

Office for
Students



HESF19

Higher Education Students Forecast 2019-20

Reference OfS 2018.47

Enquiries to recurrentgrant@officeforstudents.org.uk

Publication date 24 October 2018

This document is relevant to higher education providers that:

- have registered (or applied to be registered) with the Office for Students (OfS) in the Approved (fee cap) category
- do not have higher education provision recognised for OfS funding purposes in 2018-19
- will offer higher education provision recognised for OfS funding purposes in 2019-20.

The data collected provides a forecast of higher education students expected to study on courses recognised for OfS funding in 2019-20 and will inform the allocation of teaching funds for 2019-20.

Action: Higher education providers should upload returns to the OfS portal by noon on Wednesday 19 December 2018.

Contents

Introduction	3
Purpose	3
Outline timetable for HESF19 survey and funding round process	5
How to use this document	6
Part 1: The HESF process and instructions on completing the workbook	7
The HESF process	7
Data assurance	11
Self-check questions	14
Guidance for completing workbook tables	15
Table 1: Forecast of years of instance for 2019-20	16
Table 2: Teaching locations for students	18
Part 2: Definitions and further guidance	22
The HESF19 population	23
Academic year	23
Completed year of instance	23
The provider that registers the student	24
New entrants	25
Actively pursuing studies	25
Recognised higher education for OfS funding purposes	25
Study outside the UK	25
OfS-fundable students	26
How years of instance are counted and categorised in HESF	27
Full-time equivalence	27
Mode of study	27
Level of study	28
Long years of instance	28
Price group	29
List of abbreviations	37

Introduction

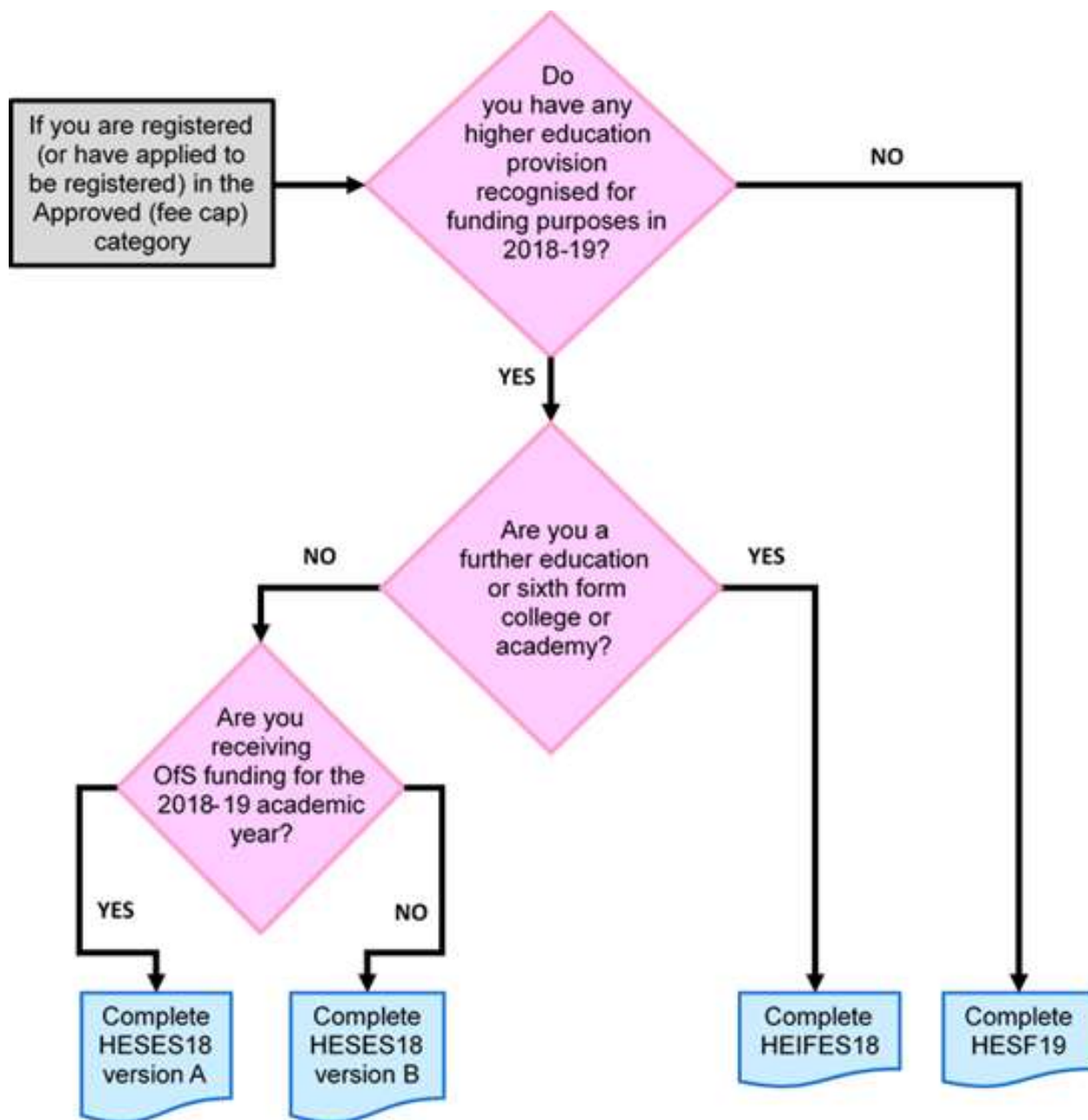
Purpose

1. All providers that are registered in the Approved (fee cap) category with the Office for Students (OfS) for the academic year (1 August - 31 July) 2019-20 will be required to submit a data return in 2018-19. This will allow us to calculate OfS funding for 2019-20.
2. This document sets out the requirements for the HESF19 survey, and applies only to higher education providers that:
 - a. Have registered (or applied to be registered) with the OfS in the Approved (fee cap) category.
 - b. Do **not** have higher education provision in 2018-19 recognised for OfS funding purposes and are therefore not receiving OfS funding for the 2018-19 academic year. (Some may, however, have provision that is subcontracted in, whereby they teach students of another provider under a subcontractual arrangement.)
 - c. Will offer higher education provision recognised for OfS funding purposes for the first time in 2019-20. This excludes eligible provision that is subcontracted in.

Recognised higher education for OfS funding purposes relates to the types of courses offered by a provider as defined in paragraph 91. It does not depend on whether the OfS is actually funding the provider directly.

3. Higher education providers in the Approved (fee cap) category that have students in 2018-19 on higher education courses recognised for OfS funding purposes will need to complete a different data return. This will be either the 2018 Higher Education in Further Education Students (HEIFES18) survey or the 2018 Higher Education Students Early Statistics (HESES18) survey.
4. Figure 1 can be used to identify which data return a higher education provider should complete.
5. The data in this return will provide a forecast of the number of students on higher education courses recognised for OfS funding purposes who are expected to be studying in the academic year 2019-20, and will inform the initial allocation of teaching funds for the academic year 2019-20.
6. This document provides the following:
 - a. An introduction to the HESF19 survey and how we will use it to inform our funding allocations.
 - b. Guidance notes for completing the HESF19 survey (Part 1).
 - c. Notes on the specific definitions used in the HESF19 survey (Part 2).
 - d. Appendices which provide detailed technical information to support the HESF19 tables (Part 3). Sample tables are available at www.officeforstudents.org.uk/publications/hesf19-higher-education-students-forecast-2019-20/. The tables for completion will be available to download from the OfS portal from late October 2018. Full appendices will be supplied soon after.
 - e. Good practice guidance (indicated with blue banding to the left of the text).

Figure 1: Determining which data return a provider should complete



7. Information on how our data returns inform funding allocations can be found in 'Guide to funding 2018-19: How the Office for Students allocates money to higher education providers' (OfS 2018.21)¹.

Action required

8. Providers must ensure that:

- a. Completed workbooks are uploaded to the OfS portal by noon on **Wednesday 19 December 2018**.

¹ See www.officeforstudents.org.uk/publications/guide-to-funding-2018-19/.

- b. By 28 January 2019:
 - i. All our data verification queries are resolved to our satisfaction.
 - ii. The data is signed off by their accountable officer.

