Request for information

September **2016/23**

HEIFES16

Higher Education in Further Education: Students Survey 2016-17

This document asks further education and sixth form colleges to complete the annual survey of students on recognised higher education courses. The data will give an early indication of the number of students on recognised higher education courses at further education and sixth form colleges in 2016-17, and, with data supplied to the Skills Funding Agency, will inform our allocation of teaching funds for 2017-18.

Further education and sixth form colleges should upload returns to the HEFCE extranet by **noon on Monday 14 November**.

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HIGHER EDUCATION FUNDING COUNCIL FOR ENGLAND

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Executive summary

Purpose

1. This document asks further education and sixth form colleges to complete the annual survey of students on recognised higher education courses.

Key points

2. The data will:

- give an early indication, for purposes including government planning, of the number of higher education students studying in the academic year 2016-17
- together with the Individualised Learner Record (ILR) supplied to the Skills Funding Agency, inform our allocation of teaching funds for the academic year 2017-18.

3. This document provides the following.

a. An introduction to the Higher Education in Further Education: Students Survey 2016-17 (HEIFES16) and how we use it to inform our funding allocations.

b. Guidance notes for completing the HEIFES16 survey (Section 1).

c. Definitions used in the HEIFES16 survey (Section 2).

d. Examples of the survey tables (Section 3). The actual tables for completion will be available to download from the HEFCE extranet in October 2016.

e. A summary of changes since HEIFES15 (paragraph 27-35 of the main document).

f. Good practice guidance (shaded sections throughout the document).

g. Guidance on related ILR data (boxed 'ILR notes' sections throughout the document).

4. Information on how HEIFES survey data is used to inform funding allocations can be found in 'Guide to funding 2016-17: How HEFCE allocates its funds' (HEFCE 2016/07), available at www.hefce.ac.uk/pubs/year/2016/201607/.

Action required

5. HEIFES16 should be completed by all further education and sixth form colleges receiving HEFCE recurrent funds for teaching. Returns must be uploaded to the HEFCE extranet by **noon on Monday 14 November 2016**. Workbooks will be available to institutions in October 2016.

6. A provisional timetable for the HEIFES16 return and 2017-18 funding round is given in paragraph 24.

How to use this document

7. This document provides guidance on how to complete the HEIFES16 survey and sets out the funding rules and definitions for HEFCE-funded higher education. This document has three sections.

Section 1: Guidance for completing the survey

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

Section 2: Funding rules and definitions

9. This section defines the student population covered by the HEIFES return and gives guidance on what is ‘countable’ in HEIFES16. This ensures we can collect information on students counted for funding purposes, but also helps us to collect information on other higher education (HE) students. This helps to provide a more complete picture of colleges’ HE activities, supporting our understanding of their circumstances and student population, for purposes including audits and reconciliations with ILR data, and informing government planning.

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

Annex A: Defining the HEIFES student population

11. This annex defines a ‘course’, and explains which student courses should and should not be included in the HEIFES student population. It also explains how to treat provision delivered through connected undertakings.

Annex B: Recognised higher education courses

12. This annex defines recognised the higher education courses which students must be studying if they are to be included in HEIFES16. It also details the treatment of students on higher or advanced apprenticeships which include both higher and further education elements.

Annex C: Counting student activity

13. This annex gives the definition of a year of course and explains how to count them in HEIFES16. This includes the criteria for counting a year of course in HEIFES16, the definitions of standard and non-standard years of course, flow charts to aid with determining how years of course should be counted, and guidance on counting some short courses that are sometimes known as ‘summer schools’.

Annex D: Completion and non-completion

14. This annex explains how to determine the completion status of a year of course in HEIFES16.

Annex E: Full-time equivalence for part-time students

15. This annex explains how full-time equivalence for part-time students should be calculated in HEIFES16. This includes guidance on how to treat students who are exempt from part of a course, and full-time students who change mode within a year of course to become part-time students.

Annex F: Residential and fundability status

16. This annex provides guidance on identifying the residential and fundability status of a student for the purposes of HEIFES16. It includes guidance on:

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

Annex G: Price groups

17. This annex explains how years of course should be mapped to price groups for the purposes of HEIFES16, including guidance on the special cases of education and sandwich years out.

Annex H: Mode of study

18. This annex explains how to determine, for the purposes of HEIFES16, the mode of study for a year of course (full-time, sandwich year out or part-time). It includes guidance on how to treat learning in the workplace and work experience when determining mode of study. In general, all students on a given course with a broadly similar pattern of activity, for a given year of course, should be recorded as having the same mode.

Annex I: Level of study

19. This annex explains how to determine a student's level of study (undergraduate or postgraduate) for the purposes of HEIFES16. It also explains how the undergraduate data on Table 5 is split.

Annex J: Long years of course

20. This annex explains how to determine if a full-time or part-time year of course should be classed as 'long' for the purposes of HEIFES16. It also contains guidance on how to treat learning in the workplace and work experience when determining the length of a year of course, as well as examples of how to treat mixed-length courses.

Annex K: Year abroad categories in Table 4

21. This annex provides guidance on how to assign years of course to the appropriate category of year abroad in Table 4 of HEIFES16.

Annex L: Nursing, midwifery and allied health for Table 7

22. This annex is new and defines the pre-registration healthcare profession courses and populations which must be separately identified in HEIFES16 Table 7. Only colleges delivering these courses in 2016-17 need to complete this table. We understand that only

two FECs offer relevant courses in these areas (in both cases in podiatry) and therefore most colleges can disregard Annex L and HEIFES16 Table 7.

Section 3: Copy of Tables 1 to 7 of the HEIFES16 survey

23. This section provides examples of Tables 1-7 of the HEIFES16 survey. The actual tables for completion will be available to download from the HEFCE extranet (https://data.hefce.ac.uk/) in October 2016.

Outline timetable for HEIFES16 return and funding round process

24. The provisional timetable for HEIFES16 and the 2017-18 funding round is summarised below.

By 31 October 2016	Extranet keys issued to colleges (heads of institution and HEIFES contacts). HEIFES workbooks available to colleges via the extranet.
1 November 2016	HEIFES16 Census date.
14 November 2016	Noon deadline to return HEIFES data.
From mid-November 2016	Data verification process, using HEFCE generated validation and credibility checks. HEIFES contacts asked to verify, and answer any questions about, the data. Contacts will have up to **five working days** to respond.
6 January 2017	Each college's accountable officer must have signed off its HEIFES data as being correct as at 1 November 2016.
Spring 2017	Recurrent teaching grant: Colleges notified of allocations for 2017-18.
Spring 2017	Recurrent teaching grant: Publication for all institutions of allocations for 2017-18.
Late July 2017	Colleges receive their funding agreements for 2017-18.
28 July 2017	Deadline for colleges to request transfers of provision and other amendments which affect funding allocations.
Late August 2017	Deadline for colleges to return funding agreement form signed by accountable officer.
Late October 2017	Recurrent teaching grant: Colleges notified of any amendments to allocations for 2017-18.

25. Deadlines for the HEIFES16 return are not flexible. Where a college fails to return credible data on time, we may base the allocation of funds on our own estimate of student activity. Colleges that do not submit credible data on time are more likely to be audited.

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

Summary of changes and clarifications since HEIFES15

27. The following changes have been made between the 2015-16 version (HEIFES15) and HEIFES16. Most of these were set out in 'Early notification of planned changes to HESES and HEIFES for 2016-17', HEFCE Circular letter 17/2016.

Changes to tables

Courses, Column 1, Tables 1 to 3, 5 and 6

28. We now break down postgraduate taught students into three categories, as this will allow us to identify students on courses eligible for the new masters loan. The categories are: **PG (UG fee), PG (Masters loan)** and **PG (Other)**. Further information is provided in **Annex I**.

Table 5 only

29. An extra column (Column 3) has been added to Table 5 to identify and record years of course that are taken as part of an apprenticeship. **Annex B** provides updated guidance on apprenticeships.

Table 7

30. Table 7 is new in HEIFES16 and collects student numbers on courses in nursing, midwifery and allied health professions, which lead on completion to registration with a relevant regulatory body. We are collecting this information for funding and planning purposes, ahead of the transfer of responsibility for funding such courses that in most cases will occur from the 2017-18 academic year. These students will still be counted as non-fundable in Tables 1 to 3. Further details on the table can be found in **Section 1** and the new **Annex L**.

Comparison tables

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

Changes to and clarifications of definitions

Annex A

32. We have included further guidance on years of instance taught under sub-contractual arrangements on Table 6, to make clear that activity should be reported on this table only where a formal contractual arrangement exists under which teaching is delivered by one provider on behalf of another. Table 6 should not include informal arrangements that are not governed by contracts between providers.

Annex B

33. As noted in paragraph 29, we have expanded our guidance on recognised higher education taken as part of an apprenticeship. Such years of instance should not be treated as being on a closed course and may meet the definitions to be HEFCE-fundable. This applies even though the majority of the finance for apprenticeships comes from the Skills Funding Agency.

Annex F – Courses leading towards Early Years Teacher Status

34. We have provided clarification that home and EU students on courses leading on successful completion to the award of Early Years Teacher Status should be recorded as non-fundable. This is because the funding responsibility for them rests with the National College for Teaching and Leadership. It ensures their treatment is the same as for courses leading to Qualified Teacher Status.

Annex F – Change to the population meeting the definition of home and EU

35. There is no change in HEIFES16 to the definition of Home and EU, but there is a new category of student that meets the definition. Students are classified as home and EU if they can be regarded as eligible students as defined in Schedule 1 of the Education (Fees and Awards) (England) Regulations 2007 (SI 2007 No. 779), as amended. An amendment to these regulations has been made through the Education (Student Fees, Awards and Support) (Amendment) Regulations 2016 (SI 2016 No. 584), which introduces a new eligible category applying to students who are not settled in the United Kingdom but have been residing in the UK for a long time. This change also affects their entitlement to student support and liability to regulated fee levels.

Section 1: Instructions

Section 1 contents

Guidance for completing the survey

- Downloading and submitting your HEIFES16 survey
- Data verification process
- Data assurance
  - Good practice

Guidance for completing workbook tables

- The tables in the HEIFES16 survey workbook
- Selecting students to include in the survey
- Data to enter into the tables
- Other worksheets

Guidance for completing the survey

1. This section describes how to download and submit the HEIFES survey and how its quality will be assured through the data verification process. It also gives details of HEFCE's data audit programme and recommendations on good practice.

Downloading and submitting your HEIFES16 survey

2. In October 2016 the HEIFES16 workbook will be available as a Microsoft Excel workbook to download from the HEFCE extranet. The HEFCE extranet can be accessed at https://data.hefce.ac.uk.

3. An email with extranet keys (passwords) to access and download the workbook will be emailed to heads of institution and HEIFES contacts by **31 October 2016**. A checklist and instructions on using the extranet will be included.

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

5. Your completed HEIFES16 workbook must be uploaded to the HEFCE extranet no later than **noon on Monday 14 November 2016**. We will not give extensions to this deadline. Please note that you will not be able to submit a workbook with a **validation failure** displayed on any table. Validation failures will display where data is incorrectly entered, for example, if you enter a positive number instead of a negative one in a 'non-completions' column (see Appendix 1). The 'Notes' worksheet of the HEIFES16 workbook will indicate whether you have any validation errors.

6. Prior to submitting the completed workbook you should review any **credibility warnings** and comparison table highlighting that may be present and email us detailed explanations for these when you submit the workbook. Credibility warnings will show if the data is plausible, but appears unusual – for example, if there is a very high or very low proportion of new entrants recorded. Comparison table highlighting will show if the data indicates a significant change

between 2015-16 ILR and HEIFES16 or between HEIFES15 and HEIFES16. You will need to check whether the data is correct and amend it or submit explanations for the reasons for it during data verification. See Appendix 2 for further details on credibility warnings and comparison table data.

7. Providing us with explanations ahead of time will shorten the data verification process as our initial queries will be based on the same highlighting, as described in paragraphs 11-16. We strongly recommend that you complete the Courses table in full, as feedback from HEIFES15 is that this tends to reduce the number of queries asked during data verification. Please email your explanations to dataverification@hefce.ac.uk.

8. A senior member of the college should agree to the return before it is submitted, as it is good practice for someone other than the person completing the survey to review the data and explanations. You should also ensure that all the Self-check questions are answered in the affirmative prior to submission.

9. Once you have uploaded the completed workbook, you will be able to access a results package through the extranet that will contain two extra sheets, as detailed in Figure 1.

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

The data verification process

Data queries

11. After you submit the completed HEIFES workbook we will process the data and generate a number of specific queries that highlight areas of your data that we want to explore further. Nearly all colleges receive queries on their data. Our queries are not meant to catch colleges out but to ensure that we are confident that the data, and subsequent funding, represents a picture of your students that is as accurate as possible.

12. When responding to queries ensure you provide answers that are specific, detailed and link the data to changes in your student body. For example, if there has been a change in the number of price group B students, is this due to changes within a specific course, or due to starting or ceasing of an entire course?

13. The process will help us to identify any areas where your data indicates substantial changes from previous years, and to understand and explain their underlying causes. When generating queries we will specifically look at:

- credibility warnings on individual workbook tables
- highlighting in comparison tables A to J, which compare what you have submitted in HEIFES16 with equivalent data from HEIFES15 and 2015-16 ILR
- any large indicative funding changes noted in the funding comparison table on the 'Funding' worksheet.

14. We will also review and take into consideration the explanations you have submitted to explain any credibility warnings and comparison table highlighting. The more robust your explanations are at addressing the underlying causes of any substantial changes in data, the fewer verification queries you are likely to have.

15. The HEIFES contact at your college will receive an email from a data verification specialist at HEFCE within five days of the submission deadline. This will contain full instructions along with an attached Data Verification Query Template detailing our specific queries in a rich text format document that can be opened in Microsoft Word. When you receive this email you should read the document carefully, consider the queries raised and provide a full response to dataverification@hefce.ac.uk. We usually ask for your response within five days due to the tight timescales of the data verification process.

16. During the data verification process it also may become apparent that part of your workbook needs to be amended. If so, instructions for resubmitting the survey will be included in the letter. Resubmitted workbooks will be compared to initial versions to identify any data changes. If any data is revised that is not directly linked to the existing verification queries this will also need to be explained regardless of the number involved. For example, if you identify even one student who is a late recruitment or was recorded in the wrong price group, you will need to explain why this change was made before the amended workbook can be accepted.

Data sign-off

17. When any queries have been resolved and the data has been verified, the data verification specialist will ask for your data to be signed off by your head of institution. They will need to sign the 'Verification form' in the final version of the workbook. The signed verification form should then be scanned and emailed to dataverification@hefce.ac.uk. The final deadline for receiving the sign-off form is **noon on 6 January 2017**.

18. Given the tight timescales involved with data verification, feedback from institutions suggests that it is good practice to book a suitable opportunity with your head of institution to make sure that they are available for sign-off. If you know that there may be issues with arranging for this sign-off, please contact us as soon as possible to discuss alternatives.

Data assurance

19. As part of HEFCE's audit programme, we will consider aspects of the HEIFES return on a risk basis. This means that it is important to keep an audit trail when filling out your HEIFES return, recording how your decisions have been made and the data used to support them. In particular we may look at:

- whether there is sufficient data for any estimates, forecasts or judgements made
- evidence of enrolment
- any relevant internal audit work carried out on your student record system or HEIFES return.

20. Our data audits test the systems and processes used by an institution to prepare specific aspects of their data. This can involve desk-based audit work, as well as visits to institutions to:

a. Review management information systems.

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 it. This involves selecting samples (or whole populations) of students and testing how they have been reported in the return.

21. 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 any assumptions made when they were included in the HEIFES return, for instance in non-completion estimates.

Data reconciliation

22. The data reconciliation exercise occurs in the following academic year, and is a way for us to check the accuracy of our funding calculations by comparing your HEIFES and Individualised Learner Record (ILR) data for the same year.

23. We use the ILR to construct a HEIFES return, based on your final end-of-year data, then compare this to your original HEIFES submission. We highlight any differences in the two returns, including any differences in the resultant funding.

24. If your institution showed significant funding discrepancies, we would select you for the funding and monitoring data reconciliation exercise. This involves explaining the reasons for any data differences and, if necessary, submitting amendments to your HEIFES data. At the end of the process, the final (amended) ILR data will supersede the original HEIFES return, and we will adjust your funding accordingly. Details of how we expect to compare HEIFES with ILR data are given in 'ILR funding and monitoring data (FAMD) 2015-16: Web facility' (HEFCE Circular letter 22/2016).

25. As part of our audit and reconciliation processes we will also compare ILR data with a variety of other data sets, most notably further education and sixth form colleges' Individualised Learner Records, National Pupil Database data and Student Loans Company data as these become available.

Audit recommendations

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

- inadequate recording of entry qualifications
- incorrect application of the rules on student completion (particularly those around the requirement for submission of the final assessment in all modules intended to be studied in the year)
- inadequate recording of submission dates of final assessments, for the purpose of determining completion status
- failure to identify students' study intentions for the year for the purpose of determining completion status
- lack of robustness in estimating non-completions and forecasting countable years
- incorrect calculation of full-time equivalence and incorrect assignment of multiple courses to part-time students following modular programmes
- incorrect assignment of activity to price groups
- incorrect identification of mode of study
- poor communication in partnership arrangements

- inadequate audit trail between the student record system and the HEIFES return
- lack of systems notes for recording data on student activity and for the HEIFES preparation process
- lack of analytical review of figures in the return to identify anomalies and ensure that the data makes sense
- lack of reconciliation between HEIFES and ILR returns before submission to the Skills Funding Agency.

27. We strongly recommend institutions should regularly review their arrangements, taking into account the above, as well as the shaded 'Good practice' sections in this document. Institutions should give particular attention to any changes introduced in HEIFES16, and ensure they have assurance over all aspects of the return in case of audit. For further information on our audit programmes, see our website at www.hefce.ac.uk/funding/da/data,audit/.

Good practice

Audit trail

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

29. There should be an audit trail to individual figures in the return. In the case of figures based on activity up to the census date, a clear trail from individual students to the figures should be retained. During audit we ask for a sample of these figures to be rebuilt. In the case of estimates and forecasts there must be a clear rationale for the figures, and backup data justifying what is being returned.

30. Where your institution is involved in sub-contractual or other collaborative arrangements, your audit trail must contain evidence for the inclusion or exclusion of students (including details of the partnership arrangements between institutions), and forecasts relating to such students. In particular, institutions should ensure that evidence of completion status of students taught by partner institutions is held.

Knowledge management and staff training

31. **It is advisable to have at least two people who know how to prepare the HEIFES data return.** At many institutions, the knowledge required to prepare the HEIFES return is undocumented and sometimes lies with only one person. This creates a risk that in that person's absence, particularly at crucial times of the year, the institution may not be able to prepare the return on time and to the appropriate standard. A good audit trail helps to reduce this risk, but we also consider it good practice for all institutions to manage this risk by ensuring that at least two people can produce the information for the return and prepare the return itself.

32. All relevant staff, including experienced staff, should consider the HEIFES guidance each year and make any necessary changes to their systems. Institutions should also ensure that the relevant processes are adequately documented and that this documentation is kept up to date.

33. **Staff should prepare data returns using HEFCE funding rules set out in this document, not their own academic regulations.** There are, quite reasonably, differences between academic regulations of institutions and the rules relating to the counting of students for funding purposes. It is essential that individuals involved in completing student data fields used for funding purposes fully understand the fields they are completing in the student record. For these fields, student activity should be reported with regard to funding rules and not in accordance with the institution's own academic regulations and progression rules. This is discussed in more detail in Annex D.

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

35. **Your staff should understand the funding rules and how they relate to the institution's 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 users. Many courses have been found where staff responsible for completing key fields required for funding purposes had no training on the funding rules governing their completion. In many cases the data required to complete those fields correctly was not recorded on the main student record system, so robust centralised systems could not be implemented, and reliance was placed on inadequately trained staff. All users should be trained in the institution's data requirements, with reference to any differences between academic regulation requirements and funding rule requirements, so that they understand why they are asked to perform particular tasks.

Analytical reviews and data reconciliations

36. **You should check your 2016-17 ILR record against your HEIFES16 data before your ILR data is submitted.** Differences should be examined as part of the process for identifying possible data errors, and amendments made to the ILR data if necessary. This will be useful preparation for the ILR-HEIFES funding and monitoring data reconciliation exercise if differences are substantial. It should also help to eliminate inconsistencies in students' treatment in the two returns for future reference, and reduce systems problems with the way students are returned in ILR data before submission. In summer 2017 we will give institutions access to a web facility that will be able to re-create an institution's HEIFES16 data from its 2016-17 ILR return. An equivalent exercise carried out on the previous year's return during summer 2016 may highlight errors in HEIFES15 that can be avoided in HEIFES16.

Implementing new student record systems

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

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

Management information

39. In gaining assurance we do not ask for any reports that could not reasonably be expected to be used in everyday activity. However, some institutions have great difficulty in extracting this standard data from the student record system, and many do not even hold the required data. Data that cannot be extracted and reported on is of limited value.

40. 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 HEIFES16 return to HEFCE.

Q1. Have you considered the good practice tips presented throughout this document in shaded sections?

Q2. Is your system recording student information in accordance with HEFCE's funding rules? (See Section 1 and Appendix 2.)

Q3. Have you completed the Courses table in full and utilised the Column 1 data in Tables 1, 2 and 3? (See Section 1.)

Q4. Have you used the Learn Direct Classification System (LDCS) codes associated with individual course learning aims to apportion provision split between price groups?

Q5. Have you used robust and accurate past performance data to inform any forecasts and estimates on your institution's return?

Q6. Have you checked that any forecast years of course (Column 2 of Tables 1 to 4 and 7) meet the criteria to be included in Column 2? (See Annex C.)

Q7. Have you checked that you are using the correct definition of non-completions? (See Annex D.)

Q8. Have you included all contracted-out years of course on your institution's return (and excluded them from the teaching institution's return)? Have you excluded all contracted-in years of course on your institution's return? (See Annex A.)

Q9. Have you passed all of the all validation checks on each table? (See Appendix 1.)

Q10. Where the workbook shows credibility warnings, or automatic check highlighting on the comparison tables, have you:

- checked the data to make sure that it is correct?
- checked that you are using the definitions set out in the relevant sections of this publication?
- emailed HEFCE to adequately explain why the data is credible?

Q11. Have you kept an effective audit trail to your student records system?

Guidance for completing workbook tables

Selecting students to include in the survey

41. You will first need to read the guidance in Annex A to identify which students are in the HEIFES population for 2016-17. You will also need to refer to Annex B to identify 'recognised higher education courses'.

42. In HEIFES16 you must record 'years of course' rather than students. This is because students may be on more than one course, and not all years may count. Annex C fully explains which years of course should be counted in the HEIFES16 survey.

43. The census date for HEIFES16 is **1 November 2016**. A student starting in the academic year but withdrawing before that date should not be counted.

44. When completing the survey you need to refer to **Annexes D to K** for definitions. You may be asked questions during data verification to make sure you are using the correct definitions.

The tables in the HEIFES16 survey workbook

45. The HEIFES16 survey is an Excel workbook. There are **seven tables** to complete; each is a separate worksheet. You may not need to enter data into all the tables. An additional 'Courses' worksheet is provided to help you complete Column 1 of Tables 1 to 3. This is generally optional, although you may be asked to complete it. The worksheets in the HEIFES16 workbook are listed in Figure 1.

