Annex N
Validation checks

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

Tables 1a, 1b, 2 and 3

2. For each column, the total for each level (excluding the ITT (QTS) and INSET (QTS) price groups) must be a whole number (except for Column 4a on Table 3).

3. For each column, the ITT (QTS) and INSET (QTS) cells, where present, must contain whole numbers (except for Column 4a on Table 3).

4. For all cells except cells in Column 3, the value ≥ 0.

5. For all cells, Column 3 ≤ 0.

6. For each row, Column 5 ≤ Columns 1 + 2.

7. For Tables 1a, 2 and 3 only – for each row, Column 6 ≤ Column 1 ((a) + (b)) + Column 2 ((a) + (b)).

8. For Table 3 only – for each row, Column 4a ≤ Column 4.

9. For Table 3 only – for each row, Column 4a ÷ Column 4 ≥ 0.03.

10. For Table 1b only, all columns (clinical medicine + clinical dentistry) ≤ Columns 1 to 5 (price group A, undergraduate) on Table 1a.

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

Table 4

12. Each cell must contain a whole number.

13. For each level, excluding the ITT (QTS) price group, the total should equal the total in Tables 1a, 2 or 3 as follows:

Table 4		**Table 1a**
Column 1 (a)(i)	=	Column 1 (a) + (b)
Column 1 (a)(ii)	=	Column 1 (c)
Column 2 (a)(i)	=	Column 2 (a) + (b)
Column 2 (a)(ii)	=	Column 2 (c)

		Table 2
Column 1 (b)(i)	=	Column 1 (a) + (b)
Column 1 (b)(ii)	=	Column 1 (c)
Column 2 (b)(i)	=	Column 2 (a) + (b)
Column 2 (b)(ii)	=	Column 2 (c)
		Table 3
Column 1 (c)(i)	=	Column 1 (a) + (b)
Column 1 (c)(ii)	=	Column 1 (c)
Column 2 (c)(i)	=	Column 2 (a) + (b)
Column 2 (c)(ii)	=	Column 2 (c)

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

Table 4		Table 1a
Column 1 (a)(ii)	=	Column 1 (c)
Column 2 (a)(ii)	=	Column 2 (c)
		Table 3
Column 1 (c)(ii)	=	Column 1 (c)
Column 2 (c)(ii)	=	Column 2 (c)

<u>Table 5</u>

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

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

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

Table 5		Table 1a
Column 1(a) – (i), (ii), (iii), (iv)	≤	Column 1 – (a), (b), (c), (d)
Column 2(a) – (i), (ii), (iii), (iv)	≤	Column 2 – (a), (b), (c), (d)
		Table 2
Column 1(b) – (i), (ii), (iii), (iv)	≤	Column 1 – (a), (b), (c), (d)
Column 2(b) – (i), (ii), (iii), (iv)	≤	Column 2 – (a), (b), (c), (d)
		Table 3
Column 1(c) – (i), (ii), (iii), (iv)	≤	Column 1 – (a), (b), (c), (d)
Column 2(c) – (i), (ii), (iii), (iv)	≤	Column 2 – (a), (b), (c), (d)

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

19. For all cells, the value ≥ 0.

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

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

Table 6

21. For each column and level, the total must be a whole number.

22. Each cell in Column 2 must be less than or equal to the equivalent cell in Column 1.

23. The total student numbers returned against ‘bridging course’ in Column 1, for home and EC students only, should be equal to the total returned against foundation degree bridging course in Columns 1 and 2 of Table 4.

24. For all cells, the value ≥ 0.

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

Table 6		**Table 1a**
Column 1(a) – (i), (ii), (iii)	≤	Column 1 – (a)+(b), (c), (d) plus Column 2 – (a)+(b), (c), (d)
Column 2(a) – (i), (ii), (iii)	≤	Column 5 – (a)+(b), (c), (d)
		Table 3
Column 1(b) – (i), (ii), (iii) (student numbers only)	≤	Column 1 – (a)+(b), (c), (d) plus Column 2 – (a)+(b), (c), (d)
Column 2(b) – (i), (ii), (iii) (student numbers only)	≤	Column 5 – (a)+(b), (c), (d)

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

27. For each column, the combined total by price group of the corresponding cells in Tables 5 and 6 should be less than or equal to the equivalent undergraduate cells in Tables 1a or 3 as in paragraph 20 above.

