 10 weeks; **or**
  - b. For which, in respect of that academic year and any previous academic year(s) of the course the aggregate of any one or more periods of attendance which are not periods of full-time study at the institution in the United Kingdom (disregarding intervening vacations) exceeds 30 weeks.

4. A 'sandwich year out' year of instance is a year abroad if one of the following applies:
  - a. All periods of attendance that are not full-time study are spent outside the United Kingdom.
  - b. At least one period of attendance in the year of instance that is not full-time study is taken under the Erasmus+ programme.
5. Some years abroad may comprise a combination of work experience and full-time study at an institution outside the United Kingdom. Where the period of work experience is not sufficient for the year of instance to meet the definition of sandwich year out, it should be categorised as a full-time year abroad.

## Erasmus+

6. Years abroad are split between those taken under the Erasmus+ programme and other years abroad<sup>6</sup>. An Erasmus+ year abroad is an Erasmus year as defined in 'The Education (Student Support and European University Institute) (Amendment) Regulations 2013', SI 2013/1728, Regulation 4(b)<sup>7</sup>. If a year abroad comprises more than one period of study or work placement abroad, not all of which are taken under the Erasmus+ programme, the year of instance should be recorded as follows:
  - a. As an Erasmus+ year abroad if at least one study or work placement is taken under the Erasmus+ programme during the current year of instance.
  - b. As a non-Erasmus+ year abroad otherwise. This may include cases where an Erasmus+ study or work placement, which counts towards categorising the current year of instance as a year abroad, was taken in a previous year of instance but not in the current one.

## Examples



7. A student studies a four-year full-time undergraduate course from September 2013 to June 2017. The student spends a year abroad studying at an overseas institution for

<sup>6</sup> Erasmus+ is the European Union programme for education, training, youth and sport for the period from 2014 to 2020. Further information about it can be found at [www.erasmusplus.org.uk/](http://www.erasmusplus.org.uk/) and the Erasmus+ programme guide, available online at [www.erasmusplus.org.uk/key-resources](http://www.erasmusplus.org.uk/key-resources).

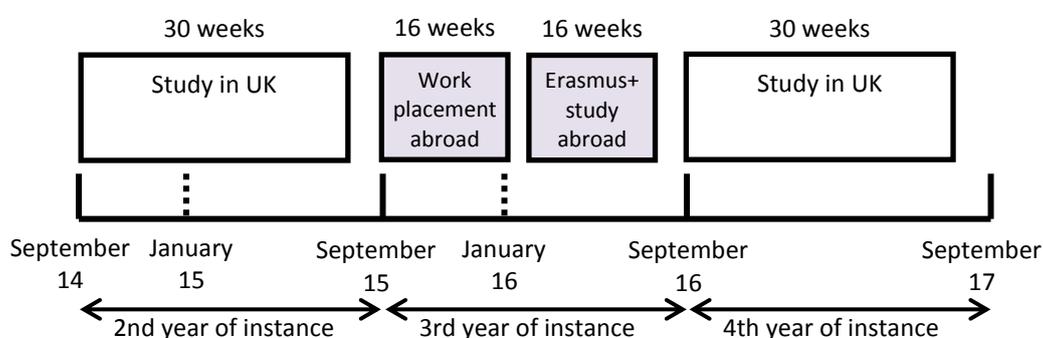
<sup>7</sup> See [www.legislation.gov.uk/uksi/2013/1728/regulation/4/made#text%3Derasmus](http://www.legislation.gov.uk/uksi/2013/1728/regulation/4/made#text%3Derasmus).

the calendar year 2015, which incorporates parts of their second and third years of instance; all other study is in the UK.

8. The second year of instance does not meet the definition of a year abroad, because the student has spent at least 10 weeks studying at their UK institution between September and December 2014, and they have not yet spent over 30 weeks studying abroad by the end of the year of instance.

9. The third year of instance meets the definition of a year abroad, because (including the time abroad during their second year of instance) the student will have spent over 30 weeks studying abroad by the end of that year. If the year abroad is taken under the Erasmus+ programme, the year of instance should be identified as a full-time Erasmus+ year abroad.

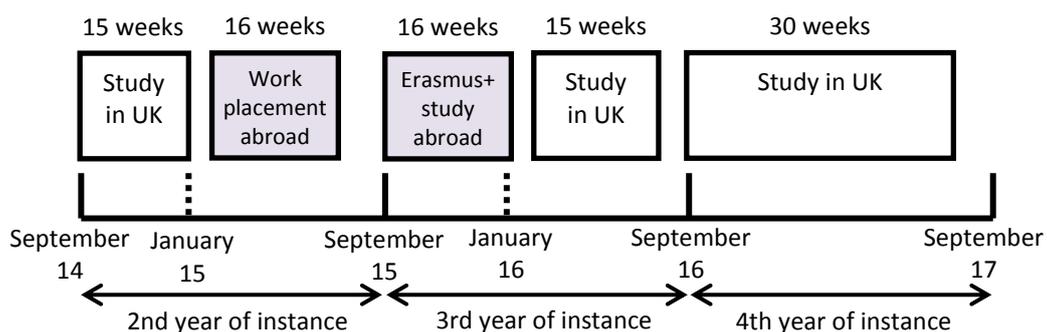
Example 2: Student spending an academic year abroad



10. A student studies a four-year full-time undergraduate course from September 2013 to June 2017. The student spends a year abroad between September 2015 and June 2016, contained entirely within their third year of instance; all other study is in the UK. The year abroad comprises one semester which is a 16-week work placement not taken under the Erasmus+ programme, and another semester which is a 16-week study placement at an overseas university which is taken under the Erasmus+ programme.