Figure 1: The tables in the HEIFES16 workbook

Table number	Name of worksheet	Title or description	Action
	Courses	Countable years of course between 1 August and 1 November 2016 at course level.	Optional, unless institution asked to complete
	Column 1	Representation of data entered in Courses table (may be used to help complete Tables 1 to 3).	Automatically filled
1	Table1_FTS	Full-time counts of years of course	Institution to complete
2	Table2_OUT	Sandwich year out counts of years of course	Institution to complete
3	Table3_PT	Part-time counts of years of course and FTE	Institution to complete
4	Table4_YA	Home and European Union (EU) undergraduate years abroad	Institution to complete
5	Table5_HEC	Further student breakdowns for planning purposes	Institution to complete
6	Table6_SUB	Years of course for students taught under sub-contractual arrangements by other providers	Institution to complete
7	Table7_Health	Counts of years of course and starters on pre-registration nursing, midwifery and allied health profession courses	Institution to complete

Table number	Name of worksheet	Title or description	Action
	Funding	Tables in this worksheet compare: a. Funding for 2016-17, taken from the October 2016 grant tables. This is based on numbers reported by you in HEIFES15. b. Recalculated funding using the 2016-17 funding method based on the numbers reported by you in HEIFES16. You may be asked questions about reasons for large funding changes between years during data verification.	Automatically filled
	Comparison 1	Tables in this worksheet summarise your HEIFES16 data and compare it with previous years. You may be asked questions on large changes during data verification.	Automatically filled
	Comparison 2	Tables in this worksheet summarise your HEIFES16 data and compare it with previous years. You may be asked questions on large changes during data verification.	Automatically filled
	Comparison 3	These tables are for information only and are not generally used during data verification. Tables in this worksheet summarise your HEIFES16 data and compare it with previous years.	Automatically filled
	Verification form	Your head of institution will need to sign this form once the data has been verified and you have been prompted to do so by HEFCE. This will only be included in the results package.	Included in the results package
	Validation	If you attempt to upload a workbook with validation errors, the results package workbook will include this sheet which will contain details of the errors.	Automatically filled in the results package

46. **Appendix 3** provides further information on the funding worksheet.

Data to enter into the tables

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

48. If the data that you enter in the tables is not feasible – for example, if you enter a positive number instead of a negative one in the ‘non-completions’ column – a **validation failure** message will display above the appropriate column on the table. You will not be able to submit a workbook with any validation failures. If the data is plausible, but appears unusual, **credibility warnings** will show – for example, if there is a very high or very low proportion of new entrants. You will need to check if the data is correct and amend it or explain the reasons for it during data verification. Appendix 1 describes the validation checks on HEIFES16 data. Appendix 2 describes the credibility checks on HEIFES16 data, which include the credibility warnings and the checks on the comparison tables.

Courses table

49. The 'Courses' worksheet is optional for you to complete, but is intended to help you complete Column 1 of Tables 1 to 3. A partial screenshot of this table is shown in Figure 3.

50. Enter the learning aim reference for a course to look up its price group or groups. Note that you will need to include any leading zeroes in the reference number. If you complete the information on the number of years on each course, this will also automatically fill the 'Column 1' worksheet (see guidance for 'Column 1' worksheet below). If you do not have a learning aim reference, please contact us at heifes@hefce.ac.uk.

51. This worksheet is only for years of course that have started on or before 1 November 2016. These years should be included in Column 1 of either Table 1, 2 or 3. See Annex C for further guidance.

52. To complete the table:

a. Enter the **learning aim reference** for each course. The **course title** will be completed automatically.

b. The **price group or groups** of the course will be completed. If a course is split across more than one price group, enter the **proportion** of the course that is in each price group (see Annex G) as a percentage. The total for the course must add up to 100 per cent.

c. **Level** and **length** are completed automatically for the course. However, if this is incorrect for the course you can overwrite the value in the cell with the following options:

- Level: UG, PG (UG fee), PG (Masters loan), PG (Other)
- Length: Standard, Long.

d. Enter the number of years, broken down in the ways shown in Figure 2.

Figure 2: Breakdown of years of course

	Categories	**Definitions and guidance**
Mode of study	Full-time Sandwich year out Part-time	Annex H
Price group	B C1 C2 D (Some years of course are split across price groups. In these cases up to two decimal places can be used, but the total for the years of course must be a whole number.)	Annex G
Fundability status	Home & EU: HEFCE-fundable Home & EU: Non-fundable Island & overseas	Annex F
Level of study	UG: undergraduate PG (UG fee): postgraduate study on courses subject to regulated undergraduate fee	Annex I

	Categories	**Definitions and guidance**
	PG (Masters loan): postgraduate study on courses eligible under the new masters loan arrangements PG (Other): postgraduate study not falling into the previous two categories	
Length of year	Standard-length Long	Annex J

53. **Validation failure** messages will occur in the 'Courses' Table if:

- A row has an invalid or blank learning aim reference.
- The same course has been entered into multiple rows.
- A row has been left blank when data has been entered below it.
- Price group proportions have not been entered where required.
- The total of the price group proportions do not equal 100 per cent.
- The price group proportion is not a whole percentage (no decimals).
- The course level has not been entered as 'UG', 'PG (UG fee)', 'PG (Masters loan)' or 'PG (Other)'.
- The course length has not been entered as 'Standard' or 'Long'.
- Whole numbers have not been entered (no decimal points) where required.
- Positive numbers have not been entered where required.

54. Credibility warnings will occur in the Courses Table if:

- The course level entered does not match the course level recorded on the Learning Aim Reference Service (LARS).
- A price group proportion has been entered as 0 per cent where there is more than one price group.

'Column 1' Table

55. The 'Column 1' worksheet is completed automatically from the information you input in the 'Courses' worksheet. A partial screenshot of this table is shown in Figure 4.

56. Once the information in the 'Courses' table is complete and accurate, you can copy the data from the 'Column 1' worksheet into Tables 1, 2 and 3 as follows:

- **Full-time** column into Column 1 of Table 1 (FTS)
- **Sandwich year out** column into Column 1 of Table 2 (SWOUT)
- **Part-time** column into Column 1 of Table 3 (PT).

Use 'Paste special – values' to paste the information into the tables, and do not copy the total rows or headings.

Figure 3: Partial screenshot of Courses table

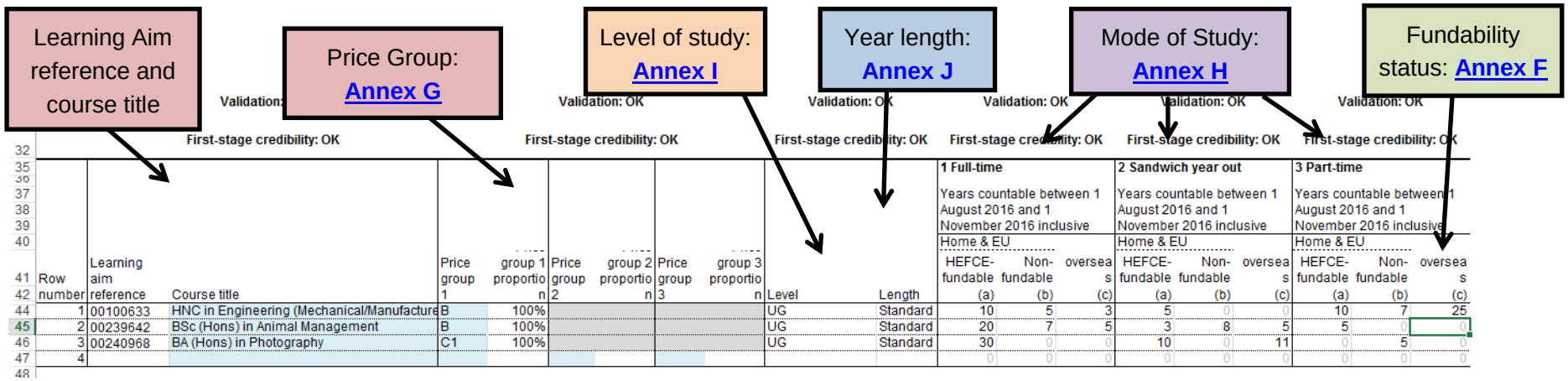
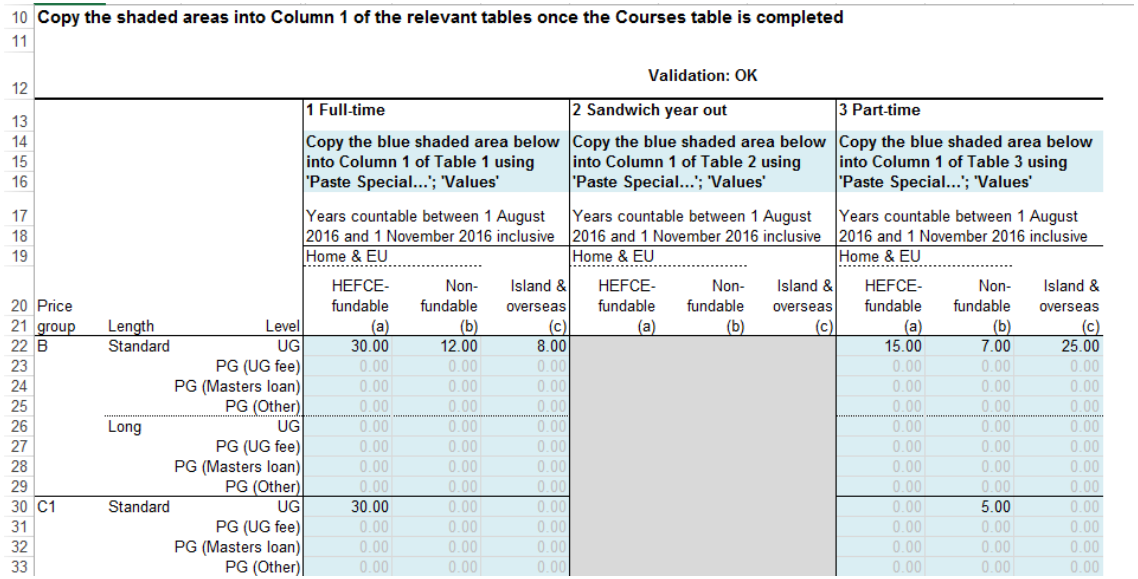


Figure 4: Partial screenshot of Column 1 table



(Note – learning aim references and courses used are for illustrative purposes only.)

Table 1_FTS

57. Once you have defined who to include in the HEIFES16 survey using Annexes A, B and C, record years of course for all full-time students in Table 1. Refer to Annex H for the definition of full-time. A partial screenshot of Table 1 is shown in Figure 6.

58. Years of course recorded in Table 1 should **not** be included in Tables 2 or 3.

59. In Columns 1, 2 and 3 you will need to break down years of course in the ways shown in Figure 5.

Figure 5: Breakdown of full-time years of course

	Categories	**Definitions and guidance**
Price group	B C1 C2 D (Some years of course are split across price groups. In these cases up to two decimal places can be used but the total for the years of course must be a whole number.)	Annex G
Length of year	Standard-length Long	Annex J
Level of study	UG: undergraduate PG (UG fee): postgraduate study on courses subject to regulated undergraduate fee PG (Masters loan): postgraduate study on courses eligible under the new masters loan arrangements PG (Other): postgraduate study not falling into the previous two categories	Annex I
Fundability status	Home & EU: HEFCE-fundable Home & EU: Non-fundable Island & overseas	Annex F

60. When completing Table 1:

a. In **Column 1** record years of course that started between 1 August 2016 and 1 November 2016 inclusive.

b. In **Column 2** record years of course that you forecast will start between 2 November 2016 and 31 July 2017 inclusive. This may include new entrants or those on the second or subsequent years of a course.

See Annex C for full instructions on whether to record years in Column 1 or Column 2.

c. In **Column 3** enter a forecast of the number of years of course that will not be completed. Non-completion numbers must be recorded as a negative number. You should use the definitions and methodology for calculating estimates described in Annex D. You may be asked questions on your methodology during data verification.

d. **Column 4** will be filled automatically with the numbers of completed years, as you enter data into Columns 1 to 3.

e. The totals in the **final rows** will be filled automatically and must add up to whole numbers.

61. **Validation failure** messages will occur in Table 1 if:

a. Your totals do not add up to whole numbers. If you have courses that are split across price groups the totals must still be a whole number. Refer to Annex G for how to record this.

b. Column 3 contains a positive number, or any other column contains a negative number.

c. You record numbers to more than two decimal places.

62. **Credibility warnings** will occur in Table 1 if:

a. You record zero non-completions in Column 3 in a row where you have recorded at least 50 years of course across Columns 1 and 2.

b. Your total of forecast years not completed in Column 3 is equal to the combined total years of course recorded in Columns 1 and 2.

Figure 6: Partial screenshot of Table 1_FTS

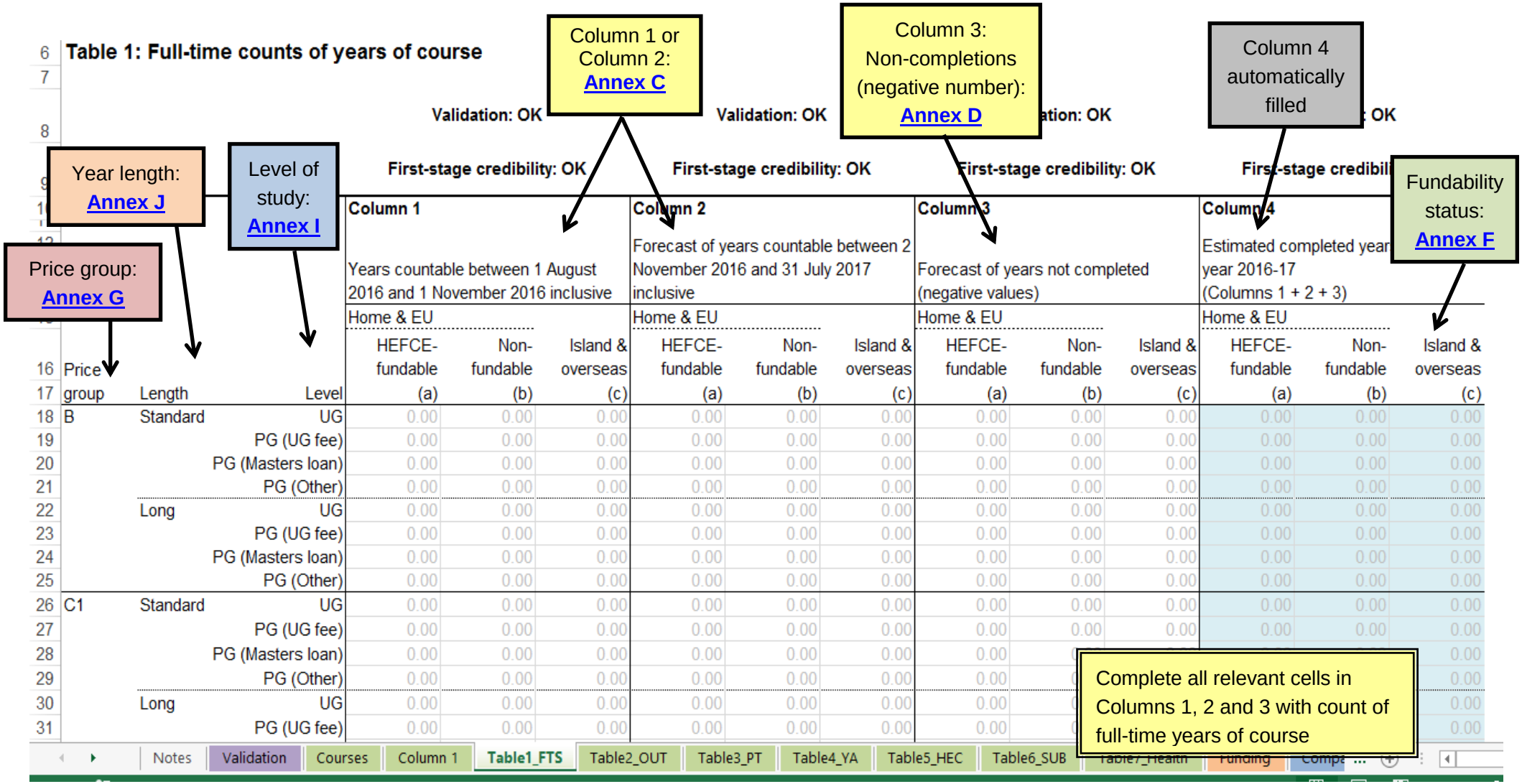


Table 2_OUT

63. Once you have determined who to include in the HEIFES16 survey using Annexes A, B and C, record years of course for all students on a sandwich year out in Table 2. Refer to Annex H for the definition of a sandwich year out. Students must meet this definition to be included in this table. A partial screenshot of Table 2 is shown in Figure 8.

64. Years of course recorded in Table 2 should **not** be included in Table 1 or Table 3.

65. In Columns 1, 2 and 3 you need to break down sandwich years out in the ways shown in Figure 7.

Figure 7: Breakdown of sandwich year out years of course

	Categories	**Definitions and guidance**
Level of study	UG: undergraduate PG (UG fee): postgraduate study on courses subject to regulated undergraduate fee PG (Masters loan): postgraduate study on courses eligible under the new masters loan arrangements PG (Other): postgraduate study not falling into the previous two categories	Annex I
Fundability status	Home & EU: HEFCE-fundable Home & EU: Non-fundable Island & overseas	Annex F

66. When completing Table 2:

a. In **Column 1** record sandwich years out that started between 1 August 2016 and 1 November 2016 inclusive.

b. In **Column 2** record sandwich years out that you forecast will start between 2 November 2016 and 31 July 2017 inclusive. This may include new entrants (very unlikely for a sandwich year out) or those on the second or subsequent years of a course.

See Annex C for full instructions on whether to record years in Column 1 or Column 2.

c. In **Column 3** enter a forecast of the number of sandwich years out that will not be completed. Non-completion numbers must be recorded as a negative number. Use the definitions and the methodology for calculating estimates described in Annex D. You may be asked questions on your methodology during data verification.

d. **Column 4** will be filled automatically with the numbers of completed years, as you enter data into Columns 1 to 3.

e. The totals in the **final row** will be filled automatically.

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

a. You do not record whole numbers.

b. You enter a positive number of non-completions in Column 3, or a negative number in any other column.

Figure 8: Partial screenshot of Table 2_OUT

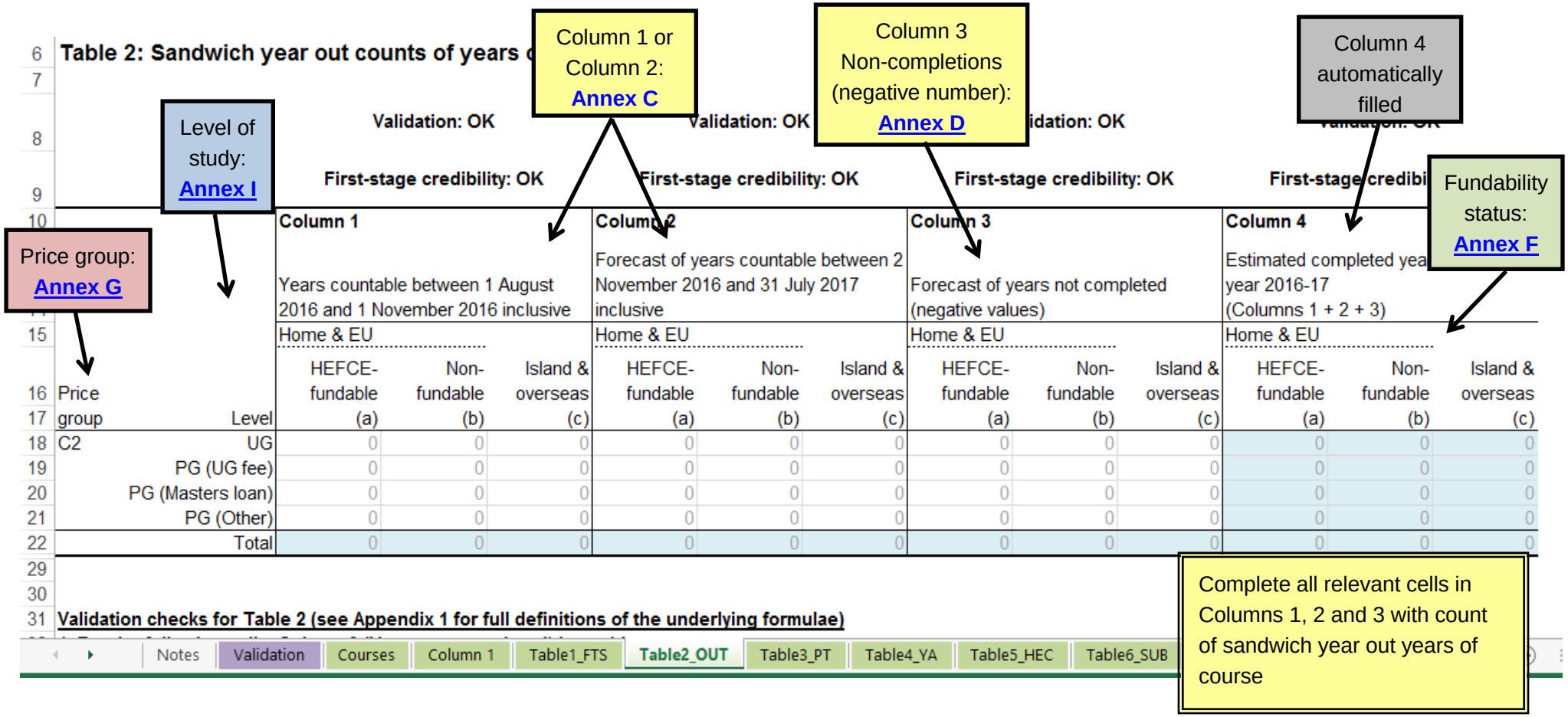


Table 3_PT

68. Once you have determined who to include in the HEIFES16 survey using Annexes A, B and C, record the number of years of course for all part-time students in Table 3. Refer to Annex H for the definition of part-time. A partial screenshot of Table 3 is shown in Figure 10.

69. Years of course recorded in Table 3 should **not** be included in Table 1 or Table 2.

70. In Columns 1, 2, 3 and 4a you need to break down years of course in the ways shown in Figure 9.

Figure 9: Breakdown of part-time years of course

	Categories	**Definitions and guidance**
Price group	B C1 C2 D (Some years of course are split across price groups. In these cases up to two decimal places can be used but the total must be a whole number.)	Annex G
Length of year	Standard-length Long	Annex J
Level of study	UG: undergraduate PG (UG fee): postgraduate study on courses subject to regulated undergraduate fee PG (Masters loan): postgraduate study on courses eligible under the new masters loan arrangements PG (Other): postgraduate study not falling into the previous two categories	Annex I
Fundability status	Home & EU: HEFCE-fundable Home & EU: Non-fundable Island & overseas	Annex F

71. When completing Table 3:

a. In **Column 1** record years of course that started between 1 August 2016 and 1 November 2016 inclusive.

b. In **Column 2** record years of course that you forecast will start between 2 November 2016 and 31 July 2017 inclusive. This may include new entrants or those on the second or subsequent years of a course.

See Annex C for full instructions on whether to record years in Column 1 or Column 2.

c. In **Column 3** enter a forecast of the number of years of course that will not be completed. Non-completion numbers must be recorded as a negative number. Use the definitions and the methodology for calculating estimates in Annex D. You may be asked questions on your methodology during data verification.

d. **Column 4** will be filled automatically with the numbers of completed years, as you enter data into Columns 1 to 3.

e. In **Column 4a** record the full-time equivalence (FTE) for the number of completed years of course in Column 4. This should be the total full-time equivalent years of course for that row, not the average FTE per year of course. Refer to Annex E for guidance on how to determine the FTE of part-time students.

f. The totals in the **final rows** will be completed automatically.

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

a. The totals for Columns 1-3 do not add up to whole numbers. If you have courses that are split across price groups the totals must still be whole numbers. Refer to Annex G for how to record this.

b. Column 3 contains a positive number, or any other column contains a negative number.

c. You record numbers to more than two decimal places.

d. The FTE recorded in Column 4a is greater than the years of course in Column 4.

e. The FTE recorded in Column 4a makes the average FTE for that row less than 0.03. (Years of course that have an FTE of less than this are not included – see Annex H.)