Outline timetable for HESF19 survey and funding round process

9. The timetable for HESF19 and the 2019-20 funding round is summarised in Table A.

Table A: Timetable

Date	Action
From late October 2018	HESF19 workbooks available to providers via the OfS portal.
19 December 2018	Noon deadline to return HESF data.
From late December 2018	Data verification phase. HESF contacts at providers will be asked to verify, and answer any questions about, the data. Contacts will have up to five working days to respond. Further rounds of queries may be necessary.
28 January 2019	HESF19 data must be signed off by the provider's accountable officer ² , who is usually the head of provider, as being a realistic forecast of the student numbers that the provider will have in 2019-20.
Spring 2019	Initial recurrent teaching grant allocations for 2019-20 released to providers.
By end of July 2019	Terms and conditions of funding for 2019-20 confirmed to providers.
Autumn 2019	Providers notified of any amendments to initial recurrent teaching grant allocations for 2019-20.
November to December 2019	Providers will complete a data return to report their 2019-20 student numbers.
Spring 2020	Providers that completed HESF19 will have their grant allocations for 2019-20 recalculated using their updated 2019-20 student numbers.

10. It is a condition of registration³ that providers supply data requested by the OfS. Deadlines for the HESF19 survey are not flexible. Where a provider fails to return credible data on time, we may base the allocation of funds on our own estimate of student activity. Providers that do not submit credible data on time are more likely to be audited.

11. As explained under condition of registration F3, the OfS will assess, as part of its routine monitoring activities, the quality, reliability and timeliness of information supplied by a provider including through scheduled or ad hoc data audit activity⁴. If the OfS has reason to believe that information

² See 'Regulatory advice 10: Accountable officers: Guidance for providers on the responsibilities of accountable officers' (OfS 2018.29), available at www.officeforstudents.org.uk/publications/regulatory-advice-10-accountable-officers-guidance-for-providers-on-the-responsibilities-of-accountable-officers/.

³ See www.officeforstudents.org.uk/advice-and-guidance/regulation/conditions-of-registration/.

⁴ See 'Securing student success: Regulatory framework for higher education in England' (OfS 2018.01), available at www.officeforstudents.org.uk/publications/securing-student-success-regulatory-framework-for-higher-education-in-england/.

received is not reliable, it may choose to investigate the matter. This investigation may result in additional steps to ensure compliance, whether through enhanced monitoring or the imposition of specific ongoing conditions. The OfS may, for example, require the provider's accountable officer to implement an agreed action plan to improve the provider's information systems and processes and the oversight arrangements for these.

12. Each provider completing HESF must have its data signed off by its accountable officer. This forecast data should represent the most realistic and likely outcome of the provider's recruitment in 2019-20. We will use this data to calculate each provider's initial 2019-20 grant allocations.
13. Providers that receive OfS funding for 2019-20 will be required to complete an in-year data return in late 2019. For providers that have completed HESF19, this in-year data return will be used to recalculate their initial 2019-20 grant allocations.

How to use this document

14. This document provides guidance on how to complete the HESF19 survey and summarises the funding rules and definitions for OfS-funded higher education, with links to further guidance. This document has three parts.

Part 1: Guidance for completing the survey

15. This part explains how to download the survey and describes the data to enter into each table. It also explains the process for verifying and signing off the data, as well as considerations for data assurance.

Part 2: Funding rules and definitions

16. This part defines the student population covered by the HESF survey and gives guidance on what is 'countable' in HESF19. This ensures we can collect information on students counted for funding purposes.
17. Data returns must be prepared using the OfS funding rules set out in our guidance and not according to your own academic regulations. There are often, quite reasonably, differences between individual providers' academic regulations and the rules relating to the counting of students for funding purposes. Links to definitions and more detailed information provided in our HESF18 and HEIFES18 guidance documents are given throughout this document.

Part 3: Appendices

18. The appendices contain detailed technical information to support the HESF19 tables :
 - Appendix 1 provides guidance on using the OfS portal and workbook submission
 - Appendix 2 describes the validation checks on HESF19 data.
19. Sample tables for the HESF19 survey are available online at www.officeforstudents.org.uk/publications/hesf19-higher-education-students-forecast-2019-20/. The tables for completion will be available to download from the OfS portal (<https://extranet.officeforstudents.org.uk/data>) from late October 2018.

Part 1: The HESF process and instructions on completing the workbook

Part 1 contents

The HESF process

- Overview of the HESF19 process
- Before completing your survey
- Notes on completing your survey
- Submitting your survey
- The data verification phase
- Signing off your data
- What happens after the data is signed off
- Data assurance
- Good practice

Self-check questions

Guidance for completing workbook tables

- Selecting students to include in the survey
- Definitions
- The tables in the HESF19 survey workbook
- Data to enter into the tables

The HESF process

20. This part describes the HESF process as a whole, from compiling and submitting the survey, through the data verification phase, to the point where the data is signed off. It also gives details of our data audit programme and recommendations on good practice. A summary of the HESF19 process is given in Table B.

Table B: Overview of the HESF19 process

Date	Action
2 August 2018	'Funding for academic year 2019-20: Approach and data collection' (OfS 2018.31) released, describing our approach to data collection to inform funding for 2019-20.

Date	Action
31 August 2018	Suggested date by which providers wanting to receive public grant funding for the first time in 2019-20 should submit their applications for registration.
18 October 2018	HESF19 seminar held in London.
From late October 2018	HESF19 workbooks available to providers from the OfS portal.
19 December 2018	Submission deadline. HESF19 workbooks must be submitted through the OfS portal by noon.
From late December 2018	Data verification phase. OfS staff will discuss the data and associated explanations with staff at your provider. This may involve several rounds of queries.
28 January 2019	Sign-off deadline. Your provider's accountable officer (OfS 2018.29) must have signed off your final HESF19 data as being a realistic forecast of the student numbers that the provider will have in 2019-20.

21. As noted in the introduction, HESF19 is completed only by higher education providers that:

- a. Have registered (or applied to be registered) with the OfS in the Approved (fee cap) category.
- b. Do not have higher education provision recognised for OfS funding purposes in 2018-19.
- c. Will offer higher education provision recognised for OfS funding purposes for the first time in 2019-20. This excludes eligible provision that is subcontracted in.

Recognised higher education for OfS funding purposes relates to the types of courses offered by a provider as defined in paragraph 91. It is not dependent on whether the OfS is actually funding the provider directly.

22. Approved (fee cap) providers that do not meet these criteria will complete other returns that run to a similar timescale, to report their student data for 2018-19:

- a. Providers in this category that are further education colleges, sixth form colleges or academies complete HEIFES18.
- b. All other providers in this category complete HESES18.

Before completing your survey

23. In preparation for completing the survey, we recommend that you read this guidance thoroughly. When completing the survey, you will need to follow the definitions described in Part 2.

24. If your provider is a further education college, a sixth form college or an academy, you will also need to refer to the detailed guidance given in the HEIFES18 survey. All other providers will need to refer to the guidance given in the HESES18 survey. Both documents are available on the OfS website.

25. To accompany our HESF19 seminar, we have released a number of online training materials, which are available from our website at www.officeforstudents.org.uk/data-and-analysis/data-collection/.

Part 1: The HESF process and instructions on completing the workbook – The HESF process

26. Your provider will have nominated a member of staff to act as our contact for the HESF19 survey. This person will be our primary point of contact during the HESF process, though it is possible for your provider to nominate alternative contacts. It is important that your contact details are correct. If you want to check or amend them, please contact us at recurrentgrant@officeforstudents.org.uk. We recommend that more than one person is involved with completing the survey, so that expertise is spread across your staff.
27. We will write to your HESF contact when the workbooks are released. The HESF19 workbook is a Microsoft Excel file (.xlsx) that will be available to download from the OfS portal (<https://extranet.officeforstudents.org.uk/data>). Please note that before you can access the workbook, the OfS portal user administrator at your provider will need to grant you access. Appendix 1 provides further information on how to use the portal and the role of the user administrator.