Table 7

28. For all cells, the value entered must be a whole number.

29. Each cell in Column 2 must be less than or equal to the equivalent cell in Column 1.

30. For Column 1(a), the totals for ‘home’ and ‘EC’ together for ‘below UG degree level’ should be greater than or equal to the corresponding home and EC totals from Columns 1 and 2 of Table 5 and Column 1 of Table 6.

31. For Column 1(b), the totals for ‘home’ and ‘EC’ together for ‘below UG degree level’ should be equal to the corresponding home and EC totals from Columns 1 and 2 of Table 5 and Column 1 of Table 6.

32. For both Columns 1 and 2, the totals for ‘home’ and ‘EC’ together for ‘below UG degree’ and ‘UG degree’ together should be equal to the corresponding undergraduate home and EC totals from Columns 1, 2 and 5 of Tables 1a, 2 and 3.

33. For both Columns 1 and 2, the totals for ‘home’ and ‘EC’ together for PGT and PGR should be equal to the corresponding home and EC totals from Columns 1, 2 and 5 of Tables 1a, 2 and 3.

34. For all cells, the value ≥ 0.

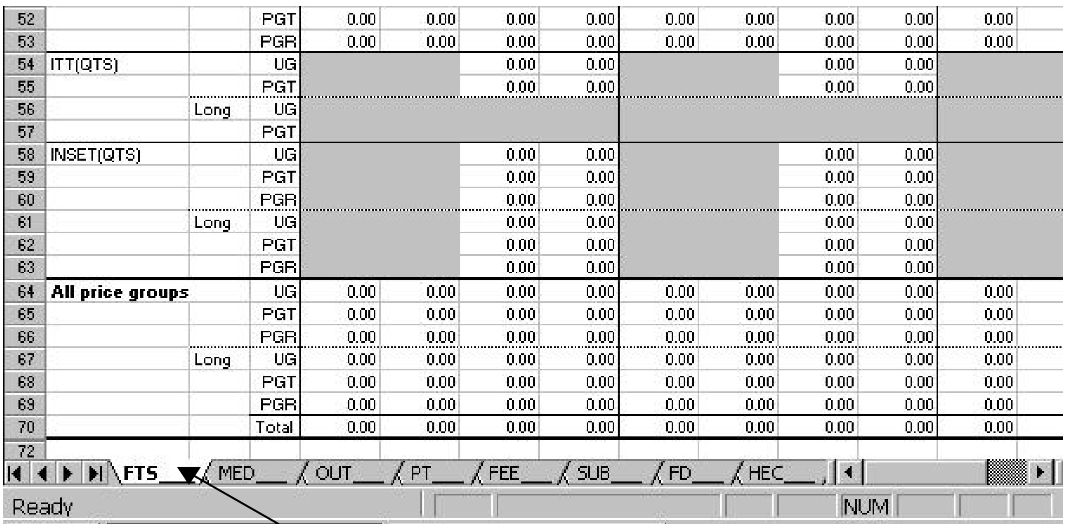
Annex O
Workbook notes

1. In November a workbook will be available for download by institutions, with spreadsheet versions of the tables in Annex P. Vice-chancellors and HESES contacts will be issued with a password in November to access the workbook through a secure web-site.

2. The workbook will be saved in Excel 97 format and called HES___.xls, where the suffix identifies the institution. The workbook will contain eight worksheets, each with the same suffix as the workbook. These are as follows:

Name of worksheet	HESES02 tables
FTS____	Full-time and sandwich data. Table 1a.
MED____	Full-time and sandwich: Medical and dental student data. Table 1b.
OUT____	Sandwich year-out data. Table 2.
PT____	Part-time data. Table 3.
FEE____	Home and EC fees data. Table 4.
SUB____	Data on qualifications below degree level. Table 5.
FD____	Data on foundation degrees and foundation degree bridging courses. Table 6.
HEC____	Separate data on home and EC students. Table 7.