11. The work placement is not in itself sufficient for the year of instance to count as a sandwich year out. Because at least one study or work placement is taken under the Erasmus+ programme in the current year of instance, the year of instance is categorised as a full-time Erasmus+ year abroad.

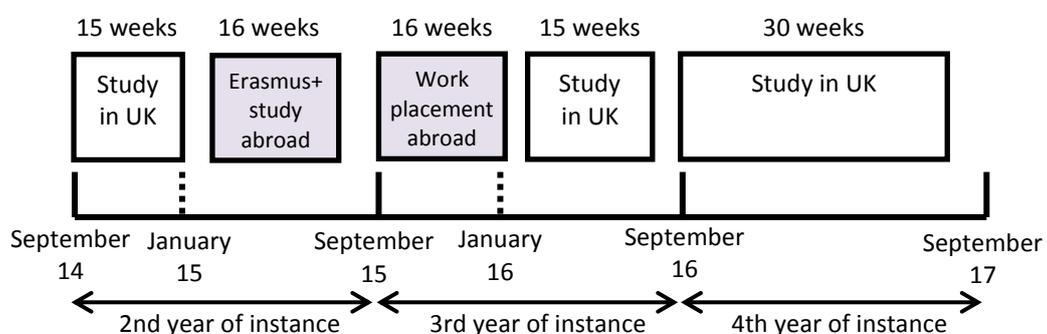
Example 3: Work then Erasmus+ study abroad



12. As in Example 1, but the calendar year abroad comprises one 16-week semester (taken at the end of the second year of instance) which is a work placement abroad not taken under the Erasmus+ programme, and another 16-week semester (at the start of the third year of instance) which is a study period at an overseas institution taken under the Erasmus+ programme. As with Example 1, the second year of instance does not meet the definition of a year abroad.

13. The third year of instance meets the definition of a year abroad, but the work placement is not in itself sufficient for any year of instance to count as a sandwich year out. Because at least one period of study or work placement in the current year of instance is taken under the Erasmus+ programme, that year of instance counts as a full-time Erasmus+ year abroad.

Example 4: Erasmus+ study then work abroad



14. As in Example 3, but the semesters are reversed: the calendar year abroad comprises one 16-week semester (taken at the end of the second year of instance) which is a study period at an overseas institution taken under the Erasmus+ programme, and another 16-week semester (at the start of the third year of instance) which is a work placement abroad not taken under the Erasmus+ programme. As in examples 1 and 3, the second year of instance would not meet the definition of a year abroad.

15. The third year of instance still meets the definition of a year abroad. The work placement is not in itself sufficient for the year of instance to count as a sandwich year out. No study or work placement in the current year of instance is taken under the Erasmus+ programme (even though one was in the previous year of instance). Therefore the third year of instance counts as a full-time non-Erasmus+ year abroad.

## **Annex L: List of abbreviations**

<b>APL</b>	Accredited prior learning
<b>CertEd</b>	Certificate in Education
<b>CertHE</b>	Certificate of Higher Education
<b>DipHE</b>	Diploma of Higher Education
<b>DSA</b>	Disabled Students' Allowance
<b>ELQ</b>	Equivalent or lower qualification
<b>EU</b>	European Union
<b>FAMD</b>	Funding and Monitoring Data
<b>FHEQ</b>	Framework for Higher Education Qualifications in England, Wales and Northern Ireland
<b>FTE</b>	Full-time equivalence
<b>HE</b>	Higher education
<b>HEAPES</b>	Higher Education in Alternative Providers Early Statistics survey
<b>HEFCE</b>	Higher Education Funding Council for England
<b>HEIFES</b>	Higher Education in Further Education: Students Survey
<b>HESA</b>	Higher Education Statistics Agency
<b>HESES</b>	Higher Education Students Early Statistics Survey
<b>HNC</b>	Higher National Certificate
<b>HND</b>	Higher National Diploma
<b>INSET</b>	In-service education and training
<b>ITT</b>	Initial teacher training
<b>PG</b>	Postgraduate
<b>PGCE</b>	Postgraduate Certificate in Education or Professional Graduate Certificate in Education
<b>PGR</b>	Postgraduate research
<b>PGT</b>	Postgraduate taught
<b>QTS</b>	Qualified teacher status
<b>UCAS</b>	The Universities and Colleges Admissions Service
<b>UG</b>	Undergraduate
<b>UK NARIC</b>	UK National Recognition Information Centre
<b>UKPRN</b>	UK Provider Reference Number

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References are to paragraph numbers in the text of the section indicated, or to the annex letter and paragraph numbers of references within **Section 2** of the guidance.

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

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