Notes on completing your survey

28. When completing the workbook, you may see automatic highlighting of any validation errors. This indicates where data is not feasible; for example, where a negative number has been entered in a column. Any validation errors will need to be corrected before the workbook is ready to be submitted.
29. After completing the workbook, it is good practice for someone else to review the data. You should also:
- Have a senior member of the provider check the return and agree that it is a realistic forecast of the student numbers that the provider will have in 2019-20.
 - Use the set of self-check questions (page 14) as a final check on your data and processes.

Submitting your survey

30. When you are satisfied that the data is complete and credible, you have until the submission deadline (**noon on Wednesday 19 December**) to upload the workbook to the OfS portal. We will not give extensions to this deadline. Please note that the portal usually sees heavy traffic on deadline day, which can cause the upload process to take longer than usual. You can submit the workbook to us before this date, and it is possible to submit the workbook multiple times, though we will only keep and use the most recently uploaded version.
31. After the HESF workbook has been successfully uploaded to the portal, you will be able to download a results package. This contains the latest processed copy of your HESF workbook with an updated 'Information' worksheet that will show the submission date and a version number. You should always download the results package, as we will refer to the most recent version of your workbook during the rest of the HESF process.

The data verification phase

32. We use the data verification phase of the HESF process to make sure that we are confident in the accuracy of your data and that we understand the basis for the predictions you have made.

33. The data verification phase starts after the submission deadline, and ends on the sign-off deadline (**Monday 28 January 2019 for all providers**). By this point any queries we have will need to be answered and your data will need to be signed off as a realistic forecast of the student numbers you will have in 2019-20. The timescale for data verification takes account of the holiday period. It is advisable to have more than one member of staff involved with completing the HESF survey.
34. After the submission deadline, we will normally email your provider's HESF contact with our initial queries within seven working days. This email will come from a member of our data verification team who will have reviewed your HESF workbook. This initial email will contain a letter with full instructions, along with our specific queries set out in a separate document.
35. We expect your response to our initial queries to be returned within five working days and emailed to dataverification@officeforstudents.org.uk. We will then review your response and, if necessary, respond with further queries. Several rounds of queries are often necessary before your data is ready to be signed off. In later rounds of queries, response deadlines may be shorter because of the timescales of the data verification phase.
36. During data verification, it may become apparent that part of your workbook needs to be amended. If so, directions for resubmitting the survey will be included in the letter.

Data queries

37. Generally, data verification queries are raised where your data differs from our expectations. For example, queries might be raised about how you have categorised students in the return or about the reason why the reporting of large numbers of students might be considered realistic. We may also compare your HESF19 forecast with information you have provided for OfS registration purposes and with student numbers that you have previously taught on behalf of another registering provider under any subcontractual arrangement.
38. When you respond to our queries, we are looking for responses that directly relate to the query, provide an appropriate level of detail, and show an understanding of the relevant OfS funding definitions.

Signing off your data

39. When our queries have been resolved and any amendments to your data have been processed, we will ask for your data to be signed off by your provider's **accountable officer**.
40. We will send you a verification form by email. Please check that the date and version number match those in your most recent HESF workbook. Your accountable officer will need to sign this form, which should then be emailed to dataverification@officeforstudents.org.uk. The final deadline for us to have received the sign-off form is **noon on Monday 28 January 2019**.

What happens after the data is signed off

41. Straight after the sign-off deadline, we will start to prepare your HESF data for various uses, including to calculate your grant for 2019-20.

42. Shortly after the data verification phase has ended, we will contact you for feedback on the HESF process. This feedback is extremely valuable to us, and will allow us to evaluate the effectiveness of the data returns process and guide any improvements.

Recalculation of 2019-20 funding based on updated 2019-20 student numbers

43. In the autumn of 2019, providers completing HESF19 will be required to complete an in-year survey of their student numbers (as will all other providers receiving OfS funding for 2019-20). The exact form of this survey will be confirmed next year. We will use this in-year data return to recalculate and adjust your funding (up or down) to reflect your actual student numbers in 2019-20. This will ensure that you are neither advantaged nor disadvantaged by a forecast that turns out not to reflect the actual position. Further details of how this recalculation process will work will be released at a later date.

Data assurance

44. Data assurance is an essential part of how we can ensure our approach to regulation is appropriate and effective. The requirement to permit verification of information is condition F3, which applies to all registered providers. More information on F3 is set out in paragraphs 489 to 495 of the Regulatory framework (OfS 2018.01).
45. Providers are responsible for the quality and accuracy of the data they submit to us and other bodies. We do not approve or agree their data submissions, but we monitor the reasonableness and credibility of data, including by comparing and reconciling between different datasets and carrying out audits. We will require providers to amend their data submissions, if we believe there are errors which would significantly and materially affect our use of the data. This may include requiring changes to how providers use subject classifications and hence how students are assigned to price groups for our funding purposes.
46. It is essential to keep an audit trail when filling out your HESF return, recording how your decisions have been made and the data used to support them. One example of an area we may look at as part of our regulatory responsibilities is whether there is sufficient data for any estimates, forecasts or judgements.
47. Our data audits test the systems and processes used by a provider to prepare specific aspects of their data. This can involve desk-based audit work, as well as visits to providers to:
- a. Review systems used to manage student data.
 - b. Review supporting audit trail documents that show how the return was produced.
 - c. Test the values reported on the return and the assumptions underpinning them. This involves selecting samples (or whole populations) of students and testing how they have been reported in the return.
48. Audits will often include a review of the final (outturn) position of students at the end of an academic year. This will allow us to assess the reasonableness of the forecasts and will ensure providers are neither advantaged nor disadvantaged by forecasts that turn out not to reflect the actual position.

Good practice

Audit trail

49. You should keep an adequate audit trail for the compilation of your HESF and future data returns, for at least five years. It should be possible to provide a clear rationale for the figures, and to supply any data used to support your estimates 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.
50. Where your provider is involved in subcontractual or other partnership arrangements, your audit trail must contain evidence for the inclusion or exclusion of students (including details of the partnership arrangements between providers) and for the categorisation of students that are included.

Knowledge management and staff training

51. It is advisable to have **at least two people** who know how to prepare data returns, including HESF. Where the knowledge required to prepare OfS data returns is undocumented and lies with only one person, this creates a risk that in that person's absence, particularly at crucial times of the year, the provider 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 providers to manage it by ensuring that at least two people can produce the information for the return and prepare the return itself.
52. All relevant staff, including experienced staff, should consider the relevant OfS guidance each year and make any necessary changes to their systems. Providers should also ensure that the relevant processes are adequately documented and that this documentation is kept up to date.
53. Staff should prepare data returns using the OfS funding rules set out in our guidance and not according to their own academic regulations. There are often, quite reasonably, differences between providers' academic regulations and the rules relating to the counting of students for funding purposes. It is essential that individuals involved in completing student data fields used for funding purposes fully understand the fields they are completing in the student record.
54. Your data collection and recording procedures should be **applied consistently** across the provider. Although providers have academic regulations and procedures for managing student data in their student record systems, practice within providers can be inconsistent. In general, provider 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 provider.
55. Your staff should **understand the funding rules** and how they relate to the provider's student record system. 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. Such staff should be trained in the provider'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.

Implementing new student record systems

56. Implementing a new student record system is a major undertaking. It is essential that providers manage this process carefully. 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

57. In gaining assurance we do not ask for any reports that could not reasonably be expected to be used in everyday activity. Providers should ensure that their student record system holds the required data and that they are able to extract it.

58. 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 HESES18 return.

Q1. Have you complied with the OfS’s funding rules, as set out in Part 2?

Q2. Have you considered the good practice tips in the blue-bordered sections of this document?

Q3. Have you kept an effective audit trail?

Q5. Have you passed all of the validation checks on each table? (See Appendix 2 for further information.)

Q6. In your forecasts, have you only included students that **will complete** their years of instance? (Using the OfS definition.)

Q7. Are the forecasts and estimates you have made as part of your HESF return made from robust and accurate past performance data where this is available, for example where the provision was previously taught on behalf of another provider under a subcontractual arrangement? Have you kept an audit trail for these decisions?

Q8. Have you excluded years of instance which will be subcontracted in?