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

a. You record zero non-completions in Column 3 in a row where you have recorded at least 50 years of course across Columns 1 and 2.

b. Your total of forecast years not completed in Column 3 is equal to the combined total years of course recorded in Columns 1 and 2.

c. The total PG (Masters loan) or PG (Other) FTE recorded in Column 4a makes the average FTE for that level 80 per cent or more.

d. The total UG or PG (UG fee) FTE recorded in Column 4a makes the average FTE for that level 67 per cent or more.

Figure 10: Partial screenshot of Table 3_PT

Column 1 or Column 2: **Annex C**

Column 3 Non-completions (negative number): **Annex D**

Column 4 automatically filled

Column 4a: Estimated FTE: **Annex E**

Fundability status: **Annex F**

Year length: **Annex J**

Price group: **Annex G**

Level of study: **Annex I**

6 **Table 3: Part-time counts of years of course and FT**

	Validation: OK	Validation:	n: OK	Validation: OK	Validat
	First-stage credibility: OK	First-stage credibility: OK	First-stage credibility: OK	First-stage credibility: OK	First-stage credibility: OK
	Column 1 Years countable between 1 August 2016 and 1 November 2016 inclusive	**Column 2** Forecast of years countable between 2 November 2016 and 31 July 2017 inclusive	**Column 3** Forecast of years not completed (negative values)	**Column 4** Estimated completed years academic year 2016-17 (Columns 1 + 2 + 3)	**Column 4a** Estimated FTE for completed years included in Column 4 for academic year 2016-17
	Home & EU	Home & EU	Home & EU	Home & EU	Home & EU

Price group	Length	Level	HEFCE-fundable (a)	Non-fundable (b)	Island & overseas (c)	HEFCE-fundable (a)	Non-fundable (b)	Island & overseas (c)	HEFCE-fundable (a)	Non-fundable (b)	Island & overseas (c)	HEFCE-fundable (a)	Non-fundable (b)	Island & overseas (c)	HEFCE-fundable (a)	Non-fundable (b)	Island & overseas (c)
B	Standard	UG	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
		PG (UG fee)	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
		PG (Masters loan)	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
		PG (Other)	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
	Long	UG	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
		PG (UG fee)	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
		PG (Masters loan)	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
		PG (Other)	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
C1	Standard	UG	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
		PG (UG fee)	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
		PG (Masters loan)	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
		PG (Other)	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
	Long	UG	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00					
		PG (UG fee)	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00					
		PG (Masters loan)	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00					
		PG (Other)	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00					
C2	Standard	UG	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00					
		PG (UG fee)	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00					
		PG (Masters loan)	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00					
		PG (Other)	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00					

Notes | Validation | Courses | Column 1 | Table1_FTS | Table2_OUT | Table3_PT | Table4_YA | Table5_HEC | Table6_SUB | Table7_Health

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

Table 4_ YA

74. In this table record years of course for undergraduates taking a year abroad in 2016-17 as part of their course. You must only include Home and EU students, as defined in Annex F. You will also record these years of course in Table 1 if they are full-time, or Table 2 if they are sandwich year out. A partial screenshot of Table 4 is shown in Figure 12.

75. You need to break down the number of years abroad into the categories shown in Figure 11.

Figure 11: Breakdown of years abroad

	Categories	**Definitions and guidance**
Type of year abroad	Outgoing Erasmus+ year abroad Outgoing year abroad outside the Erasmus+ programme	Annex K
Mode of study	Full-time Sandwich year out	Annex H
Fundability status	Home & EU: HEFCE-fundable Home & EU: Non-fundable	Annex F

76. When completing Table 4:

a. In **Column 1** record years abroad that started between 1 August 2016 and 1 November 2016 inclusive.

b. In **Column 2** record years abroad that you forecast will start between 2 November 2016 and 31 July 2017 inclusive.

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

a. Whole numbers have not been entered where required.

b. Positive numbers have not been entered where required.

c. You enter numbers that are greater in total than the equivalent totals you recorded in Table 1 (FTS) or Table 2 (OUT).

78. **Credibility warnings** will occur in Table 4 if:

a. Your college is new to HEFCE funding in 2016-17 and students have been recorded in this table.

Figure 12: Partial screenshot of Table 4_YA

Table 4: Full-time and sandwich year out, Home & EU undergraduate ye

Note that this table does not include Island & overseas students

Column 1 or Column 2: **Annex B**

Type of year abroad: **Annex K**

Mode of Study: **Annex H**

Fundability status: **Annex F**

Validation: OK **Validation: OK**

First-stage credibility: OK **First-stage credibility: O**

	Column 1				**Column 2**			
	Years countable between 1 August 2016 and 1 November 2016 inclusive				Forecast of years countable between 2 November 2016 and 31 July 2017 inclusive			
	(a) Full-time		(b) Sandwich year out		(a) Full-time		(b) Sandwich year	
Type of year abroad	HEFCE-fundable (i)	Non-fundable (ii)	HEFCE-fundable (i)	Non-fundable (ii)	HEFCE-fundable (i)	Non-fundable (ii)	HEFCE-fundable (i)	fund (ii)
Outgoing Erasmus+ year abroad	0	0	0	0	0	0	0	0
Outgoing year abroad outside the Erasmus+ programme	0	0	0	0	0	0	0	0
Total	0	0	0	0	0	0	0	0

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

1. The following cells contain values that are not whole numbers:

2. The following cells contain negative numbers:

3. The following totals are greater than the equivalent undergraduate totals in Columns 1 and 2 of Tables 1 (for full-tim

Complete all relevant cells in Columns 1 and 2 with counts of years of course

First-stage credibility checks for Table 4 (see Appendix 2 for full definitions of the underlying formulae)

Notes | Validation | Courses | Column 1 | Table1_FTS | Table2_OUT | Table3_PT | Table4_YA | Table5_HEC | Table6_SUB | Table7_Health | Funding | Compa

Table 5_HEC

79. Table 5 collects information about students recorded in Tables 1 to 3, broken down into different categories. The table provides more detailed information on qualification level, the number of new entrants and apprenticeships at your college. This information is collected for planning purposes.

80. In Table 5, you need to include the years of course that you included in Tables 1, 2 and 3, broken down in the ways shown in Figure 13. A partial screenshot of Table 5 is shown in Figure 14.

Figure 13: Breakdown of years of course for planning purposes (Table 5)

	Categories	**Definitions and guidance**
Level	UG HND Sub-degree (excluding HND) Foundation degree Other UG degree PG PGT (UG fee) PGT (Masters loan) PGT (Other)	Annex I
Fundability status	HEFCE-fundable Non-fundable Island & overseas	Annex F
Mode of study	Full-time and sandwich year out Part-time	Annex H
Residential status	UK-domiciled Other Home & EU Island & overseas	Annex F, paragraph 8
Years countable	New entrants (Column 2) Years countable on apprenticeships (Column 3)	Annex C Annex B

81. When completing Table 5:

a. In **Column 1** record all years of course from Columns 1 and 2 of Tables 1, 2 and 3. This includes all full-time, sandwich year out and part-time years of course that start in the academic year, whether they start before 1 November or after.

b. The totals for **Column 1a** in this table must be the same as the combined total for Columns 1 and 2 of Tables 1 and 2. (Full-time and sandwich year out numbers are combined in Table 5.)

c. The totals for **Column 1b** in this table must be the same as the combined total for Columns 1 and 2 of Table 3.

d. In **Column 2** you need to record how many of the years of course in Column 1 of this table are **new entrants**. See Annex C, paragraph 12.

e. In **Column 3** you need to record how many of the years of instance in Column 1 of this table are taken as part of an apprenticeship. See Annex B, paragraphs 8 to 14.

f. The totals in the **final rows** will be completed automatically.

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

a. You do not enter whole numbers.

b. You enter a negative number.

c. The totals are not the same as the relevant totals in the corresponding Columns 1 and 2 of Tables 1, 2 or 3. There are two separate checks, one for UG levels and one for PG levels.

d. In any row, you record more new entrants in column 2 than there are years of instance in column 1.

e. In any row, you record more apprenticeships in column 3 than there are years of instance in column 1.

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

a. You record 70 per cent or more of your full-time and sandwich year out years of instance as new entrants.

b. You record 33 per cent or less of your full-time and sandwich year out years of instance as new entrants.

c. You record 70 per cent or more of your part-time years of instance as new entrants.

d. You record 10 per cent or less of your part-time years of instance as new entrants.

e. You record no new entrants, or all your students as new entrants for Home and EU students.

f. You record 33 per cent or less of your Island and overseas students as new entrants.

g. You record 70 per cent or more of your Island and overseas students as new entrants.

h. You record all years of instance as apprenticeships.

i. You record any postgraduate years of instance as apprenticeships.

Figure 14: Partial screenshot of Table 5_HEC

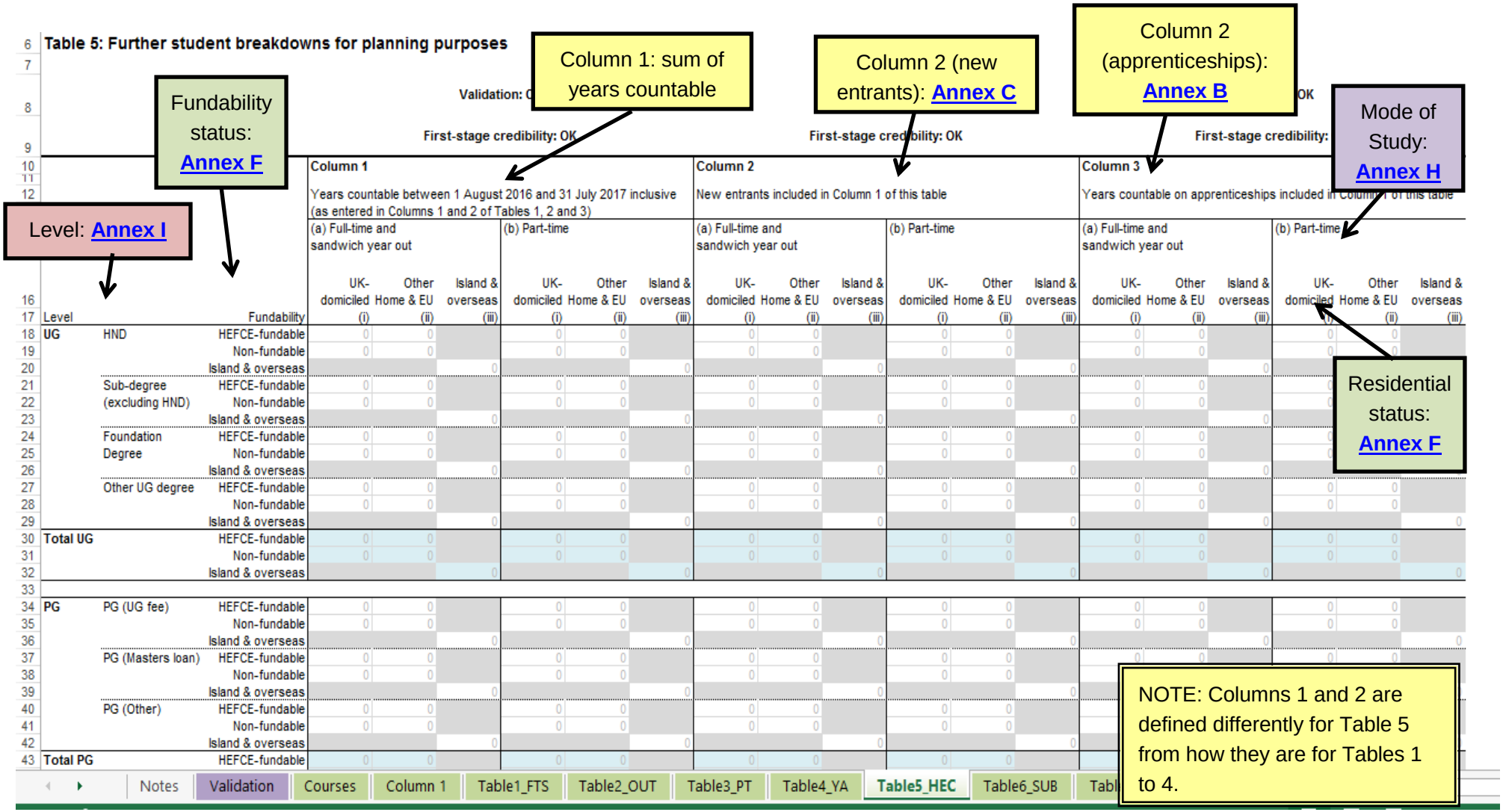


Table 6_SUB

84. Record the years of course that are sub-contracted (in whole or part) to other providers in 2016-17. These years of course should also be recorded in Tables 1, 2 or 3. They are for students who are registered with your institution but part or all of whose year is taught by another provider under a sub-contractual arrangement. Annex A provides further guidance and definitions of a sub-contractual relationship. Information should be recorded under the categories shown in Figure 15. A partial screenshot of Table 6 is shown in Figure 16.

Figure 15: Years of course taught under sub-contractual arrangements by other providers

	Categories	**Definitions and guidance**
UKPRN	Record the UK Provider Reference Number (UKPRN) of the provider that your institution sub-contracts to.	Annex A
Institution name	This will be filled in automatically after you enter the UKPRN.	
Mode of study	Full-time and sandwich year out Part-time	Annex H
Level of study	UG: undergraduate PG (UG fee): postgraduate study on courses subject to regulated undergraduate fee PG (Masters loan): postgraduate study on courses eligible under the new masters loan arrangements PG (Other): postgraduate study not falling into the previous two categories	Annex I
Fundability status	Home & EU, HEFCE-fundable Home & EU, Non-fundable Island & overseas	Annex F
Other 'years countable'	New entrants (Column 2)	Annex C

85. When completing Table 6:

a. Enter the UKPRN for the sub-contracted institution in the **UKPRN** column. This will then automatically populate the **Name** column. You will not be able to edit the Name column.

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

b. Select the **Mode**, **Level** and **Fundability** status using the drop-down menu in each column. A separate line will need to be entered for each combination of these three columns.

c. In **Column 1** record all years of course from Columns 1 and 2 of Tables 1, 2 and 3 that are contracted out; this means all those that start in the academic year, whether before or after 1 November.

d. In **Column 2** record how many of the years of course in Column 1 are **new entrants**. See Annex C paragraph 12.

86. **Validation failure** messages will occur in Table 6 if:

a. A row has an invalid or blank UKPRN.

b. An option from the drop-down menu has not been selected for mode, level or fundability status.

c. No years countable have been entered in Column 1.

d. Whole numbers have not been entered where required.

e. Positive numbers have not been entered where required.

f. The totals for mode, level and fundability status in Column 1 are greater than the corresponding totals in Tables 1 (FTS), 2 (OUT) or 3 (PT).

g. The totals for mode, level and fundability status in Column 2 are greater than the corresponding totals in Table 5 (HEC).

h. The cell in Column 2 is greater than the equivalent cell in Column 1.

i. A row has been left blank when data has been entered below it.

87. **Credibility warnings** will occur in Table 6 if:

a. No new entrants are recorded in Column 2.

b. You record all sub-contracted students as new entrants (total of Column 1 = total of Column 2)

.

Figure 16: Illustrative partial screenshot of Table 6_SUB

Mode of Study: **Annex H**

Fundability status: **Annex F**

28								
			Validation: OK		Validation: OK		Validation: Failure (see above table)	Validation: Failure (see above table)
29			First-stage credibility: OK		First-stage credibility: OK		First-stage credibility: OK	First-stage credibility: OK
32							Column 1	Column 2
33 34	Row number	UKPRN	Name of provider	Mode	Level	Fundability status	Years countable between 1 August 2016 and 31 July 2017 inclusive	New entrants included in Column 1 of this table
36						Total	215	111
39	1	10031239	LIVERPOOL MEDIA ACADEMY LIMITED	FT + SWOUT	UG	Home & EU, HEFCE-fundable	50	25
40	2	10031239	LIVERPOOL MEDIA ACADEMY LIMITED	FT + SWOUT	UG	Home & EU, Non-fundable	25	12
41	3	10031239	LIVERPOOL MEDIA ACADEMY LIMITED	PT	UG	Island & overseas	15	10
42	4	10031239	LIVERPOOL MEDIA ACADEMY LIMITED	PT	UG	Home & EU, HEFCE-fundable	10	5
43	5	10031402	ELLIOTT CLARKE LIMITED	FT + SWOUT	UG	Home & EU, Non-fundable	15	10
44	6	10031402	ELLIOTT CLARKE LIMITED	FT + SWOUT	UG	Island & overseas	25	12
45	7	10031402	ELLIOTT CLARKE LIMITED	PT	UG	Home & EU, HEFCE-fundable	50	25
46	8	10031402	ELLIOTT CLARKE LIMITED	PT	UG	Home & EU, Non-fundable	25	12
47	9						0	0
48								

UKPRN and Institution name sub-contracted to: **Annex A**

Level of study: **Annex I**

Column 1: sum of years countable

Column 2 (new entrants): **Annex C**

Note – institutions and numbers used are for illustrative purposes only

Table 7_Health

88. This table is new for HEIFES16. In **Table 7**, you need to include the non-fundable years of course that you included in Tables 1, 2 and 3 that lead to qualifications for the nursing, midwifery and allied health professions listed in Figure 17. We understand that only two FECs offer relevant courses in these areas and therefore HEIFES16 Table 7 and the guidance in Annex L **will not be relevant** to the very large majority of colleges.

89. The information collected in Table 7 will be used for planning purposes and to inform funding allocations that we will provide to institutions in 2017-18 when responsibility for funding most of these courses is transferred to HEFCE. These years of course will have already been included in Tables 1, 2 and 3 as non-fundable.

90. Please note that there are some differences in how years of course are recorded in Table 7; for example, we are collecting information on **starters from 2016-17**, which is a slightly different concept from 'new entrants' as collected in Tables 5 and 6. Further guidance on definitions specific to Table 7 is provided in Annex L.

91. A partial screenshot of Table 7 is shown in **Figure 18**.

Healthcare professions

92. For the professions listed below, only pre-registration courses at English institutions that are approved by the relevant regulatory body should be included. These are:

- For Nursing and Midwifery, the Nursing and Midwifery Council.
- For dental hygiene and dental therapy, the General Dental Council.
- For all other professions listed, the Health and Care Professions Council.

Further information on these courses is in Annex L.

Figure 17: Breakdown of counts of years of course and new entrants in pre-registration nursing, midwifery and allied health professions (Table 7)

	Categories		Definitions and guidance
Profession	Dental hygiene Dental therapy Dietetics Midwifery Nursing (adult) Nursing (children) Nursing (learning disability) Nursing (mental health) Nursing (unclassified) Occupational therapy	Operating department practice Orthoptics Orthotics/prosthetics Physiotherapy Podiatry and chiropody Radiography (diagnostic) Radiography (therapeutic) Speech and language therapy	Annex L

	Categories	**Definitions and guidance**
Level	UG: undergraduate PG (Masters loan): postgraduate study on courses eligible under the new masters loan arrangements PG (Other): postgraduate study not falling into the previous two categories	Annex I
Mode of study	Full-time Sandwich year out Part-time	Annex H
Years countable	All years Starters from 2016-17	Annex L

93. For all Table 7 Columns as listed below, there are two sub-columns:

a. **All years:** years of course for all students in the relevant combination of profession, length of year, level and mode of study.

b. **Starters from 2016-17 included in (a):** years of instance for students that meet the definition given above. These will already have been recorded in sub-column (a). Starters from 2016-17 cannot be sandwich year out.

94. Data to enter:

a. In **Column 1** record years of course that started between 1 August 2016 and 1 November 2016 inclusive.

b. In **Column 2** record years of course that you forecast will start between 2 November 2016 and 31 July 2017 inclusive. This may include new entrants or those on the second or subsequent years of an instance.

See Annex C for full instructions on whether to record years in Column 1 or Column 2.

c. In **Column 3** enter a forecast of the number of years of instance that will not be completed. Non-completion numbers must be recorded as a negative number. Use the definitions and the methodology for calculating estimates in Annex D. You may be asked questions on your methodology during data verification.

d. **Column 4** will be filled automatically with the numbers of completed years, as you enter data into Columns 1 to 3.

e. In **Column 4a** record the full-time equivalence (FTE) for the number of completed years of instance in Column 4. This should be the total full-time equivalent years of instance for that row, not the average FTE per year of course. Refer to Annex E for guidance on how to determine the FTE of part-time students.

f. The totals in the **final rows** will be completed automatically.

95. **Validation failure** messages will occur in Table 7 if:

a. Column 3 contains a positive number, or any other column contains a negative number.

b. The FTE you have recorded in Column 4a is greater than the years of instance in Column 4.

c. The FTE you have recorded in Column 4a makes the average FTE for that row less than 0.03. (Years of course that have an FTE of less than this are not included – see **Annex C**.)

d. For any cell in Column 4a, the FTE is entered to more than 2 decimal places.

e. You have entered a value that is not a multiple of 0.5 in Columns 1, 2 or 3 for the following professions:

- Nursing – adult
- Nursing – child
- Nursing – learning disability
- Nursing – mental health

f. You have entered a value that is not a whole number in Columns 1, 2 or 3 for any other profession.

g. For all columns, your 'All years' absolute totals (the number, whether positive or negative) are greater than the corresponding totals from the equivalent columns in Tables 1, 2 or 3.

h. For all cells in each column, you record more 'Starters from 2016-17' than there are years of instance recorded under 'All years'.

96. **Credibility warnings** will occur in Table 7 if:

a. You do not enter any non-completions for a row where you have recorded at least 50 years of course across Columns 1 and 2.

b. You record all years of course in Columns 1 and 2 for a row as non-completions.

c. You do not enter any 'Starters from 2016-17' in a column.

d. You report all years as 'Starters from 2016-17' for any column.

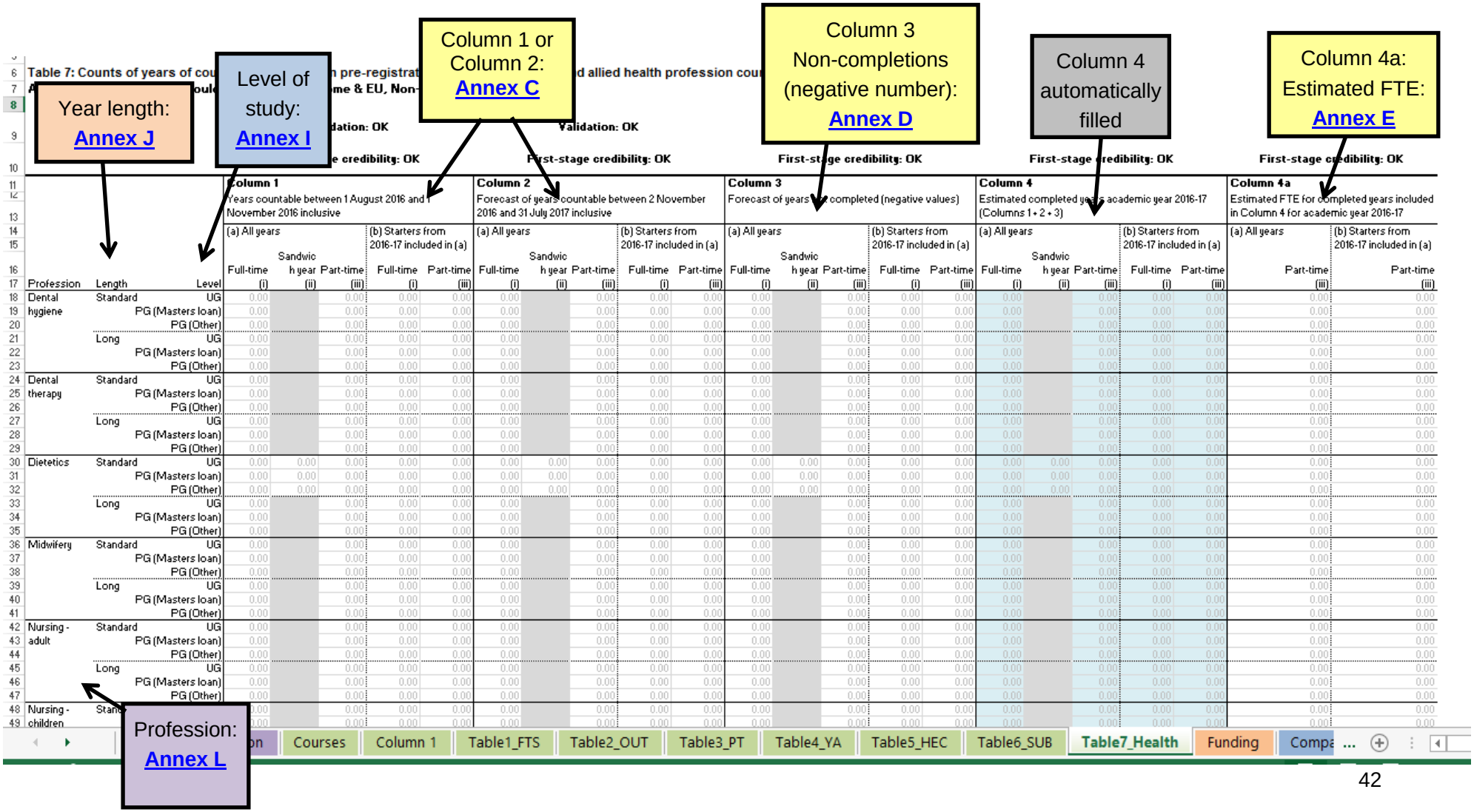
e. You have entered sandwich year out students.

f. For part-time students, the total FTE entered in Column 4a is less than 25 per cent of the total years calculated in Column 4.

g. You have entered students with a long year of course for any profession.

h. You have entered students for the Nursing (unclassified) profession.