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



52			PGT	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
53			PGR	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
54	ITT(QTS)		UG			0.00	0.00			0.00	0.00	
55			PGT			0.00	0.00			0.00	0.00	
56		Long	UG									
57			PGT									
58	INSET(QTS)		UG			0.00	0.00			0.00	0.00	
59			PGT			0.00	0.00			0.00	0.00	
60			PGR			0.00	0.00			0.00	0.00	
61		Long	UG			0.00	0.00			0.00	0.00	
62			PGT			0.00	0.00			0.00	0.00	
63			PGR			0.00	0.00			0.00	0.00	
64	**All price groups**		UG	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
65			PGT	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
66			PGR	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
67		Long	UG	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
68			PGT	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
69			PGR	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
70			Total	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
72												

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

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

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

- column totals on all tables
- totals by level on Tables 1a, 2, 3, 4 and 7
- totals by qualification aim on Tables 5 and 6
- cells relating to the FTE of foundation degree bridging courses on Table 6
- Column 4 on Tables 1a, 1b, 2 and 3.

6. Each worksheet contains a number of validation checks, which are listed in Annex N. Institutions should ensure their data pass all validation checks before returning them.

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

8. Completed returns should be e-mailed to heses@hefce.ac.uk no later than Tuesday 10 December 2002. We will confirm receipt of all submissions.

Annex P
Sample tables (Excel files)

Annex Q
HESES02 fundamentals

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

Which students are in the HESES population?

2. A definition of the HESES population is given in Annex B. The population includes students who:

   a. Are actively pursuing studies with the institution for at least part of the academic year 2002-03. This includes outgoing exchange students.

   b. Are studying towards a recognised HE qualification aim, or a credit that can be counted towards one.

   c. Have an individual record returned on the HESA student record or the LSC ILR.

   d. Are not being returned on any other institution's HESES or HEIFES return for that year of programme of study.

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

Are they countable on this year's HESES?

4. A year of programme of study for a student within the HESES02 student population must meet the following criteria to be counted:

   a. A tuition fee is charged (the fee may be waived).

   b. The FTE for the year of programme of study is at least 0.03.

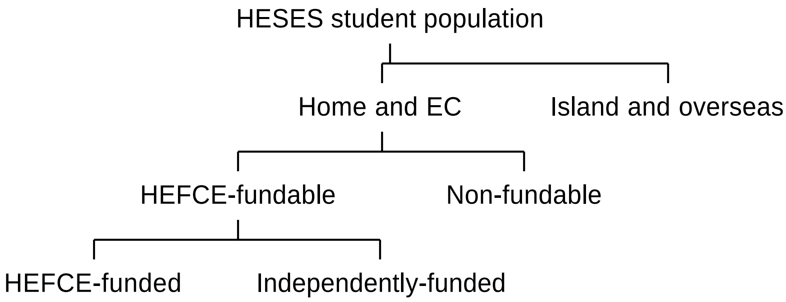
   c. The student is not writing-up for the whole of the year of programme of study.

5. When a year of programme of study becomes countable depends on how the FTE is returned to HESA. Activity for a year of programme of study can either fall within one academic year or span two academic years. Where the activity spans two academic years, the FTE can be reported to HESA either in the academic year in which study begins, or the academic year in which it ends, or be split across two academic years. Where the activity is within one academic year or reported in the academic year in which study begins, years of programme of study should be counted in HESES on the commencement date and its anniversary. Where the activity is split or reported in the academic year in which study ends, years of programme of study should be counted in HESES on 1 August of each academic year in which activity occurs, except the first. This is explained in more detail in Annex D.

What is their fundability status?

6. Annex F provides the strict definitions on residential and fundability status. In HESES, students are disaggregated between home and EC, and island and overseas. Home and EC students are then disaggregated between HEFCE-fundable and non-fundable.

HEFCE-fundable students are then further disaggregated between HEFCE-funded and independently-funded. This hierarchy is shown in the diagram below.



Home and EC; island and overseas

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

HEFCE-fundable; non-fundable

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

a. Funded from another EC public source: for example, the Department of Health, the Modern Apprenticeship scheme or the TTA, or from European grants such as the European Social Fund (ESF). In some cases, where the public funding does not cover HEFCE standard resource rates, a proportion of the students on the course may be returned as fundable, as long as the students are not excluded for other reasons – see paragraphs 5a, 5c and 5d of Annex F.

b. On closed courses, which are not open to any suitably qualified candidate. This will cover, for example, courses which are provided solely for the employees of particular companies.

c. On courses which are franchised-out to an organisation which is neither an HEI nor an FEC, unless we have given specific approval to include them as fundable.