Guidance for completing workbook tables

59. The following paragraphs provide guidance on how to complete the HESF survey workbook tables. The survey tables are contained in an Excel workbook. There are two worksheets to complete:

- Table 1 – Forecast of years of instance for 2019-20
- Table 2 – Teaching locations for students.

60. In these tables you will provide a forecast of student numbers you expect to recruit for 2019-20 on higher education courses recognised for OfS funding purposes. The forecast you make should represent the most realistic and likely outcome and should not be overly ambitious or pessimistic.

61. We will use your forecast to calculate initial funding allocations, but will subsequently recalculate and adjust these allocations (up or down) to reflect actual student numbers and ensure you are neither advantaged nor disadvantaged by forecasts that do not reflect the actual student numbers for 2019-20.

Content and structure of the workbook tables

62. For these tables, you are specifically forecasting the number of **completed years of instance** that **start in the academic year 2019-20**. Only years of instance generated by **new entrants** who are **OfS-fundable** should be counted. You should only be forecasting students that you expect to be **registered with your provider** and who are actively pursuing studies for a course that meets our definition of **recognised higher education** for OfS funding purposes. Information on these terms is given in Part 2.

63. Both tables in HESF are divided into sections 1 and 2:

- a. In **Section 1** you need to enter the estimated completed years of instance for the academic year 2019-20.
- b. In **Section 2** you need to enter the estimated full-time equivalence (FTE) for the completed years included in Section 1 for the academic year 2019-20.

Sections 1 and 2 are further broken down by price group.

64. Further information on the definitions used in these tables is given in Part 2 of this document.

65. The tables contain two different cell types:

- white cells, where we require data to be entered where appropriate to your provider
- blue cells, which have either been pre-populated with data from another source, or pre-filled by an underlying calculation.

Part 1: The HESF process and instructions on completing the workbook – Table 1: Forecast of years of instance for 2019-20

66. When entering data into the tables, you may also see a red highlighted message above or to the right of the table. These validation failures indicate where the data you have entered is not feasible; for example, if you enter values to more than two decimal places. If any validation checks are triggered, you should check your data and make any necessary corrections. We will not accept a workbook with any validation failures.

Table 1: Forecast of years of instance for 2019-20

67. In this table you are providing a forecast of the students you are expecting to start studying in the 2019-20 academic year, and complete their year of instance. We will use this information when we calculate initial funding for 2019-20. A partial screenshot of the table is shown in Figure 2.
68. When completing Section 1, you need to enter a forecast of the total completed years of instance for new entrants in 2019-20. You will need to further break down the years of instance by:
- Mode of study (Full-time or Part-time) – see paragraphs 98 to 100.
 - Length of year (Standard or Long) – see paragraphs 105 and 106.
 - Level of study (UG, PGT (UG fee), PGT (Masters' loan) or PGT (Other)) – see paragraphs 101 to 104.
 - Price group (A, B, C1, C2 or D). You may need to split years of instance across price groups. If this is the case, up to two decimal places can be used but the total years of instance must be a whole number – see paragraphs 107 to 131.
69. When completing Section 2, you will need to enter a forecast of the FTE for the completed years included in Section 1. You will only need to do this for the part-time rows; the full-time rows will be completed automatically. You will need to break down the FTE in the same way as in Section 1.

70. **Validation failure** messages will occur for Table 1 if:

- Section 1 or 2 contains a negative number.
- You record numbers to more than two decimal places.
- The totals in Section 1 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.
- The FTE recorded in Section 2 is greater than the completed years of instance in Section 1.
- The FTE recorded in Section 2 is less than 0.03 (3 per cent) of the completed years in Section 1. (Years of instance that have an FTE of less than this are not included.)

Figure 2: Table 1 – Forecast of years of instance for 2019-20

	A	B	C	D	E	F	G	H	I	J	K	L	M	N	O
1	Institution														
2															
3	Forecast of years of instance for 2019-20														
4															
5	Section 1								Section 2						
6	Estimated completed years for academic year 2019-20								Estimated FTE for completed years included in Section 1 for academic year 2019-20						
7	Price group								Price group						
8	Mode	Length	Level	A	B	C1	C2	D	Total	A	B	C1	C2	D	Total
9	Full-time	Standard	UG	0	0	0	0	0	0	0	0	0	0	0	0
10			PGT (UG fee)	0	0	0	0	0	0	0	0	0	0	0	0
11			PGT (Masters' loan)	0	0	0	0	0	0	0	0	0	0	0	0
12			PGT (Other)	0	0	0	0	0	0	0	0	0	0	0	0
13	Long		UG	0	0	0	0	0	0	0	0	0	0	0	0
14			PGT (UG fee)	0	0	0	0	0	0	0	0	0	0	0	0
15			PGT (Masters' loan)	0	0	0	0	0	0	0	0	0	0	0	0
16			PGT (Other)	0	0	0	0	0	0	0	0	0	0	0	0
17	Part-time	Standard	UG	0	0	0	0	0	0	0.00	0.00	0.00	0.00	0.00	0.00
18			PGT (UG fee)	0	0	0	0	0	0	0.00	0.00	0.00	0.00	0.00	0.00
19			PGT (Masters' loan)	0	0	0	0	0	0	0.00	0.00	0.00	0.00	0.00	0.00
20			PGT (Other)	0	0	0	0	0	0	0.00	0.00	0.00	0.00	0.00	0.00
21	Long		UG	0	0	0	0	0	0	0.00	0.00	0.00	0.00	0.00	0.00
22			PGT (UG fee)	0	0	0	0	0	0	0.00	0.00	0.00	0.00	0.00	0.00
23			PGT (Masters' loan)	0	0	0	0	0	0	0.00	0.00	0.00	0.00	0.00	0.00
24			PGT (Other)	0	0	0	0	0	0	0.00	0.00	0.00	0.00	0.00	0.00
25	Total		UG	0	0	0	0	0	0	0.00	0.00	0.00	0.00	0.00	0.00
26			PGT (UG fee)	0	0	0	0	0	0	0.00	0.00	0.00	0.00	0.00	0.00
27			PGT (Masters' loan)	0	0	0	0	0	0	0.00	0.00	0.00	0.00	0.00	0.00
28			PGT (Other)	0	0	0	0	0	0	0.00	0.00	0.00	0.00	0.00	0.00
29	Total			0	0	0	0	0	0	0.00	0.00	0.00	0.00	0.00	0.00

Table 2: Teaching locations for students

71. In this table you are providing information about the locations at which you expect students to be taught in the 2019-20 academic year. Locations are always campuses or other premises of a provider, even though some students may be away from those locations during a year of instance (for example, because they are studying by distance learning, on a work placement or on a study year abroad). This information will be used to calculate any location-based funding allocations. It also allows us to identify whether any of your students will be taught by another organisation on your behalf (subcontracted out). A partial screenshot of the table is shown in Figure 3.
72. When completing Sections 1 and 2 of this table, you need to further break down the years of instance into:
- location type (which must be either a location of your provider, or of a subcontracted out provider)
 - location identifiers (UK Provider Reference Number (UKPRN), name of location and campus postcode).
73. You need to complete one row for each of your provider's own locations, and one row for each location of a provider that teaches students on your behalf under a subcontractual arrangement. If a provider teaches in a number of separate buildings that all fall within a single local authority district or unitary authority⁵, these can all be treated as a single location. Hence we would not generally expect locations that are all part of a single campus to be identified separately. However, if teaching is provided at locations in different local authority districts or unitary authorities, those locations should be identified separately, using a new row on Table 2 for each.
74. When completing the table you will need to:
- a. Start a new row for each new location. Leaving empty rows between filled rows will trigger a validation error. **Row number** will be automatically completed.
 - b. Select the **location type** from the dropdown list:
 - i. **Subcontracted out** – for years of instance where another provider teaches students on your behalf under a subcontractual arrangement. If the subcontracted provider has more than one campus, start a new row for each.
 - ii. **Other** – for all other years of instance.

If a student is taught at more than one location, for example if some, but not all, of their teaching is subcontracted out to another provider, their year of instance should be split according to the proportion of teaching activity that takes place at each location. **Distance learning:** Study by distance learning should be attributed to the main address of the provider that delivers it (reflecting whether this is subcontracted out or not).