Figure 18: Partial screenshot of Table 7_Health



Other worksheets

97. The data in these worksheets is completed automatically when you enter data in Tables 1-7.

Funding

98. The funding comparison worksheet compares your 2016-17 funding allocations (which used HEIFES15 data) with recalculated funding generated using HEIFES16 data (from data you have entered into Tables 1 to 4) applied to the same 2016-17 funding model. You may be asked questions about large differences in the funding, to check that any changes in data reflect actual changes in higher education provision or student numbers.

99. The allocations in the funding comparison sheet are shown only as a comparison tool. They are only illustrative calculations using the 2016-17 funding method and parameters, and should not be considered to be any kind of funding commitment by HEFCE.

Comparison 1 and Comparison 2

100. These worksheets contain tables that summarise your HEIFES16 data and compare it with previous years. There is automatic highlighting where differences are greater than expected, according to pre-set thresholds. Please refer to **Appendix 2** for further details. During data verification you will be asked to check and explain the reasons for unexpected differences.

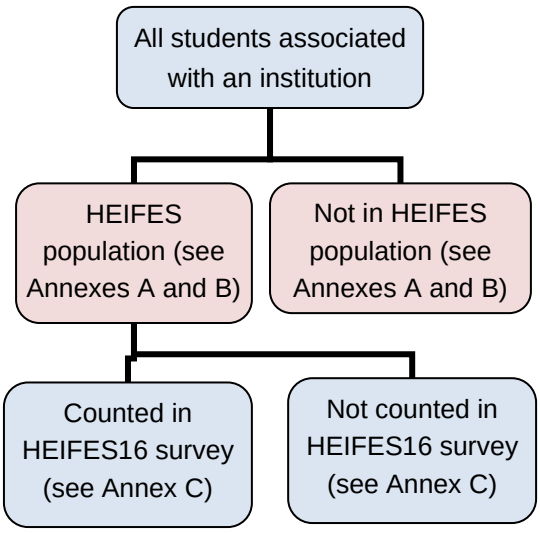
Comparison 3

101. This contains tables that summarise your HEIFES16 data and compare it with previous years. We will not routinely ask questions on these tables during the verification process. Please refer to **Appendix 2** for further details.

Section 2: Funding rules and definitions

Annex A: Defining the HEIFES student population

This annex explains which students should and should not be included in the HEIFES population. (Annex C contains guidance on how to count students in the HEIFES16 survey.) This annex also explains how to treat provision delivered through connected undertakings and sub-contractual arrangements.



Annex A contents

Definitions

- The HEIFES population for 2016-17
- Who is in the HEIFES population for 2016-17?
- Connected undertakings

Good practice

- Sub-contractual arrangements

Definitions

The HEIFES population for 2016-17

1. HEIFES16 records counts of **years of course** for students (regardless of age) on **recognised higher education (HE) courses**. We refer to this as the 'HEIFES student population', and this includes students who are repeating a year of course.

2. For the purposes of HEIFES:

   a. 'Course' is defined as an engagement (for example a period of study) with the **institution** by a student aiming towards the award of one or more qualifications. Other comparable terms in usage at institutions include 'programme' or 'programme of study'.

   b. A 'year of course' is defined in Annex C. Students study on courses over a period of time, which can be split into one or more 'years of course'. The first year begins when the student starts studying towards the qualification; the second and subsequent years start on or near the anniversary of this date (allowing for minor variations in term dates).

   c. 'College' and 'institution' means the institution including its **connected undertakings**, as defined in paragraphs 8 and 9.

   d. The institution with which a student is 'registered', for the purposes of HEIFES and the Individualised Learner Record (ILR), means the institution which has the full contractual responsibility to the student for the provision of educational services. Where fee payments from the Student Loans Company are concerned, this will also be the institution that collects the student tuition fee. This applies whether the institution provides all the teaching for the course or sub-contracts out some of that teaching to another body.

e. An ‘exchange’ is defined as a programme offered in partnership with an overseas institution where there is a movement of students in both directions between the institutions. The movement of students does not have to be balanced. For an exchange programme:

i. In an ‘outgoing’ exchange the UK institution sends participants from their registered students to undertake a period of study at an institution abroad or work placement under the Erasmus+ scheme.

ii. In an ‘incoming’ exchange, the UK institution receives students registered at an institution abroad, who are undertaking a period of study with them.

f. ‘Recognised HE courses’ are defined in Annex B.

Who is in the HEIFES population for 2016-17?

3. Students meeting **all** the following criteria should be included in the HEIFES population:

a. They are registered and actively pursuing studies with the college for at least part of the academic year (1 August 2016 to 31 July 2017). This:

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

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

iii. Excludes students who are on school-centred initial teacher training courses.

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

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

1) Courses where all years of course falling in the year are entirely writing up. Writing up is not considered to be ‘study’ for HEIFES purposes.

2) Courses where the only activity is assessment. This includes teacher training programmes which consist only of a Qualified Teacher Status assessment.

b. They are studying on a recognised HE course, as defined in Annex B of HEIFES. This excludes students whose **sole** course aim is a National Vocational Qualification, but includes courses which lead to both a recognised HE qualification and a National Vocational Qualification.

c. No more than half of the student's active study time for the whole course is spent outside the UK (including through distance learning), unless any of the following apply:

i. There is a clear academic reason for studying abroad rather than in the UK. Even where such a reason exists, we must specifically sanction the course as eligible.

ii. The student is temporarily and unavoidably abroad and remains liable to UK tax on their earnings, or is a dependant of such a person. This includes members of HM Forces and their dependants.

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

Sandwich students working abroad and language students on years abroad should normally be included in the HEIFES population, because the year abroad will not constitute most of their course.

4. All students included in the HEIFES population must be included in the college's ILR, even if this is not normally compulsory under the coverage of the record.

5. The responsibility for reporting student data depends on which institution has full contractual responsibility to the student for the provision of education. Students should not, other than in exceptional circumstances, change the institution they are registered with and no change should be made as to which institution reports data on students who are continuing on the same course without each student's informed agreement. In reporting student data to us, colleges will be confirming their contractual responsibilities for the provision of education to these students.

6. Students who have not completed the institution's registration process for the course, and for whom there is no evidence of activity by the census date, should not be included in Column 1 of Tables 1 to 3 of the HEIFES16 return. However, if there is evidence of activity, students should be included in Column 1 Tables 1 to 3 of the return. Efforts should be made to ensure that all eligible students are fully registered by the census date.

7. The flowcharts provided in **Figures A1 to A4** can be used to determine whether a student can be included in the HEIFES population for 2016-17.

Figure A1: Determining the HEIFES population for 2016-17

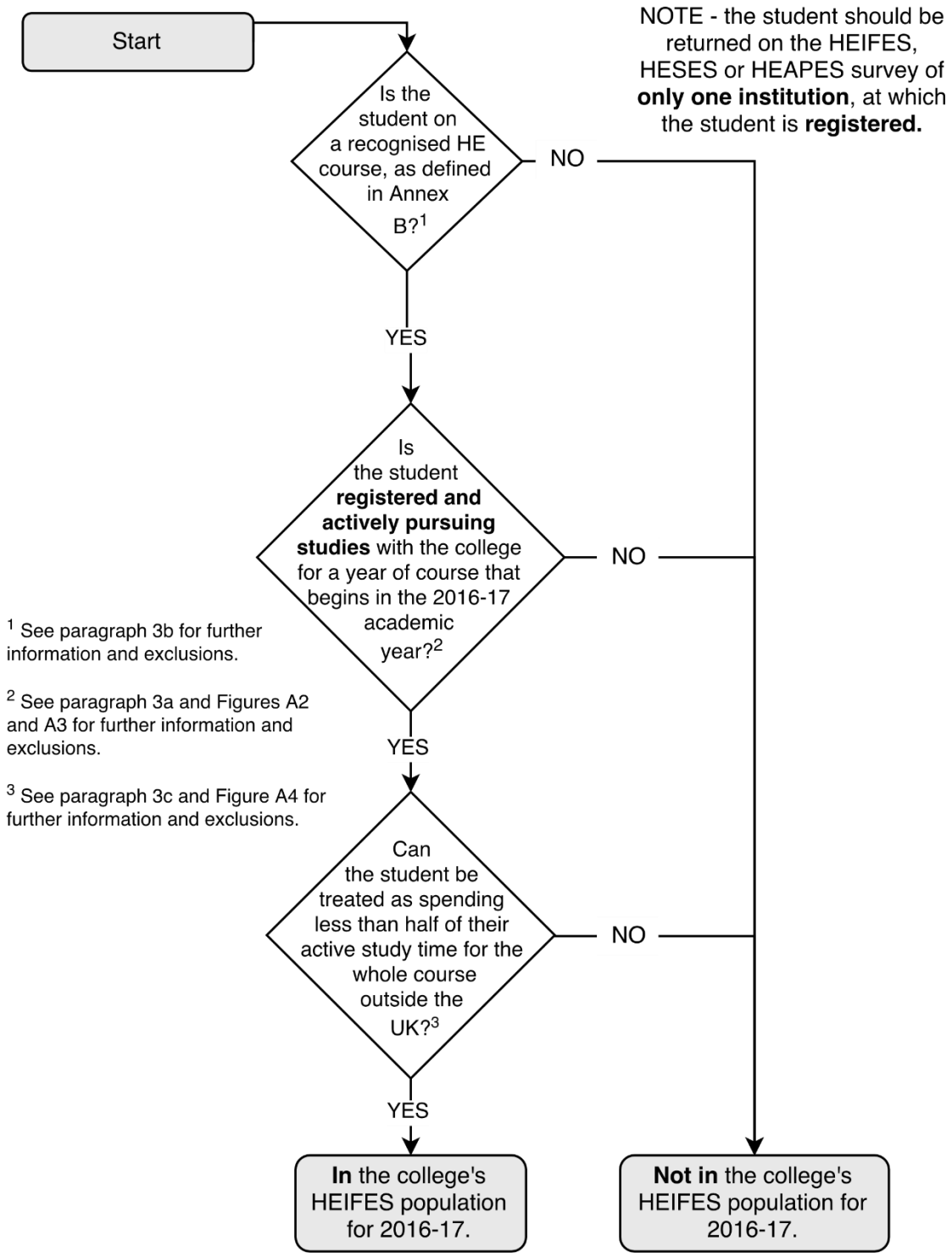


Figure A2: Determining if a student is registered with a college

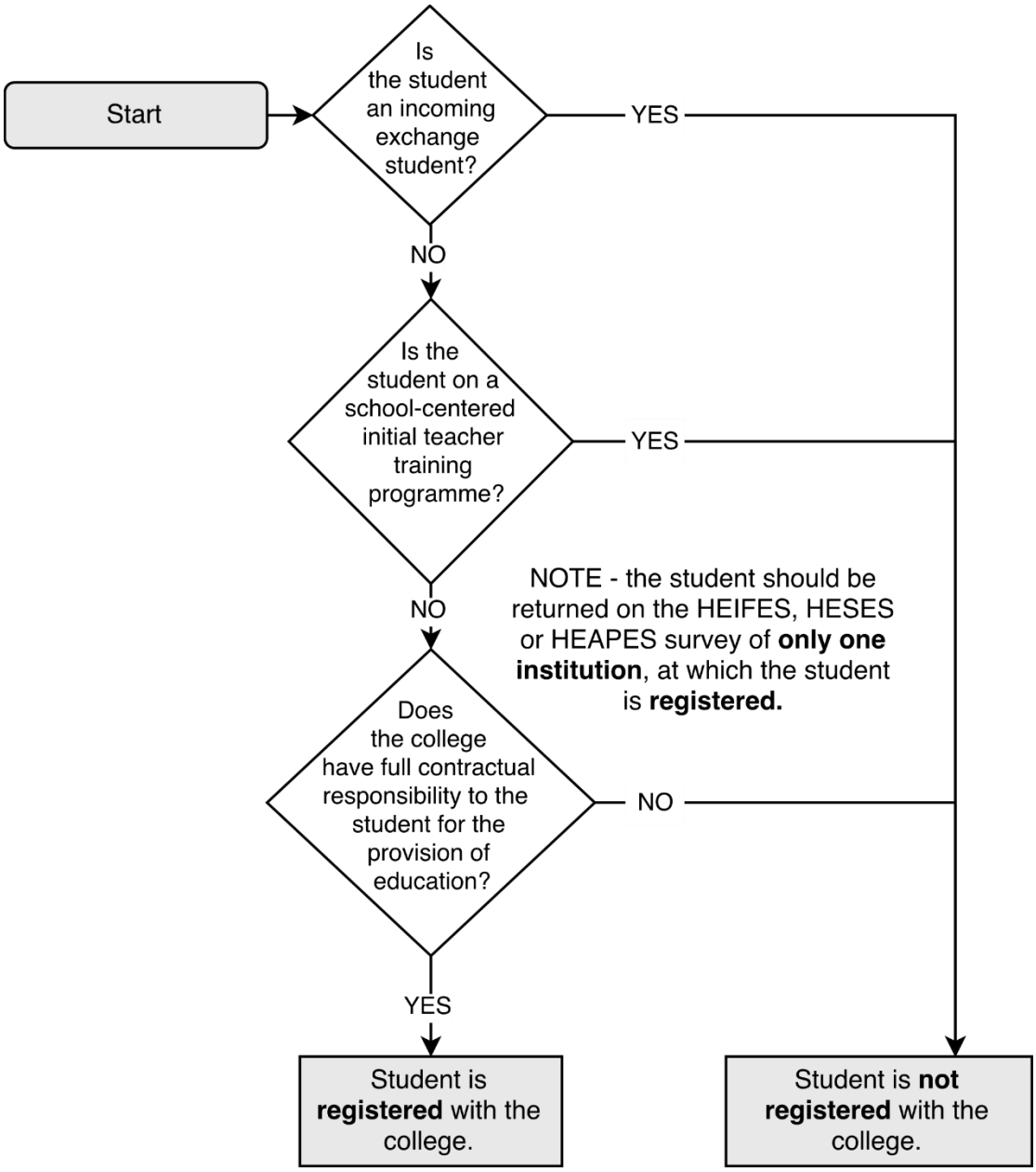


Figure A3: Determining if a student is actively studying with a college

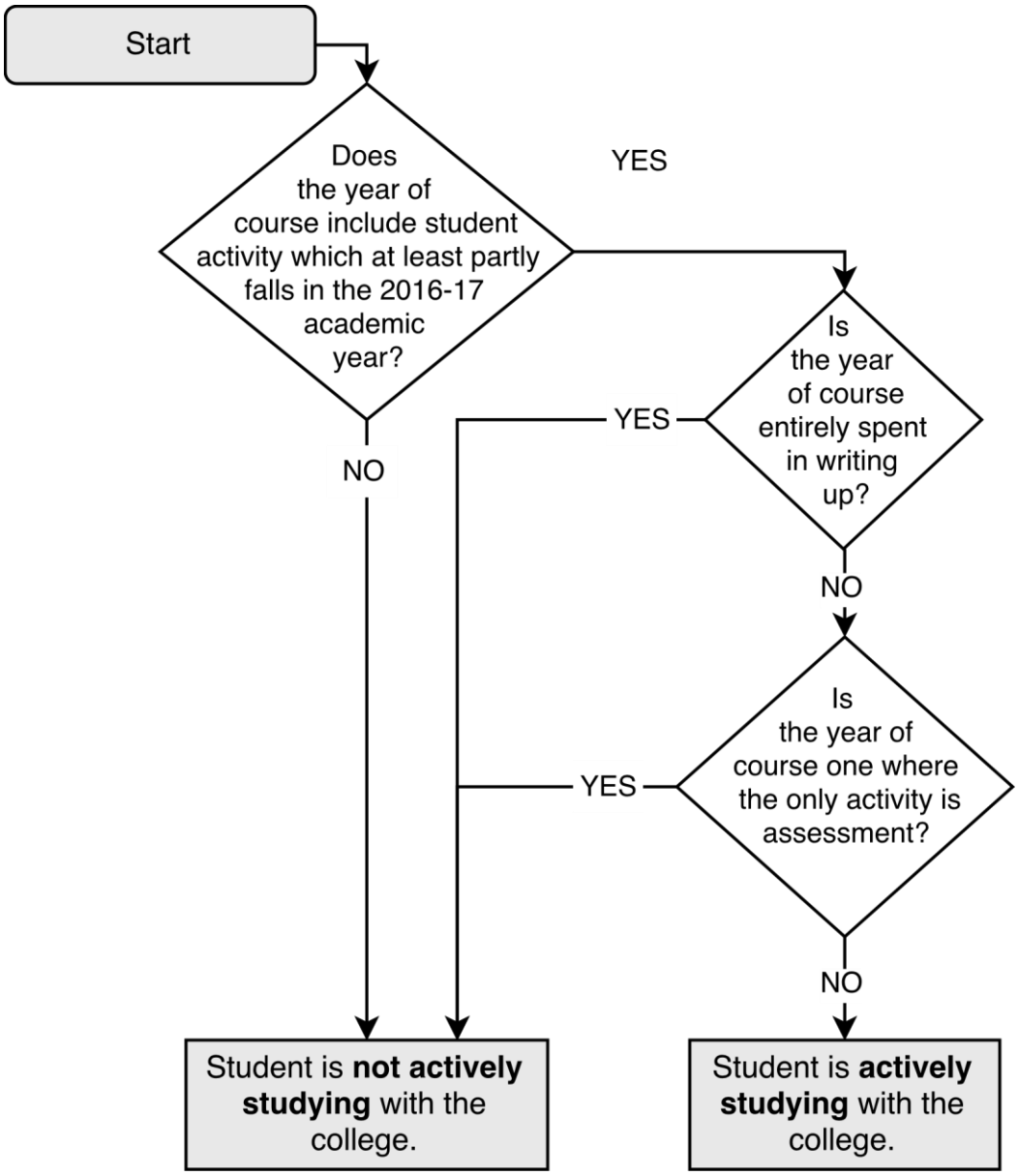
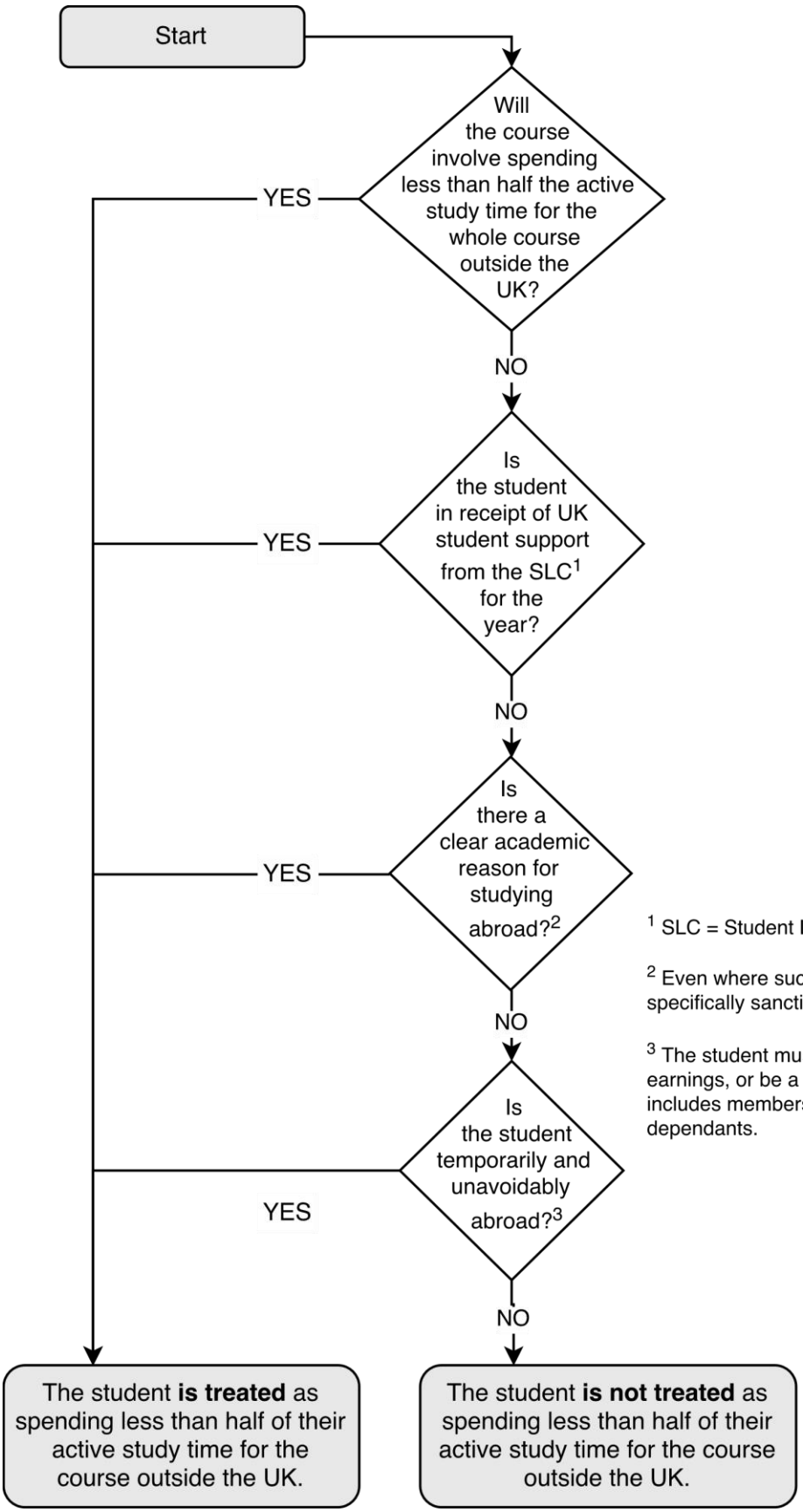


Figure A4: Courses with less than half of the active study time spent abroad



[1] SLC = Student Loans Company

[2] Even where such a reason exists, we must specifically sanction the course as eligible.

[3] The student must remain liable to UK tax on their earnings, or be a dependant of such a person. This includes members of HM Forces and their dependants.