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

HEFCE-funded; independently-funded

10. Institutions may choose to record home and EC HEFCE-fundable students as independently-funded, if they receive sufficient funding from non-public sources to cover the HEFCE standard resource level for the particular category of student. Independently-funded

students are not included in our calculations of standard and assumed resource, but do still count towards FTE targets for funding conditional upon delivery of growth. In general, the declaration of eligible students as independently-funded will only benefit institutions that are currently under-resourced from public funds (below the ±5 per cent tolerance band around standard resource), as an aid to migration to within the band. Home and EC-fundable students who the institution chooses not to record as independently-funded are HEFCE-funded.

Is the qualification aim a recognised HE qualification?

11. Recognised HE qualifications are those defined in paragraph 1 of Schedule 6 of the Education Reform Act 1988. NVQs and free-standing foundation years are not included. See Annex C.

What is considered a non-completion?

12. Non-completions are students who do not attend the final exam or assessment for the year of programme of study (not for the whole course). Academic failures are not necessarily counted as non-completions. See Annex D, paragraphs 14-18.

How are students classified into mode?

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

a. Full-time and sandwich students will be on a course where they are usually required to attend for at least 24 weeks, 21 hours a week for the year of programme of study, and a full-time fee is chargeable for the year (even if it is waived).

b. Sandwich year-out students are those on sandwich courses, as defined in Regulation 5 of the Education (Student Support) Regulations 2002 (SI 2002 No. 195), who are on their year out.

c. Part-time students are all other students. Note that this includes HNC students who are expected to complete in one year, but whose course is not subject to regulated fees.

How are students classified into level?

14. Undergraduates are students studying for a first degree (including foundation degree), HE certificate or diploma. Provision below degree level includes HNDs, HNCs, DipHEs and CertEds. Postgraduate qualifications (including higher degrees and PGCEs) are those where the normal condition of entry is a qualification at degree level (that is, already qualified to level H of the QAA national qualifications framework). Postgraduates are split into postgraduate research students and postgraduate taught students – a definition can be found in Annex I, paragraph 4.

What counts as a long year of programme of study?

15. For full-time courses, the year of programme of study is returned as long if:

   a. The students are normally required to attend for 45 weeks or more within that year of programme of study, or
   b. The year of programme of study includes a within-course short period of study, awarded as a summer school through an additional student numbers bidding exercise and explicitly notified by the HEFCE.

16. For part-time courses, the distinction depends on the length of each year for an equivalent full-time course.

Which price group should the student be returned under?

17. Price groups are defined in terms of academic cost centres. A mapping from cost centre to price group can be found in Annex G, paragraph 1. Some cost centres are in more than one price group – these are described in paragraphs 2-10 of Annex G. Where the activity for a year of programme of study falls into more than one cost centre, and these cost centres do not fall entirely within one price group, then the year should be split between price groups. Students on ITT (QTS) courses and INSET (QTS) courses should be attributed to the ITT (QTS) and INSET (QTS) price groups respectively, regardless of any provision in cost centres.

How should years of programme of study be returned on Table 4, the fee table?

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

How is the FTE calculated for part-time students?

19. FTE is calculated by comparing either the duration of the course or the credit points studied with an equivalent full-time course, or if such a course does not exist, a similar full-time course. The total FTE per student for a part-time course should equal the total FTE per student for an equivalent full-time course.

Which tables should be completed?

20. All full-time students should be returned on Table 1a, the full-time table, whatever level they are studying at. All sandwich year-out and all part-time students should be returned on Tables 2 and 3 respectively.

21. Table 1b should be completed if the institution has full-time undergraduate medical and dental students. These are students on programmes of study that normally lead to a first registrable medical or dental qualification. The students returned here are a subset of the undergraduates returned on Table 1a. See Annex K.

22. All home and EC students returned in Columns 1 and 2 of Tables 1a, 2 and 3 should also be returned on the fee table, Table 4.

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

24. Table 6 should be completed if the institution has students studying on foundation degrees and foundation degree bridging courses and should contain a subset of the students returned in Columns 1 and 2 of Tables 1a and 3.

25. All home and EC students returned in Columns 1, 2 and 5 of Tables 1a, 2 and 3 should also be returned on Table 7, split between home students and those from the EC.