⁵ For guidance on local authority districts and unitary authorities, see the guidance on local administrative units level 1, a: www.ons.gov.uk/methodology/geography/ukgeographies/eurostat#relationship-of-nuts-areas-to-uk-administrative-geographies.

Learning in the workplace, work experience and study abroad: The location type for learning in the workplace, work experience, or study abroad, should normally be recorded as 'other'. However, if delivery of a **whole** course is subcontracted out to another provider, then the location type for any learning in the workplace, work experience or study abroad that forms part of that course should be recorded as 'subcontracted out'.

- c. Enter the UK Provider Reference Number (UKPRN):
- i. If you selected 'Subcontracted out' as the location type, enter the UKPRN for the subcontracted-out provider.
 - ii. If you selected 'Other' as the location type, the UKPRN column will be populated automatically with the UKPRN of your provider.

Where the UKPRN for a subcontracted-out provider is not known, values can be obtained from the UK Register of Learning Providers (www.ukrlp.co.uk). If a subcontracted out provider does not have a UKPRN, you may use the following generic codes (as defined by the Higher Education Statistics Agency (HESA)) in the UKPRN column:

- i. 4002 Other Non-UK provider.
 - ii. 4003 Other public body in the UK.
 - iii. 4004 Other private body in the UK.
- d. The **Name of location** column will be automatically populated to show the provider name associated with the UKPRN. You should modify this to **additionally** record the location, if the provider has more than one location or campus. If you entered a generic code under UKPRN, enter the name of the provider in the Name of location column and, if it teaches your students at more than one location, a further name to identify each such location. Do not group different providers into a single row; list each provider (and each of their locations) in individual rows.
- e. Enter the **postcode** for each teaching location. This must be a location of the relevant provider, and will therefore not necessarily reflect where a student is undertaking their course-related activity. If you used the generic code 4002 (Other non-UK provider) in the UKPRN column, then enter 'NA' in the postcode column. For students studying by distance learning the postcode should be that of the main address of the provider that delivers the distance learning (reflecting whether this is subcontracted out or not). For students undertaking learning in the workplace, work experience or study abroad this should be the postcode of a location of the provider at which teaching for the whole instance primarily takes place.
- f. For each row, you need to complete Sections 1 and 2, broken down by price group. As in Table 1, you may need to split years of instance across price groups. In these cases up to two decimal places can be used.

75. **Validation failure** messages will occur for the Teaching locations for students table if:

- a. The location type has not been set as 'Other' or 'Subcontracted'.
- b. You enter an invalid UKPRN or generic code, or no UKPRN or generic code in a row.
- c. The UKPRN is not the provider's own, where the location type has been set as 'Other'.
- d. The name of the location has not been entered.
- e. An invalid postcode or no postcode has been entered for the provider's own location.
- f. You record numbers to more than two decimal places.
- g. Any column contains a negative number.
- h. For Section 1, the total estimated completed years for a price group does not equal the equivalent total in Table 1.
- i. You leave a blank row between filled rows.
- j. For Section 2, the estimated FTE for completed years for a price group does not equal the equivalent total in Table 1.
- k. The UKPRN is the provider's own, where the location type has been set as 'Subcontracted'.
- l. No completed years have been entered in Section 1 or 2.
- m. The FTE has not been entered in Section 2

Figure 3: Table 2 – Teaching locations for students

Filton Avenue College (10009988)				Validation: OK							Validation: OK					
Table 2: Teaching locations for students				Validation: OK							Validation: OK					
Row number	Location type	UKPRN	Name of location	Campus postcode	Section 1 Estimated completed years for academic year 2019-20						Section 2 Estimated FTE for completed years included in Section 1 for academic year 2019-20					
					Price group					Total	Price group					Total
					A	B	C1	C2	D			A	B	C1	C2	
				Total	0.00	0.00	120.00	0.00	0.00	120.00	0.00	0.00	55.00	0.00	0.00	55.00
1	Subcontracted out	10001234	Office for Students	BS1 ABC	0.00	0.00	120.00	0.00	0.00	120.00	0.00	0.00	55.00	0.00	0.00	55.00
2	Other	10004321	Campus A	BS2 ABC	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
3	Other	10001122	Campus B	BS3 ABC	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
4	Other	10001100	Campus C	BS4 ABC	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
5																

Part 2: Definitions and further guidance

76. This document provides a summary of OfS funding rules and definitions, but does not provide the complete guidance on them, as this has already been provided for the HESES18 and HEIFES18 surveys. You should consult these other documents for further guidance when completing your HESF19 survey:

- a. Further education colleges, sixth form colleges and academies will need to use the rules and definitions provided in HEIFES18.
- b. All other providers should use the rules and definitions provided in HESES18.

Both documents are available from www.officeforstudents.org.uk/publications/.

77. OfS funding rules and definitions are given in the annexes contained in Section 2 of the HESES18 and HEIFES18 guidance documents. These are listed in Table C.

Table C: Contents of the HESES18 and HEIFES18 guidance annexes

Section of HESES18 / HEIFES18 guidance	Content and key definitions
Annex A	Defines the student population and who should be counted in the survey.
Annex B	Defines recognised higher education for OfS funding purposes, and also describes how we treat students studying as part of an apprenticeship.
Annex C	Describes how we count student activity on the survey and defines a year of instance and when students are considered to be new entrants.
Annex D	Contains the OfS definition of non-completion.
Annex E	Describes how to calculate FTE for part-time years of instance.
Annex F	Describes how to determine the residential and fundability status of a student.
Annex G	Providers completing HESF19 should not use this annex in the HESES18 and HEIFES18 surveys, but instead follow the guidance on assigning years of instance to price groups in paragraphs 107 to 131.
Annex H	Describes how to determine the mode of study for a year of instance.
Annex I	Describes how to determine a student's level of study.
Annex J	Describes how to determine if a year of instance should be classified as 'long'.
Annex K	Describes how to determine if a year of instance is classified as a year abroad.
Annex L	Discusses how pre-registration courses in certain healthcare professions are recorded in the survey.

The HESF19 population

78. In HESF, you are forecasting the number of **completed years of instance** that start in the **academic year 2019-20**, for students that you expect to be **registered with you**. The HESF survey should include only years of instance generated by students who are:

- new entrants
- actively pursuing studies for a course that meets our definition of recognised higher education for OfS funding purposes
- **not studying for most of their course outside the UK** (including by distance learning), unless certain exceptional circumstances apply
- OfS-fundable.

The highlighted terms are defined in paragraphs 79 to 95.

Academic year

79. The academic year is the 12-month period from 1 August to the following 31 July. The academic year 2019-20 therefore means the period from 1 August 2019 to 31 July 2020.

Completed year of instance

80. An **instance** is defined as a coherent engagement with the provider by a student aiming towards the award of one or more qualifications, or of higher education 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 and subsequent years of instance begin on or around the anniversary of that date. Further education colleges, sixth form colleges and academies should note that the HEIFES survey uses the terminology of a 'course' and 'year of course' to signify the same concepts.

81. To be counted in HESF, a year of instance will need to begin within the 2019-20 academic year.

82. For a year of instance to be **completed**, a student must complete all the modules they intended to complete in the year of instance, and do so within 13 calendar months of the start of the year of instance. To complete a module, the student must either undergo the final assessment of the module (this refers to the activity of the student in sitting an exam or submitting coursework); or pass the module, where this can be achieved without undergoing the final assessment. Full guidance on completion or non-completion is given in Annex D of the HESES18 or HEIFES18 surveys. It is important to note that the OfS has a specific definition of completion that is not the same as the concepts of 'progression' or 'continuation'.

83. We expect that each year a proportion of students will, for various reasons, not complete their year of instance. Your forecasts should only include students who will **complete** their year of instance.

84. Providers are expected to base their estimates of non-completion rates on historical data, not on aspirations or targets. When completing HESF19, we would encourage you to use any available comparable data.