Connected undertakings

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

a. The institution controls that undertaking.

b. The institution and another undertaking or other undertakings connected with the institution together control that undertaking.

c. Another undertaking or other undertakings connected with the institution control that undertaking.

d. That undertaking is recognised by us as a connected institution as defined by section 27 of the Teaching and Higher Education Act 1998.

9. For the purpose of the previous paragraph, an undertaking is under the 'control' of another if any of the following apply[1]:

a. That other holds a majority of the shares in the undertaking.

b. That other holds a majority of the voting rights in the undertaking.

c. That other has the right to appoint or remove a majority of the board of directors or other governing body of the undertaking.

d. That other has the right to exercise dominant influence over the undertaking by virtue of provisions contained in the undertaking's articles of association or any other constitution, control contract, memorandum of understanding or other document regulating the undertaking or any other undertaking.

e. That other has the right to a share of more than half the assets, or of more than half the income, of the undertaking.

f. Both are managed on a uniform basis.

g. That other has the power, by any other means, to secure that the affairs of the undertaking are conducted in accordance with its wishes.

Sub-contractual arrangements

10. Guidance was provided on the definition of sub-contractual arrangements in 'Institutions' responsibilities in partnership arrangements' HEFCE Circular letter 18/2015)[2]. Institutions should refer to the circular letter, but broadly it separates partnerships between institutions into:

a. **Validation arrangements**, where a course is taught by one institution that leads on successful completion to a qualification awarded by another institution.

[1] The expressions 'voting rights in an undertaking', 'right to appoint or remove a majority of the directors', 'right to exercise a dominant influence' and 'control contract' have the meanings given in schedule 7 to the Companies Act 2006.
[2] Available online at www.hefce.ac.uk/pubs/year/2015/CL,182015/.

b. **Sub-contractual (or franchise) arrangements**, where a course is made available by one institution with some or all of the teaching sub-contracted out to a different institution. This does not include informal arrangements that are not governed by contracts between institutions, such as those that might exist for shared teaching between constituent parts of the University of London, or for study abroad under the Erasmus+ programme. It may include some exchange programmes, if there is a formal contract between institutions.

11. While the nature of any partnership arrangement is for institutions to decide, we would consider this to be determined by the details of the contract between the relevant institutions and therefore who, as mentioned in paragraph 2d of this annex, has the full contractual responsibility to the student for the provision of educational services.

12. We would expect institutions to be clear on the nature of any partnership agreements and to ensure that this is communicated to students.

Good practice

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

14. It is essential that exchanges of information and communications between the partners are frequent, timely, open and effective. In particular, we highlight the importance of a registering institution being told promptly by its partner institutions about any withdrawing students. This may require clear protocols among partner institutions regarding the exchange of information.

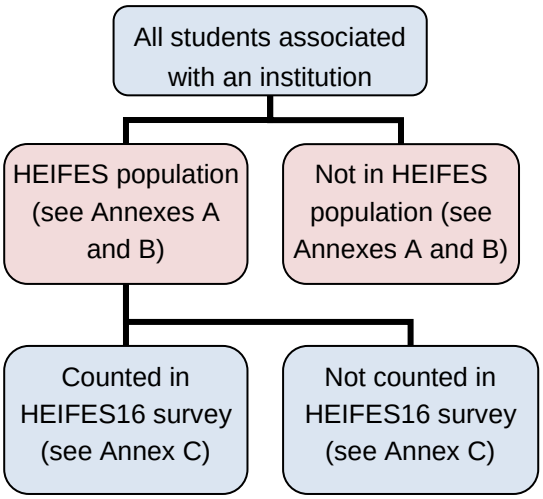
15. The different roles of each partner in collecting and managing data will vary. The principle applied at audit is that student data should be managed with equal professionalism at all partner institutions. When entering into sub-contractual arrangements, the systems in operation and the exchange of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

16. It is important that students are returned on the HEFCE survey (HESES or HEIFES) and the Higher Education Statistics Agency student record (or the ILR) by the registering institution only. An institution's student record system should contain all sub-contracted students' records in the same way as it does its 'own' students. However, institutions' student record systems should clearly identify the students registered by them, and should ensure that those not eligible are excluded from the HEFCE survey. This will help to ensure that sub-contracted out students are correctly returned in HEIFES, and that an audit trail for such students is available.

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

Annex B: Recognised higher education courses

This annex defines the recognised higher education courses which students must be studying if they are to be included in HEIFES16. It also details the treatment of students on higher or advanced apprenticeships which include both higher and further education elements.



Annex B contents

Definitions

- Recognised bodies
- Learning aims and the Learning aims search
- Professional (or similar) qualifications
- Foundation years
- Funding for higher and advanced apprenticeships

Definitions

1. HEFCE is responsible for funding only some ‘recognised’ higher education (HE) courses in further education and sixth form colleges. Only students studying on such courses should be included in the HEIFES population for 2015-16.

2. In HEIFES, recognised HE courses are those where on successful completion the student is awarded, by a relevant **recognised body**, one of the following qualifications:

- a higher degree, such as a PhD, MPhil, MSc, MA, MBA
- a postgraduate diploma
- a postgraduate initial teacher training qualification, such as a Postgraduate or Professional Graduate Certificate in Education (PGCE)
- a first degree, such as a foundation degree, BSc or BA
- a foundation degree bridging course, where these are integrated into the final years of a first degree
- a Higher National Diploma (HND)
- a Diploma of Higher Education (DipHE)
- a Higher National Certificate (HNC)
- a Diploma in Teaching in the Lifelong Learning Sector (DTLLS) or a Level 5 120-credit-point Diploma in Education and Training
- a Certificate in Education (CertEd).

Recognised bodies

3. Relevant recognised bodies are:

- any UK institution with the power to award degrees
- for foundation degrees (but not for foundation degree bridging courses), any further education or sixth form college in England with the power to award such degrees
- for HNDs and HNCs, Pearson Education Ltd and the Scottish Qualifications Authority.

Learning aims and the Learning aims search

4. The Skills Funding Agency's Information Management Hub includes a learning aims search (https://hub.imservices.org.uk/Learning Aims/Pages/default.aspx). This returns the awarding body and qualification type for a given learning aim. If a college believes that a qualification has been incorrectly classified in the learning aims search, it should email heifes@hefce.ac.uk as soon as possible (ideally as soon as the course has been added to the Hub), providing the learning aim reference, learning aim title, awarding body and learning aim type **as displayed on the learning aims search**, together with the suggested amendments.

Professional (or similar) qualifications

5. Courses leading to professional or similar qualifications will not normally be recognised. For example, a course leading to a Certificate in Management awarded by the Chartered Management Institute is not a recognised HE course for the purposes of HEIFES. However, if these courses also meet the definition given in paragraph 2 of this annex, they will be recognised.

Foundation years

6. Foundation years, access provision and other provision commonly referred to as 'Level 0', will be included in the HEIFES population only if they are an integrated part of an HE qualification, as defined in paragraph 2, such that both of the following apply:

a. Students are already registered for the HE qualification at the same institution.

b. Progression to the HE qualification is guaranteed, subject to satisfactory completion of the foundation year.

7. Free-standing foundation years and other free-standing Level 0 provision are not recognised HE courses. The requirement that students are already registered for the HE qualification at the same institution means that, where the foundation year is taught by a different institution, this will be treated as integrated – and therefore within the HEIFES population – only if it is done under a franchise arrangement from the institution offering the HE qualification.

Recognised higher education provided as part of an apprenticeship

8. Apprenticeships are programmes of study in which an apprentice is employed for a minimum of 30 hours a week while studying towards qualifications. They can be studied at several specific levels, including degree apprenticeships where apprentices study towards a first degree or masters degree qualification.

9. Although the majority of the finance for apprenticeships is provided through the Skills Funding Agency, this does not in itself affect whether years of course taken as part of an apprenticeship are included in HEIFES16, or whether home and EU students are reported as HEFCE-fundable or non-fundable.

10. HEFCE provides funding to institutions where such years of course meet the criteria for particular elements of teaching grant. HEFCE funding is treated as complementary to finance provided by the Skills Funding Agency and employers, which is more analogous to finance that for other higher education provision would be provided through tuition fees or student support.

11. Only the activity within a higher, degree or advanced apprenticeship that meets the definition of recognised HE courses given in this annex should be included. This means that a student who has commenced such an apprenticeship but is not undertaking the recognised HE part of that apprenticeship during the year of course should not be included in HEIFES.

12. Years of course taken as part of an apprenticeship should not be treated as part of a closed course. They may therefore be treated as HEFCE-fundable, subject to meeting all other criteria necessary for that status.

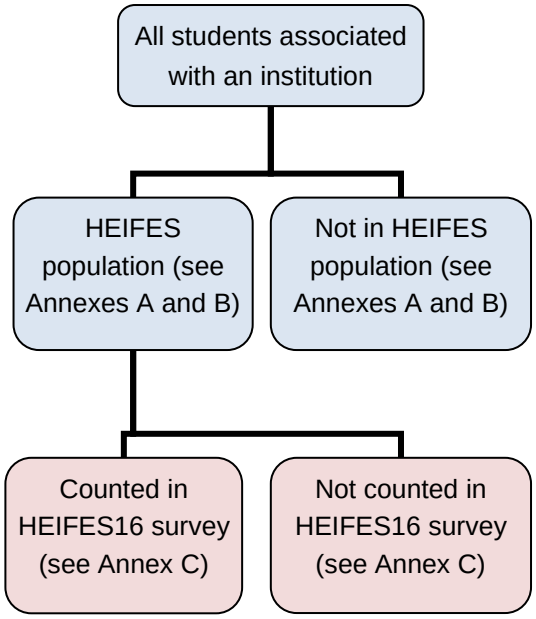
13. As with all postgraduate (PG) students, those on apprenticeships should be split between the three categories of PG (UG fee), PG (Masters loan) and PG (Other) according to the characteristics of their recognised higher education course, rather than their own personal eligibility for any such student support.

14. Where colleges or franchise partners provide other elements of training as part of a higher, degree or advanced apprenticeship, for each student they should report two or more learning delivery entities for the apprenticeship on the Individualised Learner Record:

- one relating to study towards each qualification, that meets the definition of recognised HE courses in this annex and which may be HEFCE-fundable
- the other(s) relating to study towards any other qualification(s).

Annex C: Counting student activity

This annex gives the definition of a year of course and explains how to count them in HEIFES16. This includes the criteria for being able to count a year of course in HEIFES16, the definitions of standard and non-standard years of course, a flow chart to aid with determining how years of course should be counted, and guidance on counting some short courses that are sometimes known as 'summer schools'



Annex C contents

Definitions

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

Guidance

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

Examples

Good practice

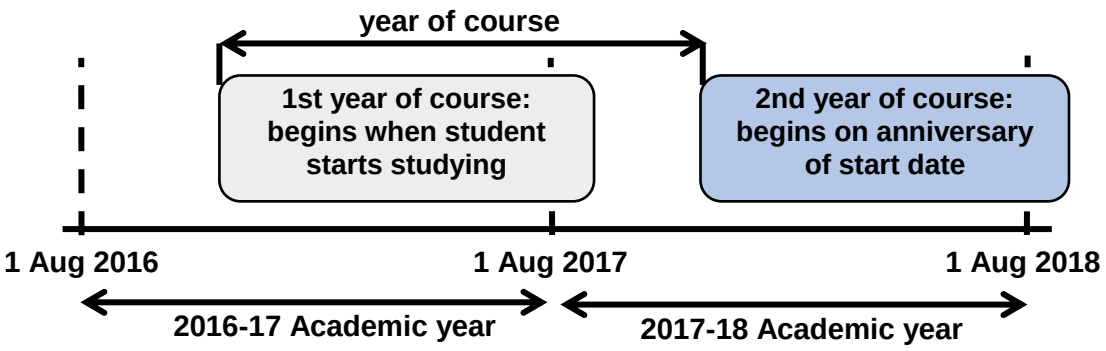
Definitions

Year of course

1. Students study towards courses over a period of time, which can be split into one or more years of course. The first year begins when the student starts studying towards the qualification; the second and subsequent years start on or near the anniversary of this date (allowing for minor variations in term dates).

2. A student may only be returned on HEIFES once for each year of course they undertake. This is referred to as counting years of course. When a student becomes countable on HEIFES depends on how their activity falls within each year of course.

Figure C1: Year of course



Further notes on years of course

3. Exceptionally, a student may be on two courses at the same time, aiming for two independent recognised higher education (HE) qualifications. If this is the case, the student should be treated as if they were two students, each aiming for one of the qualifications.

4. Where a student completes a foundation degree and then undertakes a foundation degree bridging course to enable them to join the final year of an honours degree, the foundation degree bridging course should be treated as an independent course which will generate its own year of course as explained in paragraph 23 of this annex.

Counting years of course

5. To be counted, a student within the HEIFES population for 2015-16 must also meet all the following criteria:

a. A tuition fee is charged for the year of course. Exceptionally, this fee may be waived for individual students based on their particular circumstances. Other than for sandwich year out students it should not be waived for all students on a course, and the criteria which determine if the fees may be waived should not be tantamount to waiving them for all students. Where the fee has been waived for an individual student, evidence of the reason for this waiver must be retained.

b. The full-time equivalence (FTE) for the year of course is at least 0.03.

c. The student is not writing up a thesis or similar piece of work throughout the whole of the year of course. Students are writing up where they have completed their research work and will not undertake any significant additional research. It is common practice for such students to receive a small amount of supervision, and they may still have access to other facilities at the institution. However, such students should still be treated as writing up. Writing up is not considered to be ‘study’ for HEIFES purposes; therefore time spent writing up for part of a year of course should be taken into account and excluded when calculating the student’s FTE.

d. The student has not withdrawn, and is not forecast to withdraw, within two weeks of starting their course.

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

Guidance

How to count years of course

How to count years of course in the HEIFES survey

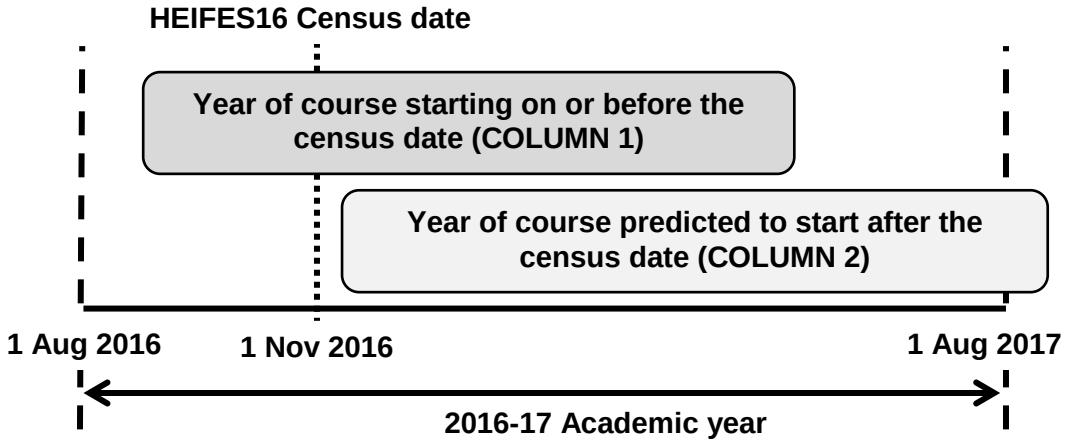
7. To be counted in HEIFES16, a student's year of course must start in the 2016-17 academic year. The start date for the year of course is the date when the student first started studying towards the qualification, or its anniversary. This should then be compared to the HEIFES census date, which will be 1 November 2016 for HEIFES16:

a. If a year of course starts **on or before the census date** (between 1 August 2016 and 1 November 2016, inclusive), then that year of course should be recorded in **Column 1** of Tables 1 to 3.

b. If a year of course starts **after the census date** (between 2 November 2016 and 31 July 2017, inclusive), then that year of course should be recorded in **Column 2** of Tables 1 to 3. .

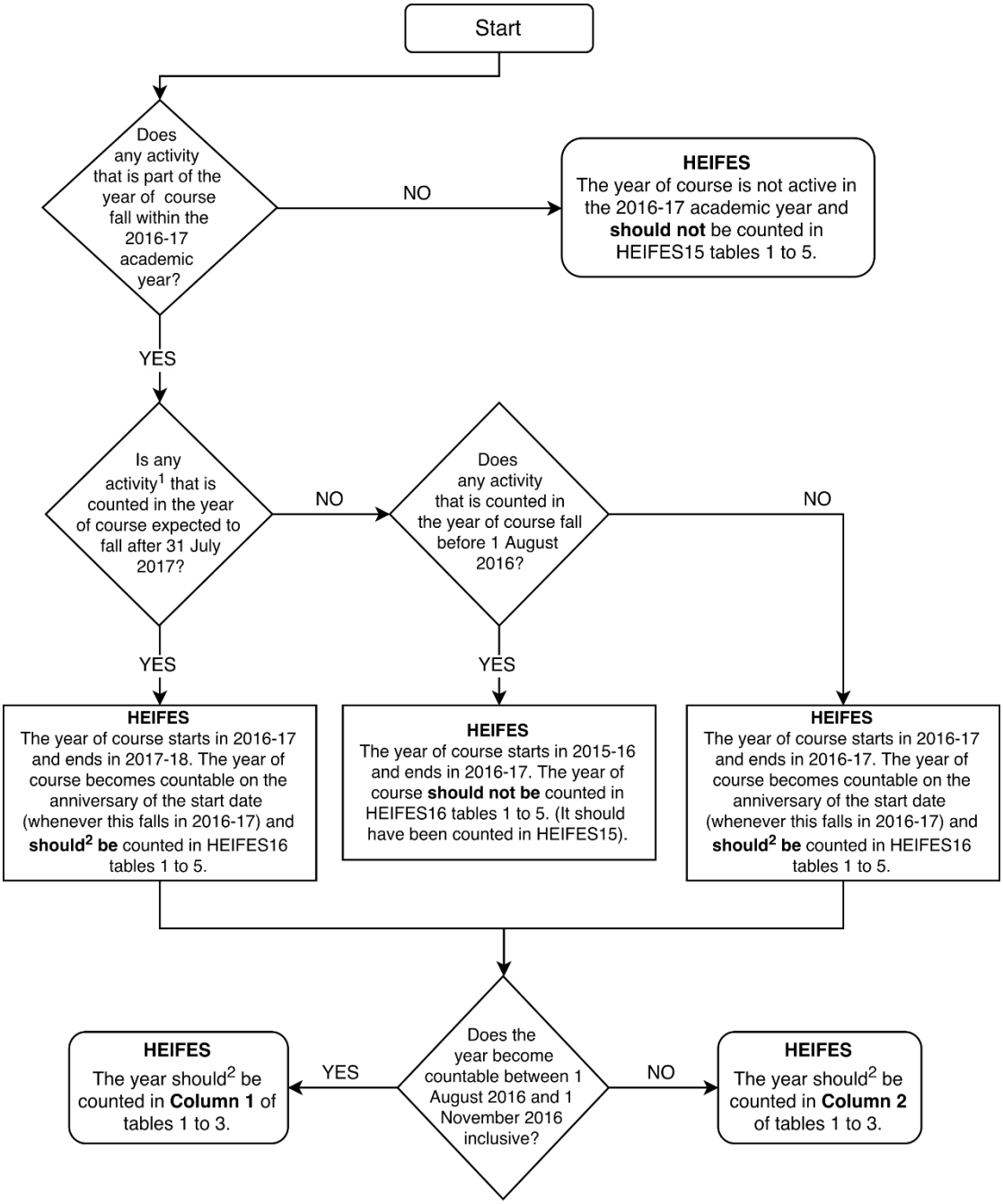
Figure C2 illustrates this concept.

Figure C2: Years of course recorded in Column 1 or Column 2



8. The flow chart in **Figure C3** can be used to determine if the year of course should be counted in HEIFES16, and if so, whether it should be returned in Column 1 or 2 of Tables 1 to 3.

Figure C3: How to determine if a year of course should be returned in HEIFES16, and whether in Column 1 or 2 in Tables 1 to 3



[1] For this purpose, periods of work experience that would cause the year of course to span academic years should be ignored.
[2] Subject to meeting the other conditions to be counted in HEIFES.

Students who withdraw before the census date

9. If a student has withdrawn from their year of course on or before 1 November 2016, their year of course should not be returned.

Standard and non-standard years

10. There are two types of year of course, standard and non-standard:

    a. A **standard year** is one where all activity for the year of course is entirely within one academic year (1 August to 31 July). Most undergraduate students are on standard years.

    b. A **non-standard year** is one where all activity for the year of course is **not** entirely within one academic year – that is, where the activity for the year of course crosses from one academic year into the next.

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

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

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

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

12. **Figure C4** shows how to count standard and non-standard years in HEIFES16:

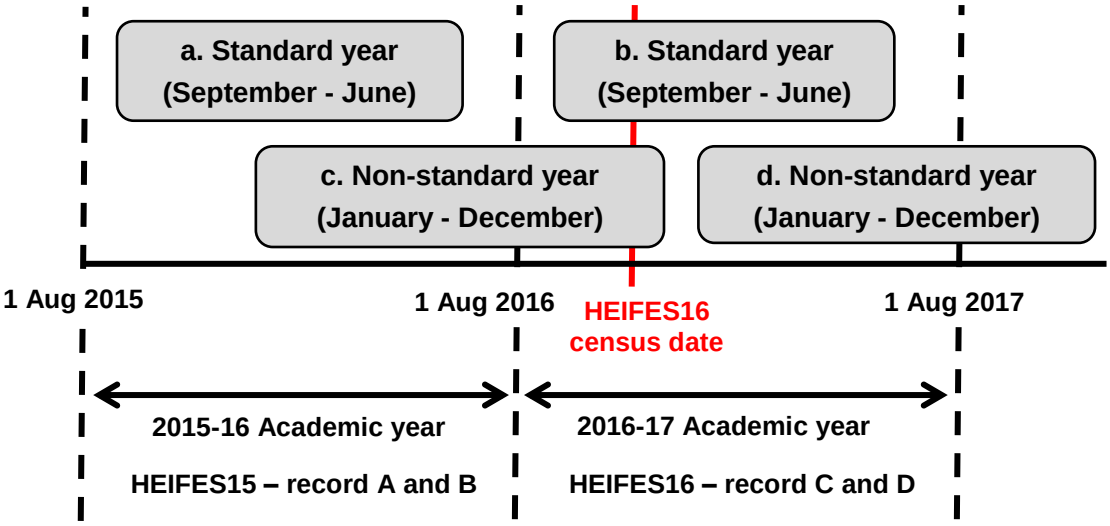
    a. Year of course A is a standard year that is completely within the 2015-16 academic year, and should have been recorded in HEIFES15.

    b. Year of course B is a standard year that starts before the census date in the 2016-17 academic year and is recorded in Column 1 of HEIFES16.

    c. Year of course C is a non-standard year that spans the census date, but started in the 2015-16 academic year. It should have been recorded in HEIFES15, not HEIFES16.

    d. Year of course D is a non-standard year that starts after the census date in the 2016-17 academic year and is recorded in Column 2 of HEIFES16.

Figure C4: How to record standard and non-standard years



New entrants

13. For Tables 5 and 6, students should be classed as new entrants when they meet both of the following criteria:

a. They first generate a countable year for the course

b. They have not been active at the same broad level (undergraduate or postgraduate) at the registered institution in either of the two previous academic years.

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

Starters from 2016-17 on Table 7

14. For Table 7, students should be classified as starters from 2016-17 if they are receiving an NHS bursary for the first time in 2016-17. This should:

e. **Include** students who transfer in 2016-17 onto a pre-registration nursing, midwifery or allied health profession course from one that is not a pre-registration nursing, midwifery or allied health profession course. (Such a student transferring within an institution would not be a 'new entrant' for the purposes of Tables 5 and 6).

f. **Exclude** students who transfer in 2016-17 between different types of pre-registration nursing, midwifery or allied health profession course in 2016-17, if their previous pre-registration nursing, midwifery or allied health profession course started prior to 1 August 2016.

g. **Exclude** students repeating the first year of a pre-registration nursing, midwifery or allied health profession course.