When the tables have been completed

26. Each worksheet contains a number of validation checks. If an error or inconsistency is detected in a worksheet once it has been completed, a message reading **'Validation: Failure (see below table)'** will appear above the column in the table in which there is a validation failure, and the value in the cell which is causing the error will turn red. Below the table, the error will be described in more detail. These errors must be corrected before submitting the tables to the HEFCE. If the error cannot be identified, institutions should e-mail us at heses@hefce.ac.uk. The validation checks are described in more detail in Annex N.

Annex R
Audit of HESES01

1. For HESES01 we audited 21 institutions and followed up previous audits at a further six institutions. The audits highlighted areas in which some institutions were incorrectly interpreting the HESES guidance, or where internal institutional systems and practices did not facilitate the production of the HESES return. The findings included:

- lack of robustness in the estimation of non-completions
- lack of robustness in the estimation of forecast countable years
- incorrect assignment of departments to cost centres
- incorrect apportionment of student load to cost centres, particularly where a course is in more than one cost centre
- incorrect calculation of part-time load factors
- incorrect fundability status
- poor communication within collaborative arrangements
- inadequate audit trail between the student record system and the HESES return
- inappropriate authorisation of the HESES return
- lack of knowledge management
- poor use of student record data as management information
- variable practices in faculties, schools and departments producing inconsistent data.

<u>Estimation of non-completions</u>

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

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

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

Assignment of departments to cost centres

5. Departments should be assigned to cost centres according to the guidance given in the forthcoming circular letter ‘Assigning departments to academic cost centres: 2000-01’. The audits found that sometimes all academic activity for a department is assigned to only one cost centre, where a split between cost centres would be more appropriate. They also found cases where a department is split between cost centres and a standard division is applied, irrespective of the actual split in staff effort for that department. We may ask institutions to provide evidence of how they have allocated particular departments to cost centres.

6. Institutions reporting any activity in cost centre 39, computer software engineering, must ensure that all the criteria described in HEFCE 98/65, Annex B, are fully met and supported by documentary evidence. Institutions should not consider this a one-off exercise and should keep this area under regular review to ensure compliance for each annual HESES exercise.

7. As part of the comparison of HESA data to HESES01 we examined subject provision by cost centre. This highlighted a number of cases where inappropriate allocations had been made, often because of historical allocations of course codes or assignments of departments to cost centres. In addition some variation in how institutions mapped activity to cost centres was apparent.

8. Staff define cost centres. Therefore, when determining the cost centre for a given module, the cost centre of the member of staff most directly associated with it should be used. In particular, where a department is split across cost centres it will be necessary to identify which modules are taught by individual members of staff in order to assign the student load to the appropriate cost centre. In general this approach will not be consistent with pro-rating student load to the staff cost centre split. Wherever possible, where two or more members of staff from different cost centres are associated with a particular activity, the student load should be split according to the proportion contributed by each member of staff.

Apportionment of student load to cost centres

9. The allocation of student load to cost centres, and therefore to price groups, can present problems where provision for a course is in more than one department and cost centre, or where a department is split between cost centres. If a part of a course or a module of a course is provided by a different cost centre to the rest of the course, this should be identified on the HESA record, and on HESES by mapping the relevant student load to the correct price group. Where the student load for a course is split between cost centres, the load should be apportioned in an appropriate ratio. The ratio should be calculated on an individual course basis and reviewed regularly. It is not appropriate for a ratio calculated for one course to be applied to other courses. More guidance is included in Annex G, paragraphs 14 to 20.

Part-time load factors

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

Fundability status

11. In some audits each year, we find cases where students have been included in the HESES return as fundable when they were clearly being fully funded from another EC public source, for example, the NHS or HM Forces. This is inappropriate and implies there has been a failure in the return preparation system. Staff preparing the return should ensure that such students are correctly treated in accordance with Annex F.

Collaborative arrangements

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

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

Inadequate audit trail

14. In some cases, the audit trail between the student record systems and the HESES return was inadequate. A record of the basis for making estimations of non-completions and forecast countable years should be kept, along with any relevant printouts and working papers used in completing the return. This is particularly important where only one person is responsible for the return, as the return has to be reproducible even if they leave. The audit trail should be retained for at least three years. Source documents such as registration forms should also be retained. Where an institution uses document image processing or other methods to store such information, the original documents should normally be retained for at least one year, and the copy retained for at least a further two years.