The provider that registers the student

85. The **provider with which a student is registered** means the provider that has the full contractual responsibility to the student for the provision of educational services. This applies whether the provider provides all the teaching for the course, or subcontracts some or all of that teaching out to another body. Where fee payments from the Student Loans Company are concerned, this will also be the provider that collects the student tuition fee. Where payments from the Education and Skills Funding Agency (ESFA) for apprenticeships are concerned, this will also be the provider that is paid by the ESFA. The HESF survey should therefore:
- a. **Include** years of instance for students who will be taught on your behalf by another provider (subcontracted out). These students will need to be identified as subcontracted out on the 'Teaching locations for students' table.
 - b. **Exclude** years of instance for students that you will be teaching on behalf of another registering provider under a subcontractual relationship.
86. Because the HESF survey is for completion by providers that **do not** have higher education provision recognised for OfS funding purposes in 2018-19, the forecast numbers for inclusion in the survey for 2019-20 should be only new entrants (see paragraph 89). Some providers may, however, already have provision that is subcontracted in, whereby they teach students of another provider under a subcontractual arrangement.
87. The responsibility for reporting student data rests with the provider with which a student is registered, which is (as set out in paragraph 85) the provider that has full contractual responsibility to the student for the provision of educational services. Students should not, other than in exceptional circumstances, change the provider they are registered with, and no change should be made to which provider reports data on students who are continuing on the same course without each student's informed agreement. In reporting student data to us, providers will be confirming their contractual responsibilities for the provision of education to students.
88. Where a provider wishes to offer provision directly that they have previously subcontracted in, we would expect this to apply to successive entry cohorts of students, rather than to continuing students who entered under the subcontractual arrangement. However, where we are satisfied that all parties (the providers and students concerned) agree, we will be prepared to allow transfers of continuing students to reflect changes in registering providers, including for our funding purposes. The HESF survey **should not** be used to implement such transfers, as it is limited to the reporting of new entrants. Providers should email recurrentgrant@officeforstudents.org.uk for guidance about the separate process for implementing transfers of continuing student numbers between providers for funding and data reporting purposes.

New entrants

89. We define students as new entrants when they first generate a countable year of instance for a higher education course recognised for OfS funding purposes (see paragraphs 91 and 92) and have not been active at the same broad level (undergraduate or postgraduate) as a student of the same registering provider in either of the two previous academic years. See Annex C of the HESES18 or HEIFES18 guidance for further information.

Actively pursuing studies

90. A year of instance should be counted in HESF only if the student is actively pursuing studies with the provider and these studies fall at least partly in the academic year 2019-20. This excludes years of instance falling in the year that are entirely 'writing up', or where the only activity is assessment.

Recognised higher education for OfS funding purposes

91. Recognised higher education for OfS funding purposes:

- a. Includes courses that are designated under the Education (Student Support) Regulations 2011 and other courses that lead to qualifications meeting the standards at Level 4 and above of the 'Frameworks for higher education qualifications of UK degree-awarding bodies' (FHEQ)⁶, or credit towards such a qualification that is itself at Level 4 or above.
- b. Excludes courses (and credit towards such courses) leading to qualifications in the Register of regulated qualifications⁷, unless they are courses designated under the Education (Student Support) Regulations 2011.

92. Years of instance for students on an apprenticeship may be included in HESF where they are undertaking activity that meets our definition of recognised higher education for OfS funding purposes during the year of instance. Only the activity spent in study or learning that directly contributes to their recognised higher education qualification should be counted.

Study outside the UK

93. Student instances should be included in HESF only if 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:

- a. 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.
- b. 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.

⁶ See www.qaa.ac.uk/quality-code/the-existing-uk-quality-code/part-a-setting-and-maintaining-academic-standards.

⁷ See <https://register.ofqual.gov.uk/>.

- c. The student is receiving UK student support from the Student Loans Company for the year.

94. 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.

OfS-fundable students

95. Only students who are OfS-fundable should be returned in the HESF survey. To be considered as OfS-fundable, students will need to:

- a. Meet criteria for Home and EU status according to both nationality and residency requirements set out in regulations⁸. Student Finance England provides a practitioners' helpline (0300 100 0618) for detailed information about policy and regulations or for help with more complex assessment, eligibility or circumstantial questions. If Student Finance England says that a student is eligible, this means that the student is also regarded as a Home and EU student for HESF purposes.
- b. Not fall into any of the 'non-fundable' categories given in Annex F of the HESES18 or HEIFES18 guidance. In summary, these categories of non-fundable students include:
 - i. Those where another EU public source funds, or is responsible for funding, their provision. This includes all postgraduate research students and students on initial and in-service teacher training courses for school teachers. However, years of instance that are undertaken as part of an apprenticeship should not be treated as non-fundable (and thus excluded from HESF) solely on the basis that funding for their apprenticeship is provided by the ESFA.
 - ii. Those on courses leading to first registration in certain healthcare professions. This depends on when the student started the course, and on whether the course is provided under contract with, or commissioned and funded by, an NHS organisation.
 - iii. Those on a 'closed' course. This is a course which is not open to all suitably qualified candidates, typically because it is open only to employees of a particular company. This does not apply to apprenticeships.
 - iv. Those aiming for a qualification of an academic level that is no higher than one they have already achieved (an equivalent or lower qualification), unless an exemption applies⁹.

⁸ See www.qaa.ac.uk/quality-code/the-existing-uk-quality-code/part-a-setting-and-maintaining-academic-standards

⁸ Schedule 1 of the Education (Fees and Awards) (England) Regulations 2007 (Statutory Instrument 2007 No. 779), as amended. See www.legislation.gov.uk/.

⁹ Current exemptions, for OfS funding purposes, include: students aiming for foundation degrees; those aiming for a qualification in certain public sector professions, such as medicine, nursing, social work or teaching; and those receiving Disabled Students' Allowances. The policy also applies for Student Loans Company student support purposes and in defining qualifying persons on qualifying courses that are subject to regulated tuition fees. However, implementation of the policy, and exemptions to it, can be different for those other purposes.

How years of instance are counted and categorised in HESF

96. In each HESF table, you should report completed years of instance in Section 1 and the **full-time equivalence** for those completed years in Section 2. These are broken down according to **mode of study**, **level of study**, whether the year of instance is **long**, and the subject-related **price group** for the activity. The highlighted terms are defined in paragraphs 97 to 131.

Full-time equivalence

97. A full-time year of instance counts as 1 FTE. The FTE for students studying part-time is calculated with reference to an equivalent full-time course. This comparison can either be based on credit points studied or, if the intensity of study for the whole course is uniform across each year of instance, on the duration of 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 no equivalent full-time course exists at the provider, a reasonable academic judgement should be made of the FTE relative to a full-time student, based on a typical full-time pattern of 120 credit points per standard year (or 180 credit points for a long year – see paragraphs 105 to 106). See Annex E of the HESES18 or HEIFES18 guidance for further information.

Mode of study

98. The mode of study for a year of instance of a new entrant will be either **full-time** or **part-time**. To be counted as full-time, a year of instance must meet all of the following criteria:

- a. The student is normally required to attend the provider, 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 placement which amount to an average of at least 21 hours per week.
- b. Full-time fees are chargeable for the course for the year.

99. If years of instance forecast in HESF19 do not meet our definition of full-time, they should be reported as part-time. See Annex H of the HESES18 or HEIFES18 guidance for further information. This also provides information on a third mode of study, 'sandwich year out'; however, we do not expect this to be relevant for new entrants and hence for HESF19.

100. Learning in the workplace is a structured academic programme, controlled by the higher or further education provider and delivered in the workplace by the academic staff of the provider, staff of the employer, or both. 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 provider's academic staff, perhaps jointly with an employer.

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

Level of study

101. A student's level of study can be **undergraduate** or **postgraduate**.
102. Undergraduates are students on higher education courses for which it is not a normal condition of entry that they are already qualified to degree level: that is, they are not already qualified at Level 6 of FHEQ. They may be studying towards a first degree (including foundation degree), integrated masters' programme, higher education certificate, higher education diploma or equivalent, or registered for a higher education level credit that can be counted towards one of these qualifications.
103. 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, they are already qualified at Level 6 of FHEQ. There are two main categories of postgraduate students:
- a. 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. Postgraduate research students are excluded from HESF19.
 - b. Postgraduate taught (PGT) students are postgraduates who do not meet the requirements to be a research student. They are further divided into three sub-levels:
 - i. PGT (UG fee): students on courses that are designated under the undergraduate (UG) student support regime.
 - ii. PGT (Masters' loan): students on courses that are designated under the postgraduate masters' loan arrangements, but excluding those courses that may also be designated under the undergraduate student support arrangements.
 - iii. PGT (other): all other postgraduate taught students.
104. See Annex I of the HESF18 or HEIFES18 survey for further guidance on level of study.