15. Students classified as starters from 2016-17 will not necessarily be new entrants, though the two populations will overlap significantly.

Summer schools

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

Summer schools for potential HE students

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

Access provision

18. In some cases, institutions offer short preparatory or access courses for individual students to facilitate progression to an initial HE qualification. These courses are taken immediately before the start of their HE qualification. Where such provision is an integral part of a recognised HE course, the students are included in the HEIFES population: see paragraphs 6 and 7 of Annex B for when such provision is considered integrated. The short access course and the first year of the HE course will typically count as one year of course. This may result in the year of course being counted as long, as defined in Annex J.

19. If the access provision is not an integrated part of the recognised HE course, it is not HE and the students are not part of the HEIFES population.

Within-course periods of study in vacation time

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

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

ILR notes

22. Short periods of study in vacation time should be returned on the ILR in the same way they are returned on HEIFES. That is, they should be included as part of the year of course preceding the short period of study.

Foundation degree bridging courses

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

ILR notes

24. Any foundation degree bridging courses should be returned as a separate record in the ILR 2015-16 return with:

a. Student load returned as 30 (Student Instance FTE = 030.0), except where the course spans two academic years, when the load should be proportionally split between them.

b. Mode returned as part-time (Mode of Study = 03).

c. A link to a learner aim on the Skills Funding Agency's learning aims search with a 'learner aim type' code of 6001, 'Foundation degree bridging course'. (It may be necessary to request a specific learner aim for the bridging course).

d. A learner aim with appropriate Learndirect information on the Skills Funding Agency's learning aims search.

e. A separate Student Instance Identifier (NUMHUS).

Examples

Counting years of course

Example 1: Standard year (Column 1)

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

26. As the first year of course becomes countable between 1 August 2015 and 1 December 2015, it would be included in Column 1 of Table 1 in HEIFES16. Later years would similarly be returned in Column 1 of subsequent HEIFES returns.

Example 2: Standard year (Column 2)

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

28. As the year of course becomes countable between 1 November 2015 and 31 July 2016, it would be included in Column 2 of Table 1 in HEIFES16.

Example 3: Non-standard year

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

30. As the year of course becomes countable between 1 December 2015 and 31 July 2015, it would be included in Column 2 of Table 1 in HEIFES16. Later years would similarly be returned in Column 2 of subsequent HEIFES returns.

Example 4: Standard year, student starting late

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

32. As that student's year of course starts on 9 November 2015 and on the anniversary of that date in subsequent years. The student should be included in Column 2 of Table 1 in HEIFES 15, and similarly in subsequent HEIFES returns as they continue their studies.

Example 5: Standard year, student who interrupts their course

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

34. The first year of course becomes countable in September 2015 and is therefore returned in Column 1 of Table 1 of HEIFES16. Data entered in Column 3 of Table 1 of HEIFES16 should reflect a forecast of such students entered in Column 1 or 2 who will intermit (and therefore non-complete) after 1 November 2015.

35. The second year of course becomes countable at the start of the year of course in September 2016 (and not in February 2017 when the student returns), and is therefore returned in Column 1 of Table 3 of HEIFES16 (because the activity in this second year of course does not meet the criteria to be classed as full-time as set out in paragraph 1 of Annex H).

New entrants on Tables 5 and 6

Example 6: Students topping up from a foundation degree

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

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

b. If the foundation degree was not delivered under a sub-contractual arrangement, but was funded directly at the college, then the student would be considered to be studying at the same institution (the college) and at the same broad level throughout the period 2013-14 to 2015-16. Therefore they should **not** be reported as a new entrant for 2015-16 in Table 5.

Example 7: Students topping up from a foundation degree (Table 6)

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

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

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

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

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

39. In each of the years, the students would also be returned on Table 1.

Example 8: Students who switch mode

40. A student started studying towards an HND on a part-time basis in 2013-14. In 2015-16 they switch to full-time study. The student is considered to be studying at the same institution and at the same broad level throughout the period 2013-14 to 2015-16. They should not therefore be reported as a new entrant for 2014-15 in Table 5.

Summer Schools

Example 9: Within-course periods of study in vacation time

41. A student studies full-time for a degree over three years, with activity for each year of course running from October to July. Between the second and third years, a short period of study, running from 25 July to 5 September, is undertaken to bring the student up to the standard of others on the course. This short period of study counts as part of the second year of the degree and is not a separate course.

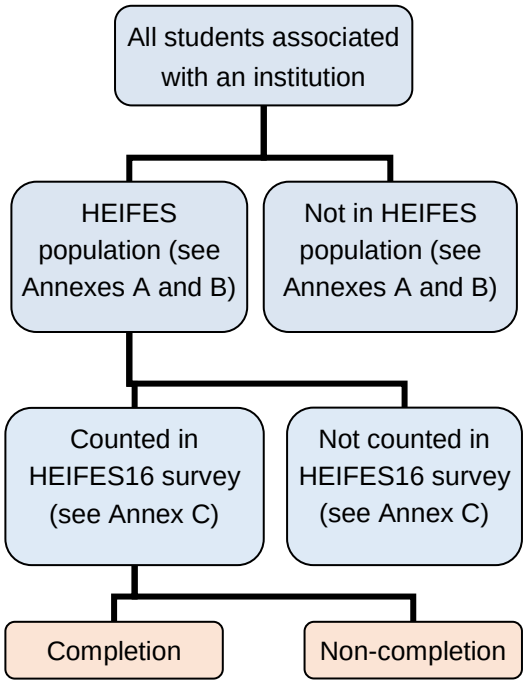
Good practice

Removing duplicate records

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

Annex D: Completion and non-completion

This annex explains how to determine the completion status of a year of course in HEIFES16.



Annex D contents

Definitions

- Module
- Final assessment
- Fees
- Completion

Guidance

- Estimates of non-completions

Special cases

- Mode changes
- Modules taken in addition to standard requirements
- Substituted or retaken modules
- Years of course with no formal assessment
- Changing study intentions within the year due to accredited prior learning

Examples

Good practice

Definitions

Module

1. For the purposes of HEIFES16, a ‘module’ is taken to mean a discrete component within a course, sometimes referred to as a ‘unit’, or ‘option’. Where a student is studying a number of modules that can all count towards the same qualification, this should be treated as a single course.

Final assessment

2. The final assessment for a module is the one that has its first occurrence on the latest normal due date: the timing of resits and coursework extensions should therefore be disregarded. Whether an assessment is considered to be the final assessment does not depend on its associated weight. For example, if a module is assessed by an exam which accounts for 90 per cent of the marks, with the remainder assessed via coursework due after the exam (and not solely because of an extension), the coursework rather than the exam, is the final assessment.

3. Where the last two assessments for the module are due on the same day, either one can be considered the final assessment.

4. Where the final assessments for a module comprise an assessment at a fixed date for all students (such as an exam) and another assessment at a variable date (such as a performance or presentation) which may be timetabled for individual students either before or after the fixed assessment, then the fixed assessment should be treated as the final assessment.

Fees

5. 'Fees' has the meaning set out in Section 41 of the Higher Education Act 2004 and in the Education (Student Fees) (Exceptions) (England) Regulations 1999, which continue to apply[3].

Completion status

6. Where a student has a clear study intention at the start of the year of course of completing a specified activity within that year, completion is measured against this intention. To be counted as a completion (and thus be included in Column 4 of Tables 1, 2 or 3), a student must complete all the modules they intended to complete in the year of course. They must do this within 13 calendar months of the start of the year of course: that is to say, within 13 calendar months of the anniversary of their commencement date, which defines the start of the year of course.

7. To complete a module, the student must do one of the following.

   a. Undergo the final assessment of the module (this refers to the activity of the student in sitting an exam or submitting coursework rather than that of an assessment board in assessing the achievement of the student).

   b. Pass the module, where this can be achieved without undergoing the final assessment (because they have enough marks in that module to be awarded credit for it). In some cases, institutional regulations allow credit to be given because of the level attained in other modules: this would not be treated as completion for funding purposes, even though the college may allow the student to progress.

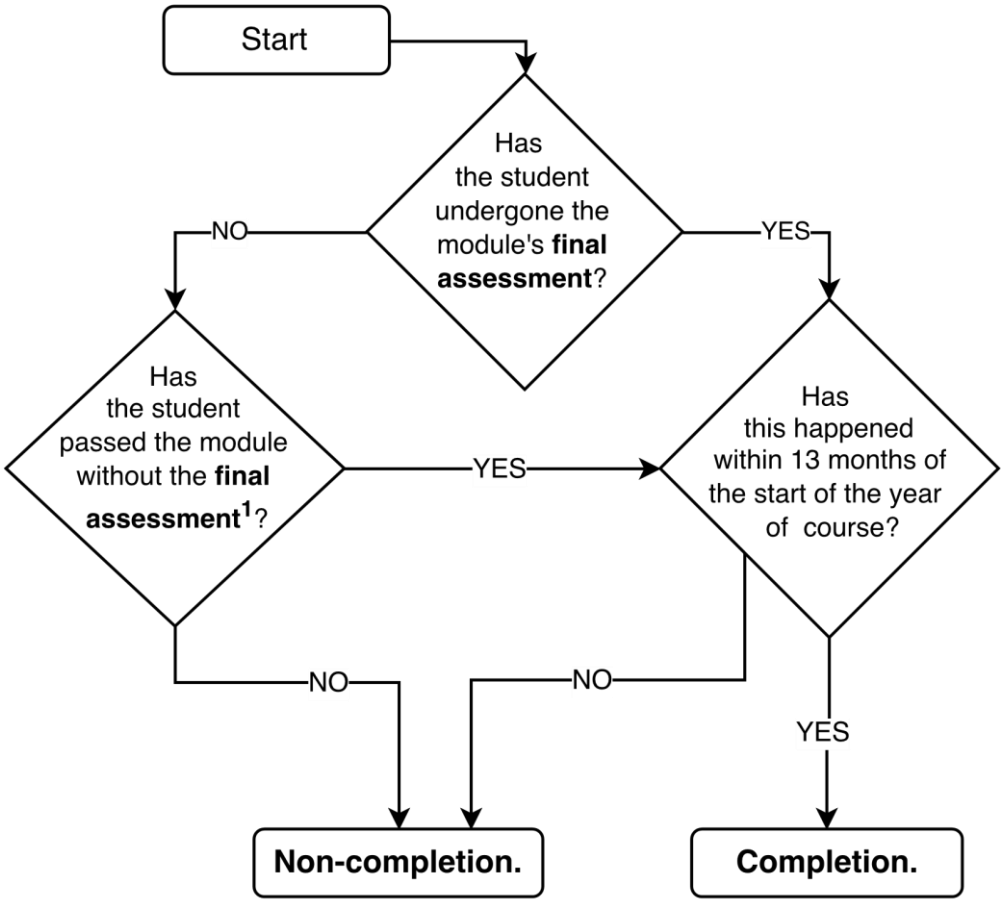
8. A student who fails to complete any module counted in the year of course is to be returned as a non-completion for all activity in that year. Thus, a student who starts the year intending to follow a certain pattern of activity, but does not complete all of it, would be a non-completion. Therefore colleges should collect information on students' initial study intentions for the year so that completion status can be assessed appropriately.

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

[3] Statutory Instrument 1999/2265 found at www.legislation.gov.uk/uksi/1999/2265/contents/made.

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

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



[1] This should not be due to credit attained in other modules. See paragraph 7b for further detail.

Guidance

Estimates of non-completions

11. When HEIFES16 is returned it will not be possible to definitively determine the completion status of most students. This means that colleges will need to make an estimate of the number of non-completions that are likely to occur.

12. Colleges should base their estimates on historical non-completion data from the previous three to five years, with due weight given to more recent figures. Where the non-completion rate used in the return differs significantly from past data, there should be a clear rationale for the change; colleges may be asked for evidence of this during data verification of HEIFES16. We would not expect estimates to be adjusted in line with aspirations or targets.

13. Colleges should ensure that the historical data used to make their estimates of non-completion are not skewed by exceptional circumstances, such as industrial action affecting exams. Colleges should ensure that the completion status of students on the ILR reflects their actual completion status.

14. Colleges should note that non-completion rates will typically vary by course, year of course and mode of study. Colleges should therefore ensure that such variation is accounted for in their estimates, with non-completion rates based on data for equivalent students in previous academic years. For example, non-completion rates for first years of a course are typically higher than later years, and non-completion estimates should reflect this difference. Similarly, non-completion rates for distance-learning courses are often much higher than other provision, and estimates should therefore be based only on other distance-learning courses.

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

16. Colleges should not use previous years' HEIFES estimates as a basis for determining estimates for the current year. If Individualised Learner Record (ILR) data is used, colleges should make adjustments for students whose completion status was unknown (FUNDCOMP = 3) when the ILR data was submitted.

17. Institutions should keep documentation to support their estimates, along with other documentation relating to the return, for a minimum of five years, and may be asked to provide this as part of audit or other data assurance activity.

Special cases

Mode changes

18. If a student formally switches mode from full-time to part-time as defined in paragraph 10 of Annex H, their completion status should be determined with reference to their revised study intentions.

Modules taken in addition to the standard requirements

19. Occasionally, students may study modules as part of a course in addition to the standard requirements for full-time study. In this case, a student who completes the number of modules normally required in the year for full-time study may be treated as a completion for the year of course, even if they fail to complete other modules.

Substituted or retaken modules

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

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

and

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

21. Exceptionally, a student may take a module in two years of course and complete the module for the second year of course within 13 months of the start of the first year of course. In this case the college may count the module in either but not both of the years.

Years of course with no formal assessment

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

Changing study intentions within the year due to accredited prior learning

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

Examples

Example 1: Final assessment retaken within 13 months

24. A standard year of course commences on 29 September 2016. Final assessment for a particular module counted within the year of course takes place in June 2017, with an opportunity to resit or resubmit in September 2016. The student does not take the assessment in June 2017, but does so for the first time at the resit or resubmission opportunity in September 2017. The module is treated as **completed**, because the assessment was taken within 13 calendar months of 29 September 2016, the start of the year of course.

Example 2: Final assessment retaken after 13 months

25. A standard year course commences on 29 September 2016. Final assessment for a particular module counted during the year of course takes place only in June each year. The student does not take the assessment in June 2017 and has not otherwise passed the module, but does take the assessment at the next opportunity in June 2018. The module is treated as **not completed**, because the assessment was not taken within 13 calendar months of 29 September 2016, the start of the year of course. This would be the case whether or not the student had been given permission to defer their assessment for a year.

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

Example 3: Module already passed without taking final assessment

27. A student studies for eight modules during a year of course. They undergo the final assessments in seven modules, but do not undergo the final assessment in one, on the basis that they know that they have already passed the module, based on the marks already achieved in that module. In this case, the student is treated as a **completion**, because they underwent the final assessments in seven modules and passed the remaining module, where it was possible to pass without undergoing the final assessment.

Example 4: Undertaking all final assessments, but failing a module

28. A student studies for eight modules during a year of course. They undergo the final assessments for all modules, but in one module their performance is insufficient to meet the academic standards required to pass that module. In this case, the year of course would be treated as a **completion**, because they underwent the final assessments in all modules.

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

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

Example 6: Substituted modules

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

Example 7: Break in study

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

Example 8: Repeating modules

32. A student on a standard year of course begins a module in October, but withdraws from it after undertaking some activity and before completing the final assessment. The following February (within the same year of course) the student retakes the module and completes it. Providing no additional fee is charged, the first attempt at the module from October would not be reported at all in HEIFES, and should be disregarded in determining the completion status for the year of course.

Example 9: Failure to complete overall study intentions

33. A full-time student on a standard year of course has a clear intention of completing eight modules within the year. One particular module that they start in the first semester is not completed, but the student retakes it in the second semester in place of another one, and completes it. In this case, the year of course would be a **non-completion**, because the student completed only seven modules, rather than their overall study intention of eight.

ILR notes

34. In completing the ILR, it should be noted that some students may still have opportunities after 31 July to undergo the final assessment within 13 months of the start of their year of course. Wherever possible, the college should seek to update its ILR to reflect the latest known completion status of the student. In doing so, colleges will need to have due regard to the Skills Funding Agency's data collection timescales and the need to ensure high-quality returns. We will seek further information from colleges that have high numbers of students with undetermined completion status. Students should be recorded with undetermined completion status only where an opportunity still exists for the student to undergo the final assessment within 13 months. They should not be treated as undetermined completion status simply because the 13 months have not fully elapsed.

Good practice

Estimation of non-completions

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

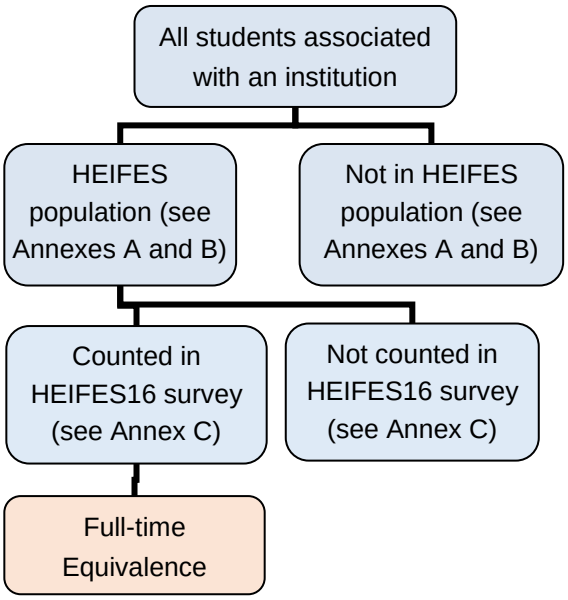
36. Non-completion status should be established in a timely fashion, and the student record system updated to reflect the student's change in status. Often registers are maintained to assist with this. The information obtained from these registers should be used to follow up missing students. Reconciliations should be made with the student record system, to ensure that it is up to date and accurately reflects what is being reported in the registers.

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

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

Annex E: Full-time equivalence for part-time students

This annex explains how full-time equivalence for part-time students should be calculated in HEIFES16. This includes guidance on how to treat students who are exempt from part of a course and full-time students who change mode within a year of course.



Annex E contents

Definitions

- Estimates for flexible part-time study

Examples

Definitions

1. Full-time equivalence (FTE) for part-time students is defined with reference to an equivalent full-time course. The comparison with an equivalent full-time course should be based on the number of years or terms taken to achieve the qualification compared with a student studying full-time. Where such a full-time course does not exist, a reasonable academic judgement of FTE should be made through comparison with other qualifications in similar subjects and at the same level. Where such a judgement is made, the rationale should be recorded for audit purposes. When determining FTE, the number of guided learning hours the student undertakes is irrelevant.

2. Figure E1 shows the FTE per year for most recognised types of higher education courses, depending on the number of years over which the course is taken. It also shows the total FTE for each course. For a part-time course, the FTE summed over the whole course should be equal to that shown in the table below. Where the amount of study in each year is known to be different, the FTE in each year should be adjusted to reflect this but should still sum to the total FTE given below.

3. The FTE for a foundation degree bridging course is 0.3, as defined in Annex C paragraph 19.

Figure E1: Estimates of FTE from duration of course and qualification aim.

Qualification aim	Total	Duration in years									
	FTE	1	2	3	4	5	6	7	8	9	10
Degree	3			1.00	0.75	0.60	0.50	0.43	0.38	0.33	0.30
Foundation degree	2		1.00	0.67	0.50	0.40	0.33	0.29	0.25	0.22	0.20
HND	2		1.00	0.67	0.50	0.40	0.33	0.29	0.25	0.22	0.20
DipHE	2		1.00	0.67	0.50	0.40	0.33	0.29	0.25	0.22	0.20
HNC	1	1.00	0.50	0.33	0.25	0.20	0.17	0.14	0.13	0.11	0.10
CertEd/Level 5 Diploma in Education and Training	1	1.00	0.50	0.33	0.25	0.20	0.17	0.14	0.13	0.11	0.10
Taught masters	1	1.00	0.50	0.33	0.25	0.20	0.17	0.14	0.13	0.11	0.10
HNC to HND top-up	1	1.00	0.50	0.33	0.25	0.20	0.17	0.14	0.13	0.11	0.10

Note: 'HND' = 'Higher National Diploma'; 'DipHE' = 'Diploma of Higher Education'; 'HNC' = 'Higher National Certificate'; 'CertEd' = 'Certificate in Education'.

4. The table above may not be appropriate where the qualification offered differs significantly from the norm for qualifications with that title. Where colleges believe that the FTE should be different from that listed above, they should obtain our agreement before recording it as such and must keep a record of how their figure has been derived. We would not expect the FTE for a part-time degree to be calculated with reference to a four-year programme.

5. Where a student repeats a year or enters the second, or later, year of the course directly, the total FTE returned for that student should be increased or decreased to reflect this (see examples 3 and 4 (paragraphs 16 and 17) in this annex).

6. Writing up is not considered to be 'study' for HEIFES purposes; therefore time spent writing up for part of a year of course should be taken into account and excluded when calculating the student's FTE.

7. Where a student does not complete a year of course, their FTE should not be recorded on HEIFES. This is not consistent with the FTE returned on the ILR student record. When comparing the ILR student record with HEIFES, we will make adjustments to the FTE returned on the ILR to reflect years not completed.

8. Where students change mode during a year of course to become part-time students (see Annex H, paragraph 10), their FTE should be calculated in the usual way, by comparison with the equivalent full-time course.

Estimates for flexible part-time study

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

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

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

12. Colleges should not use previous years' HEIFES estimates as a basis for determining the estimates for the current year. Institutions should be able to demonstrate the validity of their estimates by analysing the FTE for different courses over three to five years. This will help to identify trends, and years where the result is atypical compared with the trend. Where the FTE used differs significantly from past data, there should be a clear rationale for the change; institutions may be asked for evidence of this during data verification of HEIFES16.

Examples

Example 1: Calculating FTE

13. A student studies for a degree over five years. The FTE returned each time the student becomes countable is 0.6; the student becomes countable five times, so the total FTE returned over all years is $5 \times 0.6 = 3$ (returned on more than one year's HEIFES).

Example 2: Calculating FTE where amount of study varies by year

14. A student studies for an HNC over two years, on a course that requires eight modules to be taken, each worth 15 credits. The student studies five modules (worth 75 credits) in the first year and three modules (worth 45 credits) in the second year.

15. The FTE returned would be 75 / 120 = 0.625 in the first year and 45 / 120 = 0.375 in the second.

Example 3: Repeating a year

16. As in Example 1, but the student resits year two. The FTE returned each time the student becomes countable is still 0.6; the student becomes countable six times, so the total FTE returned over all years is $6 \times 0.6 = 3.6$ (returned on more than one year's HEIFES).

Example 4: Student with accredited prior learning

17. As in Example 1, but the student has accredited prior learning and enters directly onto year two. The FTE returned each time the student becomes countable is still 0.6; the student becomes countable four times, so the total FTE returned over all the years is $4 \times 0.6 = 2.4$ (returned on more than one year's HEIFES).

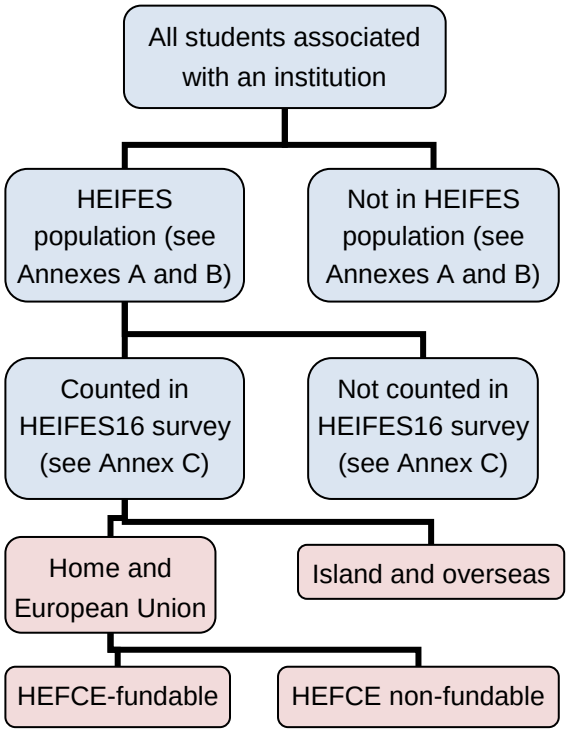
Example 5: Changing from full-time to part-time within the year

18. A student starts off as full-time but changes to part-time in the second term of the year of course, studying at the same rate as a part-time student with an FTE of 0.5 per year of course. They should be returned in the part-time table with an FTE of 0.67. This is made up of 0.33 for the first term and 0.5 ÷ 3 = 0.17 for each of the second and third terms, totalling 0.67 for the year of course.