Authorisation of the HESES return

15. At some institutions, the person responsible for the production of the HESES return also signed it off on the institution's behalf. We expect the HESES return to be signed off as described in paragraph 18 of the main document, and not by the preparer of the return. The person signing off the return should have an understanding of our data collection requirements, to ensure that the institution has systems capable of producing an accurate and complete return and that the preparer of the return has compiled it competently.

16. The analytical review function of the person signing off the return is vital in reducing the number of 'obvious' errors returned, which could be spotted at the institution by a competent person. For example, forecasts and estimates of sandwich year-out students have been returned as zero, and instead have been included in the estimating process for the main body of full-time undergraduates.

Knowledge management

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

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

Management information

19. The information in the student record system is not only important from the point of view of the HESES and other statistical returns but also as a source of management information for the institution. The opportunity to use this resource is being lost at many institutions we visited. Typically, student records are only cleaned up at the time of end of year examinations because academic staff have to rely on the data at that time. The opportunity to use the data throughout the year as a management tool for identifying problem areas or potentially failing students is lost.

20. Although most institutions do not use the data effectively, a growing number have implemented 'data warehouse' solutions to provide key management information from the student records system.

21. Management information is only useful if it is complete, accurate and timely. Complete and accurate data would in turn produce a more accurate HESES return.

Variable practices

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

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

24. Data quality will be improved if the requirements of all users are fully understood and taken into account by staff managing and maintaining the student record system. All users should also be trained in the data requirements of the institution so that they have an understanding of why they are asked to perform particular tasks.

Annex S
Glossary

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

HEFCE-recognised funding consortia	See Annex B, paragraphs 12 and 13.
HEI	Higher education institution.
HEIFES	Higher Education in Further Education: Students survey.
HESA	Higher Education Statistics Agency.
HESES	Higher Education Students Early Statistics survey.
HESES student population	HESES counts years of programme of study for students aiming for a recognised HE qualification. The students that generate these years of programme of study are called the HESES student population. See Annex B.
HIN	Unique HE programme of study identifier on the HESA record, HIN = **H**USID + **I**NSTID + **N**UMHUS, a combination of student identifier (Field 4), HESA institution identifier (Field 2) and student instance number (Field c151 s136). See the HESA student record coding manual, Appendix 11, for further information.
HMSO	Her Majesty's Stationery Office.
ILR	The Learning and Skills Council's individualised learner record.
INSET	In-service education of teachers.
Intercalated year	For HESES purposes, this is a year inserted into a medical course to allow for the award of a BSc or BA in addition to the normal medical degree.
ISR	The Learning and Skills Council's individualised student record.
ITT	Initial teacher training.
LSC	Learning and Skills Council.
NHS bursaried courses	Pre-registration courses for which an NHS bursary may be payable.
NVQ	National Vocational Qualification.

PGCE	Postgraduate certificate in education.
Postgraduates	Students registered for courses or credits where a normal condition of entry is that entrants are already qualified to degree level (in other words qualified at level H of the QAA national qualifications framework). See Annex I.
QAA	Quality Assurance Agency for Higher Education
QTS	Qualified teacher status.
Regulated fees	Fees as defined in the Education (Student Support) Regulations 2002 (SI 2002 No. 195). See Annex K.
SCITT	School-centred initial teacher training.
SLC	Student Loans Company.
SME	Small or medium enterprise. Defined as a sole trader or enterprise employing fewer than 250 people.
SOCRATES	European Commission action programme in the sphere of school and higher education.
Standard resource	Standard resource is used for funding purposes. It is calculated by multiplying the weighted full-time equivalent student load by the base price. See Annex F.
Student load	Student activity expressed as full-time equivalents rather than counts of years of programme of study. See Annex E.
TTA	Teacher Training Agency.
Ufi	A government initiative to develop a 'university for industry', to help people improve employment prospects and to boost economic competitiveness. Learning services are provided through 'learndirect'.
Undergraduates	Students studying towards a first degree (including foundation degree), HE certificate or diploma, or equivalent, or students registered for an institutional credit that can be counted towards one of these qualifications. See Annex I.
Year of programme of study	Students study towards qualification aims over a period, which can be split into one or more years of programme of study. See Annex D.

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

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