Long years of instance

105. A year of instance can be classified as either standard-length or long.
- a. For full-time courses, a year of instance is counted as long if students are normally required to attend for 45 weeks or more within that year of instance, not counting time spent on work experience or learning in the workplace. Otherwise the year of instance will be standard-length.

- b. For part-time courses a year is only counted as long if the equivalent full-time course is also long. 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.

106. See Annex J of the HESES18 or HEIFES18 survey for further guidance on long years of study.

Price group

The following section on price groups has been written specifically for providers completing HESF19.

It covers how years of instance should be mapped to price groups for the purposes of HESF19, including guidance on the special cases of nursing, midwifery and allied health professions, teacher education, social work and computing.

Guidance is also given for cases where a year of instance can be split across price groups or where provision is contracted out.

107. The costs associated with teaching different subjects will vary. To account for this, we assign years of instance to price groups which range from A (most expensive) to D (least expensive).

108. Years of instance in HESF19 are matched to price groups based on two criteria. Firstly, they may be one of a number of specific cases noted in paragraphs 109 to 118. Secondly, if none of the specific cases apply, they are assigned to price groups based:

- a. For further education colleges, sixth form colleges and academies, on the learning directory classification system (LDCS) codes for the learning aim (see paragraphs 125 to 129).
- b. For other higher education providers, on the Higher Education Classification of Subjects (HECoS) code of the subject of the course. As noted above, this method differs from that described given in the HESES18 guidance document, and full guidance on how to assign price groups is given in paragraphs 120 to 124.

Specific cases

Pre-registration courses in nursing, midwifery and allied health professions

109. Students on pre-registration courses that on successful completion lead to first registration with the Nursing and Midwifery Council as a professional in nursing (all specialisms), should be entirely attributed to price group C1, irrespective of the HECoS or LDCS code for the course.

110. Students on pre-registration courses that on successful completion lead to a first registration with the General Dental Council as a professional in dental therapy or dental hygiene, should be entirely attributed to price group A, irrespective of activity in any HECoS or LDCS code.

111. Students on pre-registration courses that on successful completion lead to first registration with a relevant recognised regulatory body as a professional in any of the following specialisms should be entirely attributed to price group B, irrespective of activity in any HECoS or LDCS code:

- midwifery
- dietetics
- speech and language therapy
- podiatry and chiropody
- orthotics and prosthetics
- occupational therapy
- operating department practice
- orthoptics
- physiotherapy
- radiography.

112. For the purposes of paragraph 111, the relevant recognised regulatory bodies are the Nursing and Midwifery Council for midwifery and the Health and Care Professions Council for all other professions listed.

Social work

113. 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 HECoS or LDCS code.

114. For the purposes of paragraph 113, 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.

ITT, INSET and other education

115. Students on initial teacher training (ITT) courses leading to qualified teacher learning and skills (QTLS) status should be entirely attributed to price group C2, irrespective of the HECoS codes. All Home and EU students on ITT courses leading to Qualified Teacher Status (QTS) or Early Years Teacher Status (EYTS) are non-fundable and so are not included in HESF19.

116. 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 are studying for a qualification leading to QTLS status via an INSET course should be recorded in price group C2. Home and EU students holding or aiming for QTS or EYTS on INSET courses are non-fundable and so are not included in HESF19.

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

Other specific cases

118. There are other specific cases in HESES18 and HEIFES18 guidance such as sandwich years out and clinical medicine, dentistry and veterinary science courses. However, we do not expect these to be relevant to HESF19.

Assigning years of instance to price groups using HECoS or LDCS codes

119. Only where **none** of the specific cases defined in paragraphs 109 to 118 apply, years of instance should be allocated to price groups according to:

- a. For providers that are **not** further education colleges, sixth form colleges or academies, the HECoS codes relating to the subject for the course, using the mappings shown in Tables D and E. These show how the Common Aggregation Hierarchy (CAH) for HECoS codes maps to price group. For further detail of our approach we recommend 'Funding for academic year 2019-20: Approach and data collection' (OfS 2018.31)¹⁰.
- b. For providers that are further education colleges, sixth form colleges or academies, the LDCS codes relating to the learning aim for the course, using the mappings shown in Tables F and G.

Guidance for providers that are not further education colleges, sixth form colleges or academies: Tables showing the relationship of the Common Aggregation Hierarchy for HECoS codes to price groups

120. From 2019-20, HESA is introducing the Higher Education Classification of Subjects (HECoS) for data reporting purposes. This means that providers completing HESF19 will assign students' years of study according to a mapping of HECoS codes to price groups. HECoS codes are grouped into broad subject categories using the CAH. Tables D and E show how CAH codes are mapped to price groups.

121. Providers may not yet have assigned HECoS codes to the courses they intend to offer for 2019-20. They will need to do so, however, to complete the HESF survey, reflecting the guidance on the HESA website¹¹. Providers should keep a record for audit purposes of the HECoS codes they have assigned for each course included in the HESF survey, and the rationale for assigning them.

122. The CAH codes contain up to six characters which indicate a hierarchy of subject specialism. The top level (1) of the hierarchy is represented by two digits, with sub-categories at level 2 represented by four digits and further sub-categories at level 3 represented by six digits. In Tables D and E, the mapping of CAH codes to price groups includes all sub-levels of each code, unless stated otherwise. For example, '01' includes all CAH codes that begin with '01' and '02-01' includes all CAH codes that begin with '02-01'.

¹⁰ Available at www.officeforstudents.org.uk/publications/funding-for-academic-year-2019-20-approach-and-data-collection/.

¹¹ See www.hesa.ac.uk/innovation/hecos. Select 'Download the implementation guide' for guidance on assigning HECoS codes. The webpage provides further information about the assignment of HECoS codes under the CAH.

123. Tables showing the assignment of HECoS codes under the CAH are available on the HESA website. A more detailed mapping of HECoS codes to price groups is available in Annex A of OfS 2018.31.

124. Some qualifications contain study in two or more distinct subject areas, for example a chemistry and business course. Where a course has more than one HECoS code, years of instance should be split between the relevant price groups in proportion to the split between each subject for the course as a whole.

Table D: Attribution of CAH of HECoS codes to price groups

CAH codes (including all sub-levels of the hierarchy)	Price groups
CAH01	B
CAH02-01	C2
CAH02-03-04, CAH02-03-05, CAH02-03-06, CAH02-03-07, CAH02-03-08	C2
CAH02 (other than above)	B
CAH03-01-09, CAH03-02	C2
CAH03 (other than above)	B
CAH04	C2
CAH05	B
CAH06-01-04	D
CAH06-01-06, CAH06-01-08	C2
CAH06 (other than above)	B
CAH07	B
CAH08	B
CAH09	C2
CAH10	B
CAH11	C1
CAH12-01-04	B
CAH12 (other than above)	C2
CAH13	C2
CAH14	D
CAH15-04-03	C2
CAH15 (other than above)	D
CAH16	D
CAH17	D
CAH18	C1
CAH19-01, CAH19-02	D
CAH19-03-08, CAH19-03-09, CAH19-03-10	D
CAH19-03 (other than above)	C2
CAH20-01-03	C1

CAH codes (including all sub-levels of the hierarchy)	Price groups
CAH20 (other than above)	D
CAH21	C1
CAH22	D
CAH23	D