Annex F: Residential and funding status

This annex provides guidance on identifying the residential and fundability status of a student for the purposes of HEIFES16. It includes guidance on:

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



Annex F contents

Definitions

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

Students aiming for ELQs

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

Examples

Good practice

Definitions

Home and EU students

1. Students are classified as 'Home and EU' if they can be regarded as eligible students as defined in Schedule 1 of the Education (Fees and Awards) (England) Regulations 2007 (SI 2007 No. 779), as amended[4]. These regulations can be found on the website www.legislation.gov.uk by entering the year and number for the statutory instruments in the section 'Search All Legislation'. Students from specified overseas territories may be classified as Home and EU if they meet the criteria set out in these regulations. A list of these overseas territories and countries is available on the HEFCE website at www.hefce.ac.uk/data/collect/heifes/ under 'Frequently asked questions'.

[4] A recent amendment in Statutory Instrument SI 2016 No. 584 introduces a new eligible category applying to students who are not settled in the United Kingdom but have been residing in the UK for a long time.

Where a country accedes to the EU during the year

2. Where a country accedes to the EU during the academic year, years of course for students from that country should be treated as overseas if they commence before the date of accession, and as Home and EU if they commence on or after the date of accession.

Other students treated as EU nationals

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

4. Turkish Cypriots who are recognised by the Government of the Republic of Cyprus as being Cypriot nationals are eligible to be treated as EU nationals irrespective of where they live in Cyprus. Therefore, providing they hold a Republic of Cyprus passport and meet the residency requirements, they are considered as Home and EU students.

5. Students from those countries (Iceland, Liechtenstein and Norway) that are in the European Economic Area but not the EU will only be considered in the same way as Home and EU students if they meet the criteria laid down in the regulations mentioned in paragraph 1 of this annex.

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

Obtaining guidance on fee eligibility

7. Student Finance England provides a student support helpline to provide advice and guidance on the fees and awards regulations (including eligibility). If you are unsure if an individual student meets the eligibility requirements as set out in paragraphs 1 to 6 of this annex, call the student support helpline on 0300 100 0618. If Student Finance England says that the student is eligible, this means that the student is also regarded as 'Home and EU' for HEIFES purposes.

UK-domiciled in Table 5

8. For the purposes of Table 5, UK-domiciled students are those entitled to pay Home and EU fees and whose 'Country of domicile' field on the Individualised Learner Record (ILR) is coded as XF, XG, XH, XI or XK for England, Northern Ireland, Scotland, Wales or UK not otherwise specified, respectively).

Island and overseas students

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

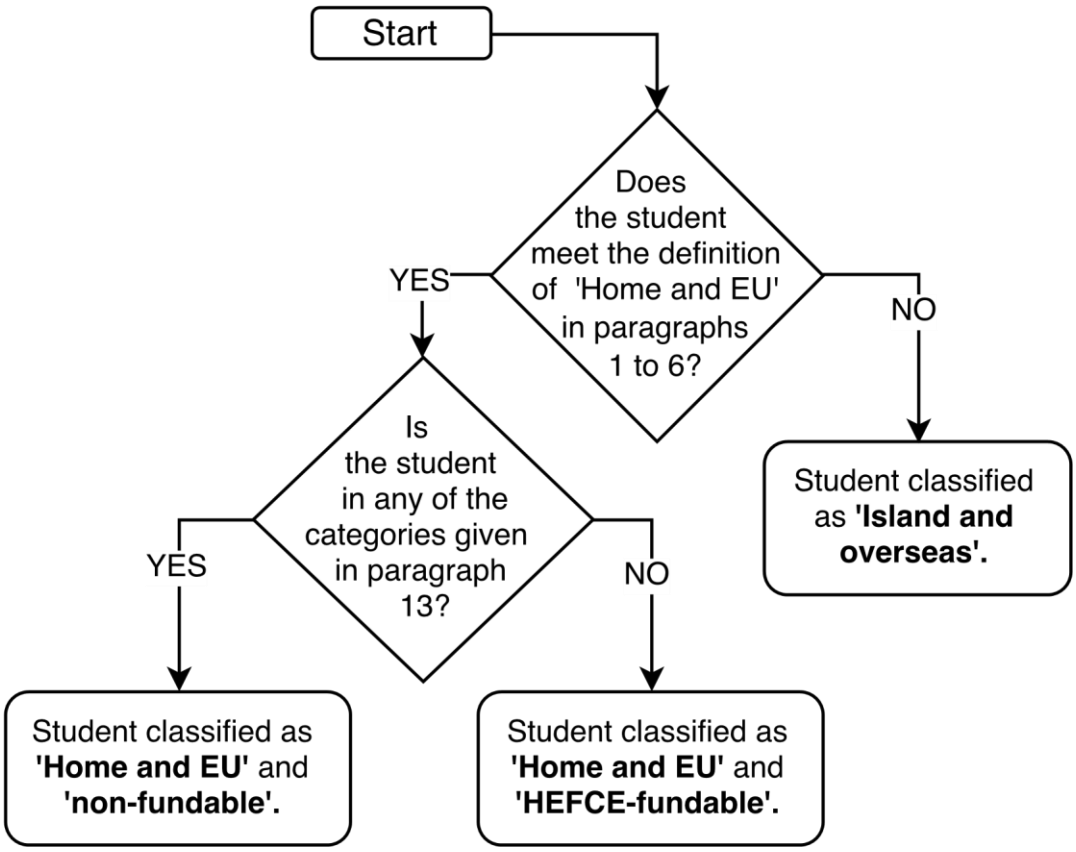
HEFCE-fundable students

10. Home and EU students are eligible to be counted towards HEFCE recurrent funds for teaching (HEFCE-fundable) if they are in the HEIFES population, as defined in Annex A, and do not meet any of the criteria in paragraph 13 of this annex. Island and overseas students are not HEFCE-fundable.

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

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

Figure F1: Classifying students in the HEIFES population



HEFCE non-fundable students

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

a. Postgraduate research students. These are students whose qualification aim is a research-based higher degree, such as a PhD or MPhil. A research degree is a postgraduate programme comprising a research component (including a requirement to produce original work) which is larger than any accompanying taught component when measured by student effort.

b. Students on initial teacher training (ITT) courses leading to qualified teacher status (QTS) or to early years teacher status (EYTS), and all students holding QTS who are on an in-service education and training (INSET) course.

c. Students on pre-registration nursing or midwifery courses, and courses (including postgraduate courses) leading to a recognised professional qualification in dietetics, speech and language therapy, chiropody, podiatry or prosthetics and orthotics.

d. Students on courses provided under a contract with an NHS organisation which lead to professional registration as a dental hygienist, dental therapist, occupational therapist, operating department practitioner, orthoptist, physiotherapist, radiographer or radiotherapist.

e. Students on courses commissioned and funded by an NHS organisation, where the tuition fee charged to the student is zero because an NHS organisation is meeting the tuition costs of the course. A course is commissioned by an NHS organisation if there is a contractual agreement with it that the institution will provide a certain number of places on the course. Other students on the same course who are not funded by an NHS organisation should be returned as fundable where they meet all other relevant criteria.

f. Postgraduate students on a course, other than an ITT course, funded by another EU public source, where the tuition fee charged to the student is zero because that source is meeting the tuition costs.

g. Students on closed courses. These are courses that are not generally available to any suitably qualified candidate, but only to employees of particular companies or organisations that are meeting the costs of students' studies. This being the case, few students on such courses will be claiming student support. Closed courses will not commonly be marketed or advertised in general prospectuses or in course searches on an institution's main website, because enrolment on them is not open to the general public. The content of such courses will also commonly be tailored towards the needs of the employers concerned. Higher education qualifications taken as part of an apprenticeship should not be treated as closed courses.

h. Students who are aiming for an ELQ, unless they are exempt from the ELQ policy as defined in paragraphs 14 to 30 of this annex.

Students aiming for ELQs

14. An ELQ is a qualification that is no higher than one that a given student has already achieved. The two key considerations in determining if a student is aiming for an ELQ are: the academic levels of the qualifications already awarded to the student; and the academic levels of the qualifications that the student has stated they are aiming for.

15. If the qualifications already achieved are not known, the student should be treated as if aiming for an ELQ.

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

Identifying entry qualifications through other sources

17. Colleges should take reasonable steps to test the accuracy of the entry qualifications reported by their students, taking into account the availability of other sources of information such as data from UCAS, the Learning Records Service, the Student Loans Company, application forms and students' certificates. This does not require a college to test the qualifications achieved by all its students. For many students, the data provided by UCAS through the awarding body linking (often referred to as ABL) will be sufficient. However, this will not apply in some cases, such as students who

achieved Level 3 qualifications some time ago, or whose qualification types are not included. In these circumstances we expect colleges to verify entry qualifications using the Learning Records Service. Otherwise, colleges should use a random sample to test the overall accuracy of their entry qualifications data, plus selective samples where doubts exist about the entry qualifications reported by individual students, or where there is a higher possibility that the student is aiming for an ELQ.

Students with multiple stated qualification aims

18. As explained in Annex I, where students currently have multiple higher education qualification aims stated as part of the same course, they should be recorded against the lower aim. Where the student's currently stated qualification aim for that course is at a higher level than their highest existing higher education (HE) qualification, then the year of course should not be treated as an ELQ, even where a given year is at the same or lower level than a qualification already achieved.

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

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

Students exempt from ELQ policy for HEFCE funding purposes

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

a. They receive the Disabled Students' Allowance (DSA) for at least some of their year of course reported in the HEIFES return. Colleges should make estimates for HEIFES purposes of the numbers of students whose receipt of the DSA for the year of course will be confirmed after 1 November 2016.

b. They have stated that their qualification aim is a foundation degree.

c. They are on a course of initial or in-service teacher training (in any mode or level of study). In-service teacher training courses are defined as courses whose primary (but not necessarily only) purpose is to improve the effectiveness of teachers, lecturers or trainers.

d. They are on a year of course (in any mode or level of study) for which an NHS bursary is payable. More information on NHS bursaries can be found at www.hefce.ac.uk/data/collect/heifes/ under 'Frequently asked questions'.

e. They are on an undergraduate course (in any mode of study) which leads to a first registrable qualification with one of the following.

i. General Medical Council.

ii. General Dental Council.

iii. Nursing and Midwifery Council.

iv. Health and Care Professions Council for the professions of:

- chiropodist or podiatrist
- dietician
- occupational therapist
- orthoptist
- paramedic
- physiotherapist
- prosthetist or orthotist
- radiographer
- social worker
- speech and language therapist.

v. Scottish Social Services Council.

vi. Care Council for Wales.

vii. Northern Ireland Social Care Council.

viii. Royal College of Veterinary Surgeons.

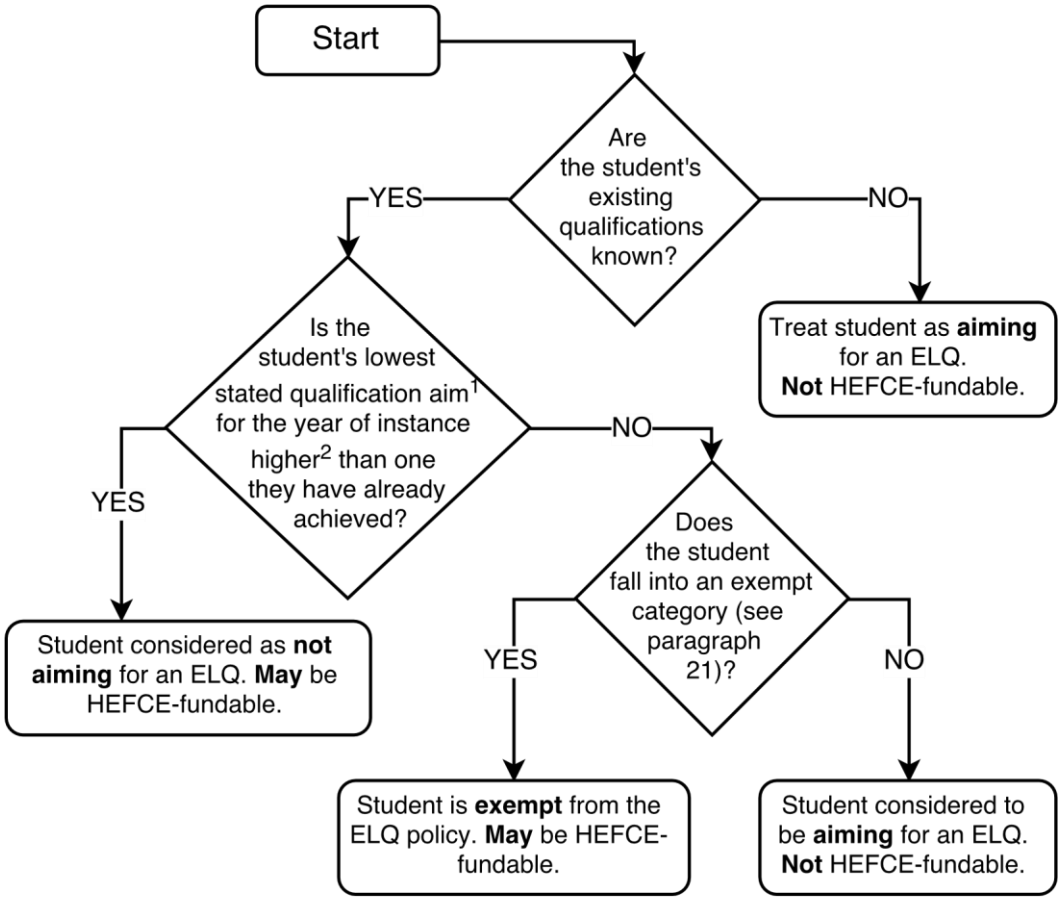
f. They are on an undergraduate course (in any mode of study) whose primary (but not necessarily only) purpose is to improve the effectiveness of practitioners registered with one of the professional bodies listed in sub-paragraph 21e. In the case of the Health and Care Professions Council, this must additionally relate to practitioners in the professions listed in sub-paragraph 21e.iv.

g. They are on an undergraduate course (in any mode of study) which leads to a professional qualification that has been professionally validated by the National Youth Agency or the Youth Council for Northern Ireland. These are courses leading to qualification to practise as a youth and community worker.

h. They are on an undergraduate course (in any mode of study) whose primary (but not necessarily only) purpose is to improve the effectiveness of professionally qualified youth and community workers.

i. They are on a full-time course (for student support purposes) which leads towards registration with the Architects Registration Board.

Figure F2: Establishing ELQ status



[1] See Annex I, paragraph 3.
[2] See paragraph 22.

Determining level of qualification

22. It is not possible for HEFCE to provide a full hierarchical list of the qualifications that are awarded in the UK, or indeed elsewhere. In most cases, whether or not a student will be aiming for an ELQ will be clear. However, in a minority of cases, institutions will need to make a reasonable academic judgement about whether or not a student's qualification aim is at a higher level than their highest existing qualification achieved. Institutions should bear in mind the guidance in paragraphs 23 to 34 of this annex.

Frameworks for Higher Education qualifications of UK Degree-Awarding Bodies

23. From August 2016, the Framework for Higher Education Qualifications in England, Wales and Northern Ireland (FHEQ) and the Framework for Qualifications of Higher Education in Scotland (FQHEIS) are combined into a single publication, 'The Frameworks for Higher Education Qualification of UK Degree-Awarding Bodies' (available at www.qaa.ac.uk/assuring-standards-and-quality/the-quality-code/qualifications). These frameworks should generally be used to determine a basic hierarchy of qualifications, and any revisions should be reflected as they are introduced. Further guidance on the use of the frameworks is provided below.

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

a. Within Level 7 on the FHEQ, it may be appropriate to consider a masters qualification to be at a higher level than a postgraduate diploma, which in turn may be at a higher level than a postgraduate certificate. However, this may not apply in all cases and will depend on the nomenclature adopted by different awarding bodies.

b. Within Level 6 on the FHEQ, it will normally be appropriate to consider a bachelors degree with honours to be at a higher level than a bachelors degree without honours.

c. Within Level 5 on the FHEQ, it will normally be appropriate to consider a foundation degree bridging course (which gives access to the final year of an honours degree) to be at a higher level than a foundation degree.

25. For a student who already holds an honours degree, their classification in HEIFES as either undergraduate or postgraduate should not in itself determine whether or not they are aiming for an ELQ. The ELQ policy is about the academic level of qualifications, so the level of the final qualification for which the student is aiming will determine their ELQ status. By contrast, whether or not a student is recorded as postgraduate in HEIFES is determined by whether or not a degree is a normal condition of entry to their course, and does not necessarily indicate the academic level of their study or final qualification aim. In particular, the following considerations will apply to any student whose highest qualification already achieved is an honours degree:

a. Where they are undertaking a graduate conversion course, they should be recorded as a postgraduate student, but also considered as aiming for an ELQ. In this context, a graduate conversion course is one for which a normal condition of entry is an honours degree, but whose academic level is no higher than Level 6 on the FHEQ. Some such courses may be designed to enable access to postgraduate courses for those whose first degree was in a different subject area.

b. Where they are undertaking an integrated masters programme (such as a four-year Master of Engineering (MEng), Master of Physics (MPhys) or Master of Chemistry (MChem)), they should be recorded at undergraduate level in HEIFES, because a degree is not a normal entry requirement for such study. However, with the exception of the Master of Pharmacy (MPharm) (see paragraph 27), they should not be treated as aiming for an ELQ, because the academic level of the final qualification of the integrated masters programme is at Level 7 on the FHEQ. This also means that (again with the exception of students who hold an MPharm) a student who holds an integrated masters qualification and who wishes to enrol on a taught postgraduate masters qualification (such as a Master of Arts (MA) or Master of Business Administration (MBA)) should be treated as aiming for an ELQ.

26. As is stated in the Frameworks, MAs granted by the Universities of Oxford and Cambridge are not academic qualifications. Students holding such awards should be treated as holding Level 6 qualifications on the FHEQ (reflecting also if these qualifications are degrees with honours for the purpose of the guidance at sub-paragraph 24b of this annex). A number of universities in Scotland also have a tradition of awarding MAs as opposed to Bachelors of Art (BAs) at undergraduate degree level. These should also be treated in the same way as bachelors degrees, reflecting also whether they are with honours.

Exceptions to the framework for higher education qualifications

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

a. A student whose highest qualification already achieved is a bachelors degree with honours and who is studying for an MPharm should be treated as aiming for an ELQ.

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

28. All postgraduate initial teacher training courses, such as PGCEs (whether Postgraduate Certificates in Education or Professional Graduate Certificates in Education) should be treated, for the purpose of the ELQ policy only, as being equivalent to Level 6. This means that a student whose highest qualification already achieved is a PGCE, and who has no other postgraduate qualification, would not be treated as aiming for an ELQ if they enrolled on a postgraduate masters qualification. Students aiming for a PGCE of either type are exempt from the ELQ policy, as explained in sub-paragraph 21c of this annex.

Professional qualifications and qualifications awarded abroad

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

30. There may be cases where UK NARIC advises, for example, that the academic level of a degree awarded in another country is below that of a degree in the UK. In such a case, it is acceptable to treat a student whose highest HE qualification is a degree from that country, and who is studying for a degree in the UK, as not aiming for an ELQ. Other sources of information that may help in determining the academic level of qualifications are identified at www.hefce.ac.uk/data/collect/heifes/ under ‘Frequently asked questions’.

Reviewing ELQ status

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

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

In general, and subject to the guidance in sub-paragraph 21a, we would not expect institutions to change the ELQ status of their students within a year of course.

Relationship of HEFCE policy on ELQs to fee regulations

32. The Student Fees (Qualifying Courses and Persons) (England) Regulations (statutory instrument 2007 No. 778, as amended in particular by statutory instrument 2008 No. 1640 for the ELQ policy) define which categories of students and courses are covered by the regulated undergraduate fee regime – that is, those for whom institutions cannot charge a fee that exceeds prescribed limits, including the limits stated in their access agreement with the Office for Fair Access.

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

34. There are some differences in the treatment of students between if they may be recorded as HEFCE-fundable following the guidance in HEIFES; and whether or not they are liable to regulated tuition fees or are eligible for student support. In particular, there will be cases where a student can be treated as exempt from the ELQ policy for HEFCE funding purposes, but where they are not covered by the Student Fees (Qualifying Courses and Persons) Regulations – thus they can, if the institution chooses, be charged a non-regulated tuition fee. We do not, however, expect there to be cases where a student is non-fundable by HEFCE because of their ELQ status, but where the institution is still restricted to charging a regulated tuition fee. Any questions about these statutory instruments should be raised with the Student Finance England helpline on 0300 100 0618

Examples

Example 1: Student aiming for both HND and degree

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

Example 2: Student acquiring undergraduate certificate (not a stated aim)

36. A student aiming for a first degree has a higher national certificate (HNC) as their highest existing HE qualification. The student will be awarded an undergraduate certificate if they successfully complete their first year, but this is not a stated aim. The student should not be treated as aiming for an ELQ for any of their years of course (including the first), because the undergraduate certificate that they will acquire is not a stated qualification aim.

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

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

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

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

Example 5: Student who acquires ELQ status part way through a course

39. A student with no previous HE qualifications is concurrently aiming for a first degree and a part-time two-year HNC. The student completes the degree mid-way through the first year of the HNC. In this example, the student should not be treated as aiming for an ELQ for the first year of the HNC. However, the student should be treated as aiming for an ELQ in their second year of course for the HNC, because their ELQ status should be reviewed annually to take account of any newly achieved HE qualifications.

Good practice

Collecting qualification data from students

40. Colleges should ensure that their data protection notices allow them, the Government or their respective agents to check the accuracy of personal information provided by students against external data sources, including the Student Loans Company and Learning Records Service. For example, they should permit the college to test if the student has been reported on earlier Higher Education Statistics Agency

(HESA) or ILR returns of other institutions, and to contact these other institutions to confirm any qualifications obtained.

Keeping records of how students aiming for ELQs have been identified

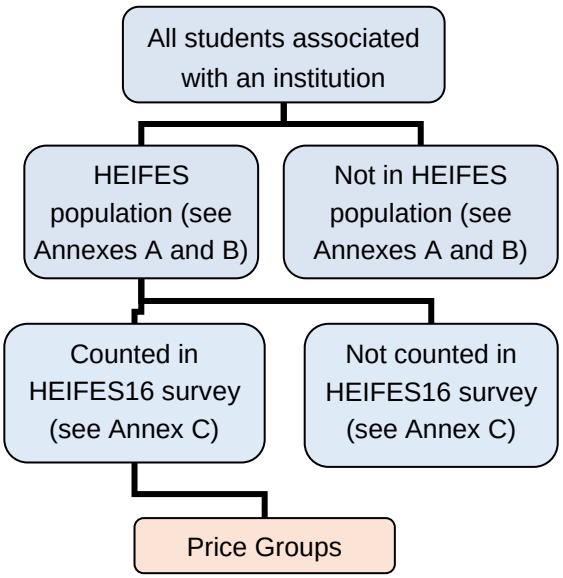
41. In all cases, colleges should keep records for audit purposes of how they are identifying students as aiming for an ELQ. This should set out the broad approach adopted by the college. Where there may be uncertainty as to if an individual student is aiming for an ELQ, the college should also keep a record of how it has determined their ELQ status.