Table E: CAH codes contained in price groups

Price group	CAH codes (including all sub-levels of the hierarchy)
B	CAH01, CAH02 (except CAH02-03-04, CAH02-03-05, CAH02-03-06, CAH02-03-07, CAH02-03-08), CAH03 (except CAH03-01-09, CAH03-02), CAH05, CAH06 (except CAH06-01-04, CAH06-01-06, CAH06-01-08), CAH07, CAH08, CAH10, CAH12-01-04
C1	CAH11, CAH18, CAH20-01-03, CAH21
C2	CAH02-01, CAH02-03-04, CAH02-03-05, CAH02-03-06, CAH02-03-07, CAH02-03-08, CAH03-01-09, CAH03-02, CAH04, CAH06-01-06, CAH06-01-08, CAH09, CAH12 (except CAH12-01-04), CAH13, CAH15-04-03, CAH19-03 (except CAH19-03-08, CAH19-03-09, CAH19-03-10)
D	CAH06-01-04, CAH14, CAH15 (except CAH15-04-03), CAH16, CAH17, CAH19-01, CAH19-02, CAH19-03-08, CAH19-03-09, CAH19-03-10, CAH20 (except CAH20-01-03), CAH22, CAH23

Guidance for further education colleges, sixth form colleges and academies: Tables showing the relationship of LDCS codes to price groups

125. The learning aims search facility on ESFA's Information Management Hub (<https://hub.imservices.org.uk/Learning Aims/Pages/default.aspx>) contains information on courses delivered at further education and sixth form colleges. Learning aims for the courses delivered at your provider will need to be requested in time for the 2019-20 academic year, if they do not already exist. The ESFA will assign up to three LDCS codes for each learning aim. These can be located under the 'Other information' tab's 'Shared information' section.
126. If a course that your college will deliver in 2019-20 already has a learning aim, you should assign price groups to the course using the mappings for each LDCS code in Table F.
127. If a course does not yet have a learning aim, you should attempt to locate a similar course on the learning aims search facility and use the LDCS codes associated with that course to map price groups. If you require assistance with mapping price groups, the college should email heifes@officeforstudents.org.uk.
128. Some qualifications contain study in two or more distinct subject areas, for example a chemistry and business course. Where the qualification has more than one LDCS code on the Education and Skills Funding Agency's learning aims search, the student should be split between the relevant price groups in proportion to the split between each subject for the course as a whole.
129. LDCS codes contain up to six characters which indicate a hierarchy of subject specialism. The top level of the hierarchy is represented by a single character (a letter). Each additional character represents a (further) sub-level. In Tables F and G, the mapping of LDCS codes to

price groups includes all sub-levels of each code, unless stated otherwise. For example, 'A' includes all LDCS codes that begin with 'A', 'PA' includes all codes that begin with 'PA' and 'FN.1' includes all codes that begin with 'FN.1'.

Table F: Attribution of LDCS codes to price groups

LDCS codes (including all sub-levels of the hierarchy)	Price groups
A	D
B	D
C	C1
DC	C1
D (other than above)	D
E	D
FN.1, FN.3, FN.4, FN.5, FN.7, FN.8, FN.9	C2
F (other than above)	D
G	D*
H	D
JA.22, JA.23, JA.32, JA.33, JA.34, JA.5, JA.7, JA.8, JD, JE	D
J (other than above)	C1
KB, KC	D
K (other than above)	C1
LF, LG	D
L (other than above)	C1
M	C2
NG, NK, NN	D
N (other than above)	C2
PB, PC.1, PC.5, PE.6, PE.7, PF.1, PF.2, PG.1, PG.2	B
PA	D
P (other than above)	C2 [†]
QA.3, QH.6	B
QB, QH (except for QH.6), QJ	D
Q (other than above)	C2
RA.3, RA.5, RA.6, RB, RF.4, RG	C2
R (other than above)	B
SE	C1
SN.3, SN.4, SN.6, SQ	C2
SJ.5, SM, SP	D
S (other than above)	B
TK, TL, TM	B
TC.44, TC.5, TC.6, TF	D

LDCS codes (including all sub-levels of the hierarchy)	Price groups
T (other than above)	C2
U	D
VE, VF.4, VG	B
VF.1, VF.2, VF.3, VF.5, VF.6	C1
V (other than above)	D
WA, WB, WC, WD, WE, WG	B
WM	C2
W (other than above)	C1
XA.13, XA.32, XN, XS	C2
X (other than above)	B
Y	B
ZX.3, ZX.4, ZX.5	D
Z (other than above)	C2

Table G: LDCS codes included in price groups

Price group	Learning Directory Classification System codes (including all sub-levels of the hierarchy)
B	PB, PC.1, PC.5, PE.6, PE.7, PF.1, PF.2, PG.1, PG.2, QA.3, QH.6, R (except RA.3, RA.5, RA.6, RB, RF.4, RG), S (except SE, SJ.5, SM, SN.3, SN.4, SN.6, SP, SQ), TK, TL, TM, VE, VF.4, VG, WA, WB, WC, WD, WE, WG, X (except XA.13, XA.32, XN, XS), Y
C1	C, DC, J (except JA.22, JA.23, JA.32, JA.33, JA.34, JA.5, JA.7, JA.8, JD, JE), K (except KB, KC), L (except LF, LG), SE, VF.1, VF.2, VF.3, VF.5, VF.6, W (except WA, WB, WC, WD, WE, WG, WM)
C2	FN.1, FN.3, FN.4, FN.5, FN.7, FN.8, FN.9, M, N (except NG, NK, NN), P (except PA, PB, PC.1, PC.5, PE.6, PE.7, PF.1, PF.2, PG.1, PG.2), Q (except QA.3, QB, QH, QJ), RA.3, RA.5, RA.6, RB, RF.4, RG, SN.3, SN.4, SN.6, SQ, T (except TC.44, TC.5, TC.6, TF, TK, TL, TM), WM, XA.13, XA.32, XN, XS, Z (except ZX.3, ZX.4, ZX.5)
D	A, B, D (except DC), E, F (except FN.1, FN.3, FN.4, FN.5, FN.7, FN.8, FN.9), G, H, JA.22, JA.23, JA.32, JA.33, JA.34, JA.5, JA.7, JA.8, JD, JE, KB, KC, LF, LG, NG, NK, NN, PA, QB, QH (except QH.6), QJ, SJ.5, SM, SP, TC.44, TC.5, TC.6, TF, U, V (except VE, VF.1, VF.2, VF.3, VF.4, VF.5, VF.6, VG), ZX.3, ZX.4, ZX.5

Notes to Tables F and G

- LDCS code G (education) should be assigned to price group D unless courses meet the specific criteria in paragraphs 115 to 117 to be assigned to price group C2.
- LDCS codes beginning with P (health care, medicine, health and safety), other than those listed separately in Tables F and G, should be assigned to price group C2 unless courses meet the specific criteria in paragraphs 109 to 112 to be assigned to either B or C1. In practice, we understand that only two further education colleges offer courses with an LDCS code beginning with P that would meet the criteria to be recorded in a price group other than C2, both of them pre-registration courses in podiatry which would be recorded in price group B.

Good practice

130. Providers completing HESF19 should be able to provide evidence of how they have allocated HECoS or LDCS codes to particular courses, and their compliance with the HESA guidance where applicable.
131. The assignment of HECoS codes to courses should be reviewed regularly to ensure that the guidance is being followed.

List of abbreviations

Abbreviation	Definition
CAH	Common Aggregation Hierarchy
ESFA	Education and Skills Funding Agency
EYTS	Early Years Teacher Status
FHEQ	Frameworks for higher education qualifications of UK degree-awarding bodies
FTE	Full-time equivalence
HEcOS	Higher Education Classification of Subjects
HEIFES	Higher Education in Further Education: Students survey
HESA	Higher Education Statistics Agency
HESES	Higher Education Students Early Statistics survey
HESF	Higher Education Students Forecast
INSET	In-service education and training
ITT	Initial teacher training
LDCS	Learning directory classification system
OfS	Office for Students
PGR	Postgraduate research
PGT	Postgraduate taught
QTLS	Qualified teacher learning and skills (OfS-fundable)
QTS	Qualified teacher status (non-fundable)
UG	Undergraduate
UKPRN	UK Provider Reference Number



© The Office for Students copyright 2018

This publication is available under the Open Government Licence 3.0.

www.nationalarchives.gov.uk/doc/open-government-licence/version/3/