Recording of non-exempt students aiming for an ELQ

42. Home and EU students aiming for an ELQ and not covered by an exemption should be clearly identified on the student record system, and returned in the 'non-fundable' columns.

Annex G: Price groups

This annex explains how years of course should be mapped to price groups for the purposes of HEIFES16, including guidance on the special cases of education and sandwich years out.



Annex G contents

Tables showing relationship of LDCS codes to price groups

Special cases

- Sandwich years out
- ITT, INSET and other education students

Examples

Tables showing relationship of LDCS codes to price groups

1. Student activity is assigned to price groups using the mapping between Learning Directory Classification System (LDCS) codes and price groups shown in Tables G1 and G2 below. The Skills Funding Agency's learning aims search facility on the Information Management Hub (https://hub.imservices.org.uk/Learning Aims/Pages/default.aspx) returns up to three LDCS codes under the 'Other information' tab 'Shared information' section for each learning aim.

2. Some qualifications contain study in two distinct subject areas, for example a chemistry and business course. Where the qualification has more than one LDCS code on the 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.

3. If there is no LDCS code for a particular course, or the college thinks that the wrong LDCS code has been assigned, the college should email heifes@hefce.ac.uk as soon as possible (ideally as soon as the course has been added to the Hub). Colleges should provide us with:

- the learning aim reference
- the learning aim title
- the awarding body
- the LDCS codes as displayed on the learning aims search (where present)
- up to three main subject areas of the course in question.

A full list of LDCS codes and associated subject descriptions is available at www.hefce.ac.uk/data/collect/HEIFES/ under 'Frequently asked questions'.

4. 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 G1 and G2, 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. Alternatively the Course table in the HEIFES workbook can be used to look up a price group or groups by entering the learning aim reference for a course.

Table G1: Sorted by LDCS code

LDCS codes (including all sub-levels of the hierarchy)	Price group(s)
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*	C2 or 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

LDCS codes (including all sub-levels of the hierarchy)	Price group(s)
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
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

* LDCS code G (education) can, depending on the course, be in either price group C2 or D (see paragraphs 6 to 9 of this annex).

Table G2: Sorted by price group

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, G*, 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

* LDCS code G (education) can, depending on the course, be in either price group C2 or D (see paragraphs 6 to 9 of this annex).

Special cases

Sandwich years out

5. Regardless of the LDCS code of the course, students on a sandwich year out should be recorded in price group C2.

ITT, INSET and other education students

6. Students on initial teacher training (ITT) courses, whether or not leading to qualified teacher status (recognised), qualified teacher learning and skills (QTLS), or early years teacher status (EYTS), should be entirely attributed to price group C2, irrespective of the subject of their qualification aim. All home and European Union (EU) students on ITT courses leading to QTS or EYTS should be reported as non-fundable.

7. INSET courses are defined as courses whose primary (but not necessarily only) purpose is to improve the effectiveness of teachers, lecturers or trainers. Students who do not hold QTS, QTLS or EYTS but are studying for an ITT qualification via an INSET course should be recorded in price group C2. Other students on INSET courses should be attributed to a price group according to the subject of qualification aim. Home and EU students holding or aiming for QTS on INSET courses should be returned as non-fundable.

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

9. All other activity with LDCS code G should be returned in price group D.

Examples

Example 1: Identifying price group from LDCS code

10. Two students studying for different undergraduate degrees have respective LDCS codes of FN.12 and FN.213.

a. FN.213 is a sub-level of FN.2 (and so also a sub-level of F). Table L1 shows that this will be returned as price group D.

b. FN.12 is a sub-level of FN.1, which is shown in Table L1 as an exception to F. This means that it will be returned as price group C2.

11. The table below shows the structure for these LDCS codes, with a description for each sub-level and the appropriate price group.

LDCS code 1	LDCS code 1 description	Price group 1	LDCS code 2	LDCS code 2 description	Price group 2
F	Area studies / cultural studies / languages / literature	C2	F	Area studies / cultural studies / languages / literature	C2
FN	Languages	C2	FN	Languages	C2
FN.1	Language studies	C2	FN.2	English language	D
FN.12	Modern languages	C2	FN.21	English language of specific periods	D
			FN.213	Middle English	D

Example 2: Split price groups

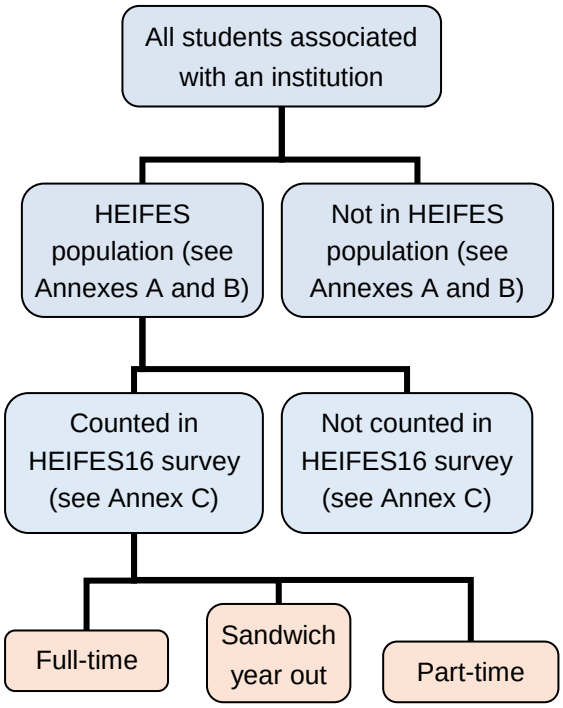
12. A student is studying for an undergraduate degree in fine art and history of art. When entered into the learning aims search, this returns two LDCS codes which correspond to different price groups:

- JA.3 (fine art) – price group C1
- JA.331 (art history) – price group D.

13. For this course, the fine art component consists of 60 per cent of the course, with art history comprising the remaining 40 per cent. On the HEIFES return, the student should be split with 0.6 FTE in price group C1 and 0.4 in price group D.

Annex H: Mode of study

This annex explains how to determine for the purposes of HEIFES16 the mode of study for a year of course (full-time, sandwich year out or part-time), including guidance on how to treat learning in the workplace and work experience when determining mode of study. In general, all students on a given course with a broadly similar pattern of activity, for a given year of course, should be recorded as having the same mode.



Annex H contents

Full-time

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

Sandwich year out

Part-time

Additional guidance on mode of study

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

Examples

Full-time

1. A year of course is counted as full-time if it meets **all** of the following criteria:

   a. The student is normally required to attend the college, or elsewhere, for periods amounting to at least 24 weeks within the year of course, and during that time they are expected to undertake periods of study, tuition, learning in the workplace or sandwich work placement that does not meet the criteria to be sandwich year out, which amount to an average of at least 21 hours per week. (Guided learning hours should not be used in isolation to determine how many hours each week a student spends studying. All guided learning hours count towards this total, but it is expected that higher education students will spend a significant amount of time each week in self-led individual learning, and an estimate of this time should also be included.)

   b. Full-time fees are chargeable for the course for the year. Exceptionally, all or part of the fee may be waived for individual students based on their particular personal rather than course-related circumstances. This does not include cases

where fees are reduced because students are studying less intensively than is normally expected for a full-time student. It should not be waived for all students on a course, and the criteria that determine if fees may be waived should not be tantamount to waiving them for all students.

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

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

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

Accredited prior learning

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

Sandwich year out

5. A year of course is counted as a 'sandwich year out' if the course includes a period of work-based experience and meets the following criteria.

a. The course falls within the definition of a 'sandwich' course in Regulation 2 (10) of the Education (Student Support) Regulations 2011 (SI 2011 No. 1986), as amended or the year of course is an Erasmus+ year abroad spent working.

b. It is a year of course

i. During which any periods of full-time study are in aggregate less than 10 weeks; or

ii. For which, in respect of that year of course and any previous year(s) of course, the aggregate of any one or more periods of attendance which are not periods of full-time study (disregarding intervening vacations) exceeds 30 weeks.

c. A reduced fee is chargeable for the course for the year, compared with what would be chargeable if the student were studying full-time in the year.

6. Students spending a full year abroad working, including under the Erasmus scheme, should be returned as sandwich year out. This includes students under the British Council's Language Assistants scheme.

Part-time

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

Additional guidance on mode of study

8. In some cases a student's mode of study changes between years. For example, the mode of a student on a full-time 18-month course would change from full-time in year one to part-time in year two, if the second year does not have 24 weeks of study.

Students only active for part of a year

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

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

10. Where full-time students change mode within a year of course to become part-time, the year of course should be recorded as part-time only. This applies only when the student continues to study actively on their year of course, where there is a formal process for agreeing the change in mode, including confirmation by the student and a recalculation of their tuition fee to reflect their part-time status. It may also result in the student losing entitlement to full-time student support. Their full-time equivalence should be calculated in the usual way, by comparison with the equivalent full-time course.

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

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

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

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

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

Examples

Example 1: Student intermitting their studies

14. A student intends to study full-time in 2016-17 for the second year of their course. They complete all modules in term one, but then intermit their studies for a year. They return to full-time study in term two of 2017-18 and complete all remaining modules.

a. For 2016-17, the student would have a full-time mode of study for the year of course, though they would be considered a non-completion.

b. For 2017-18, the student would have a part-time mode of study for the year of course, as they would not meet the criteria given in paragraph 1a.

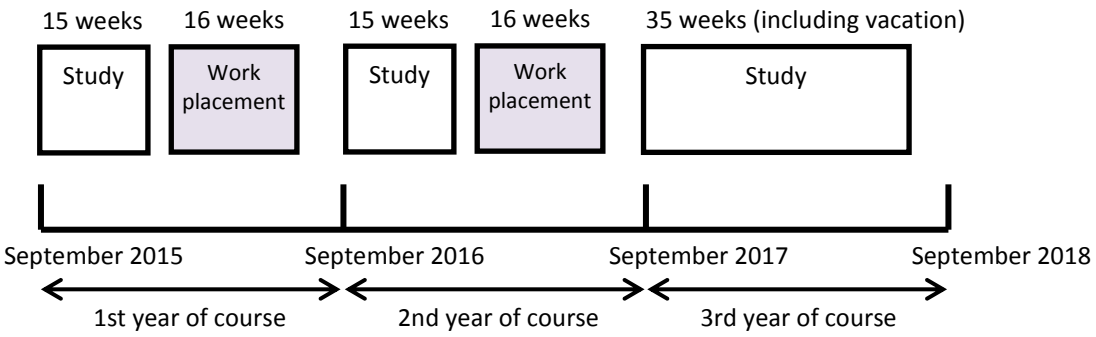
Example 2: Student on the final year of a full-time course

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

Example 3: Student repeating part of the year

16. A student is studying full-time in 2015-16, but fails three modules. In 2016-17 the student repeats these modules on a part-time basis, studying for an average of seven hours per week. The student is still eligible to claim full-time student support. As the year of course would not meet the criteria given in paragraph 1a, the student would have a part-time mode of study for the year.

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



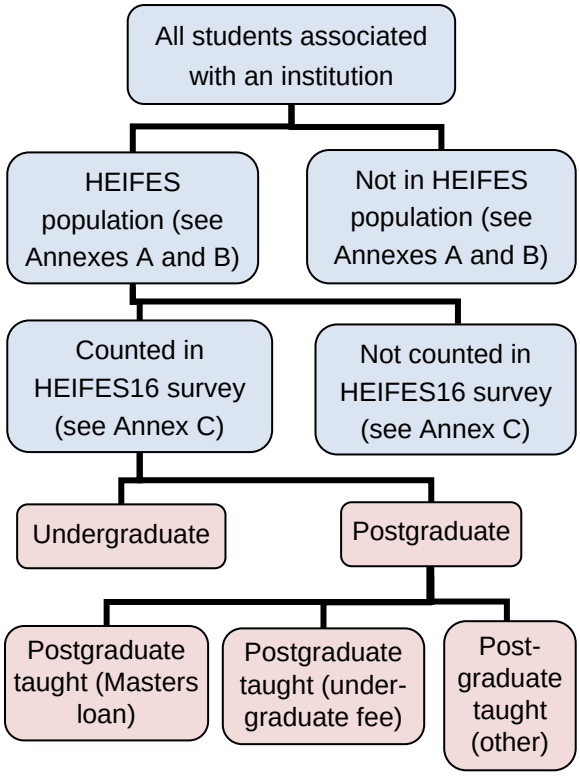
17. A student studies for a HNC over three years. This includes two periods of work placement, taken in the first and second years of the course.

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

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

Annex I: Level of study

This annex explains how to determine a student's level of study (undergraduate or postgraduate) for the purposes of HEIFES16. It also explains how the undergraduate data on Table 5 is split.



Annex I contents

Undergraduate (UG)

Postgraduate

- Postgraduate (undergraduate fee) (PG (UG fee))
- postgraduate taught (Masters loan) (PGT (Masters loan))
- postgraduate taught (other) (PGT (Other))
- Examples

Further information

Undergraduate (UG)

1. Undergraduates are students studying towards a first degree (including foundation degree), foundation degree bridging course, Higher National Diploma (HND), Higher National Certificate (HNC), Diploma of Higher Education (DipHE), Certificate in Education (CertEd) or Diploma for Teaching in the Lifelong Learning Sector (DTLLS) or Level 5 Diploma in Education and Training.

2. The undergraduate data in Table 5 is split between:

- students on HND courses
- students on sub-degree level courses excluding HND (those aiming for a HNC, DipHE, CertEd, DTLLS or Level 5 Diploma in Education and Training)
- students on foundation degree courses
- students on other undergraduate degrees (excluding foundation degrees but including foundation degree bridging courses).

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

Postgraduate

4. Postgraduate students are registered for courses 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 the Framework for Higher Education Qualifications in England, Wales and Northern Ireland, published by the Quality Assurance Agency for Higher Education.

5. Postgraduates include those on graduate conversion courses and all on postgraduate initial teacher training courses such as Postgraduate or Professional Graduate Certificates in Education (PGCEs).

Postgraduate (undergraduate fee) (PG (UG fee))

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

Postgraduate (Masters loan) (PG (Masters Loan))

7. Inclusion in this category is dependent on the eligibility of the course, rather than the student's own characteristics. The PG (Masters Loan) category applies only to postgraduate students on courses that are designated under Regulation 4 of The Education (Postgraduate Master's Degree Loans) Regulations 2016 (Statutory Instrument 2016/606)[5]. In particular, this applies to courses that are one of the following:

   a. A full-time course of one or two academic year's duration.

   b. A part-time course which it is ordinarily possible to complete in no more than twice the period ordinarily required to complete its one or two academic year full-time equivalent.

   c. A part-time course that does not have a full-time equivalent and which it is ordinarily possible to complete in up to three academic years.

8. Masters loans are available only where the student is undertaking a full stand-alone masters course, not a partial masters course requiring a lesser number of credits, be that as a result of either the student's previous study or their experience[6]. Therefore, students who are topping up to a masters qualification from another postgraduate qualification, such as a diploma or certificate, should not be recorded against this category. Because assignment to this category is not dependent on the characteristics of the student, it includes those who are not personally eligible for a masters loan because of, for example:

   a. Their age.

   b. Their nationality or domicile.

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[5] Available from www.legislation.gov.uk/uksi/2016/606/contents/made.
[6] See the section on 'Previous study' on page 13 of the guidance on postgraduate loans for masters courses at: www.practitioners.slc.co.uk/media/7715/pgl-masters-guidance.pdf.

c. Their status as a student aiming for an equivalent or lower qualification (ELQ).

d. Their having started their course prior to 1 August 2016.

e. Any intention they may have to take longer to complete a part-time course than the definition of designated courses allows as being 'ordinarily possible'.

Postgraduate (Other) (PG (Other))

9. PG students who do not fall under the previous two categories should be recorded as PG (Other).

Examples

Example 1: Student topping up to a masters qualification from another postgraduate qualification

10. A student registers for a 60-credit postgraduate certificate (PGCert). Upon successful completion of the PGCert, they then register for a 120-credit postgraduate diploma (PGDip), for which the 60-credit PGCert counts towards the PGDip credit requirement. Upon successful completion of the PGDip, they then register for a 180-credit masters, for which the 120-credit PGDip already counts towards the masters credit requirement.

11. In this case the student would be recorded as PG (Other) throughout their studies. This is because while studying for the PGCert and PGDip, they are not explicitly studying for a masters; and when they do finally register for a masters, they are using PG credit previously achieved to top up.

Example 2: Student registering for a masters, but instead completing a PGDip

12. A student registers for a 180-credit masters, with no previously achieved credit being used to count towards it. They do not complete the full course, but complete sufficient to be awarded a 120-credit PGDip.

13. The student would be recorded as PG (Masters loan), because they are aiming for a full PGT masters qualification. They may or may not be reported as a non-completion in HESES, depending on how they complete their year(s) of instance.

Example 3: Student awarded an intermediate qualification

14. A student registers for a 180-credit masters, with no previously achieved credit being used to count towards it, and while continuing to study towards it they are awarded an intermediate qualification (of a PGCert or PGDip).

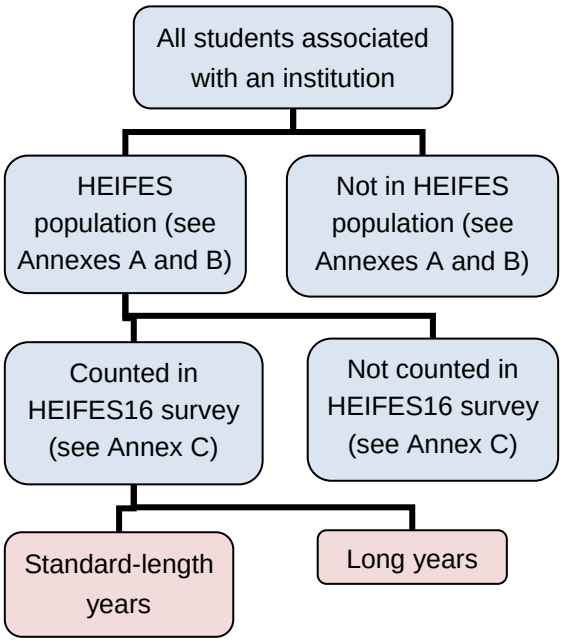
15. They will continue to be reported as PG (Masters loan), even after being awarded the intermediate qualification, because they are continuing on the same masters course. However, if the intermediate qualification was awarded because the student formally withdrew from the masters course at that point, and the student then returned (perhaps after a break) to register afresh to top up the intermediate qualification to a masters, they would reported as PG (Other) for the top-up study.

Further information

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

Annex J: Long years of course

This annex explains how to determine if a full-time or part-time year of course should be classed as 'long' for the purposes of HEIFES16. It also contains guidance on how to treat learning in the workplace and work experience when determining the length of a year of course, as well as examples of how to treat mixed-length courses.



Annex J contents

Definitions

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

Examples

Definitions

Full-time long years of course

1. For full-time courses, students will be classified as being on 'long' years of course if students are normally required to attend for 45 weeks or more within that year of course.

2. When determining length, students are deemed to be attending the college if they are actively pursuing full-time studies towards the qualification. Years of course that are not long are referred to as standard-length.

3. If the year of course is 45 weeks or more in length because of a period of work-based study, then the year of course is not counted as long. This applies to both learning in the workplace and work experience. Sandwich years out cannot therefore be recorded as long, nor would we generally expect foundation degrees to be recorded as long.

4. For undergraduate students, long years of course typically occur in accelerated courses where the qualification is achieved in a much shorter time than normal. The number of credit points studied in the year is not a criterion in defining a long year of course.

5. For postgraduate students, most long years of course will be for higher degrees.

Part-time long years of course

6. For part-time courses, the distinction will depend on the length of each year for an equivalent full-time course. The number of weeks attended within the year of course for part-time students is irrelevant in determining if the year of course is long. The equivalent full-time course used should be the same as that used in calculating the full-time equivalence (FTE) (see paragraphs 1 and 2 of Annex E).

7. If an equivalent full-time course does not exist, the method for determining if a part-time year of course is long should be consistent with the approach taken to determine the FTE, following the guidance in paragraph 1 of Annex E. The rationale for such a judgement should be recorded for audit purposes.

Mixed-length courses

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

   a. The FTE over the entire part-time course should be identical to that of the full-time course.

   b. The proportion of the FTE recorded as long should be the same on both the full-time and part-time courses.

Examples

Example 1: Foundation degree with work-based study

9. A full-time student on a foundation degree studies for 47 weeks in the year of course, 10 of which are work-based study. The year of course is not counted as long, because without the work-based study the number of weeks studied within the year of course is 37.

10. Similarly, a full-time student on a foundation degree studies for 47 weeks in the year of course entirely in the workplace. The year of course is not counted as long.

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

11. A full-time, one-year course has a 30-week year of course; the equivalent part-time course lasts for two years, each with a 45-week year of course. The part-time course would not be long.

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

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

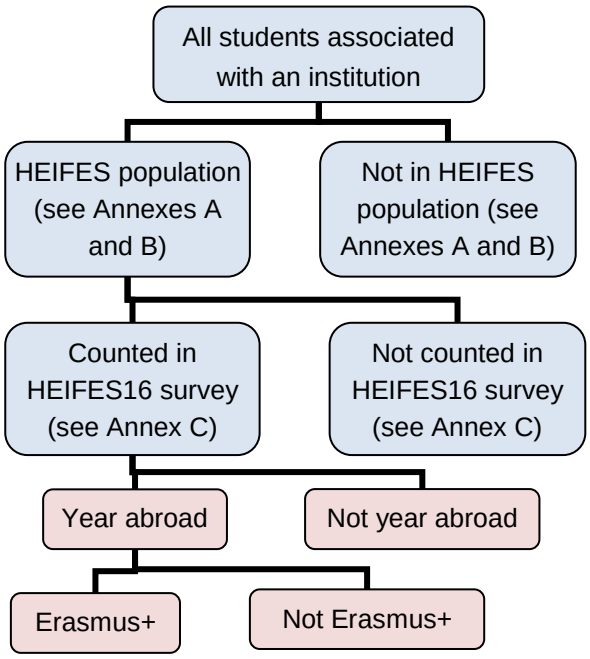
13. A student completes a two-year, full-time foundation degree, then chooses to undertake a foundation degree bridging course over the summer in order to enrol full-time on the third year of an honours degree. In this case, both years of the foundation degree and the third year of the honours degree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

Example 4: Length of a part-time course where the full-time equivalent has long and standard-length years.

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

Annex K: Year abroad categories in Table 4

This annex provides guidance on how to assign years of instance to the appropriate category of year abroad in Table 4 of HEIFES16.



Annex K contents

Year abroad

Erasmus+

Examples

1. Table 4 collects information about a subset of Home and European Union (EU) undergraduate students included in Columns 1 and 2 of Tables 1 and 2: those undergraduates taking a year abroad in 2015-16 as part of their course.

2. We will use the information on Table 4 to determine allocations of funding for 2016-17 to support colleges' participation in Erasmus+ and other higher education student mobility programmes.

Year abroad

3. A full-time year of course is a year abroad if it is provided in conjunction with an overseas educational institution and:

   a. During which any periods of full-time study at the institution in the United Kingdom are in aggregate less than 10 weeks

   or

   b. For which, in respect of that academic year and any previous academic year(s) of the course the aggregate of any one or more periods of attendance which are not periods of full-time study at the institution in the United Kingdom (disregarding intervening vacations) exceeds 30 weeks.

4. A 'sandwich year' of course is a year abroad if it meets the definition of a sandwich year out and to which one of the following applies:

   a. All periods of attendance that are not full-time study are spent outside the United Kingdom.

   b. At least one period of attendance in the year of course that is not full-time study is taken under the Erasmus+ programme.

5. Some years abroad may comprise a combination of work experience and full-time study at an institution outside the United Kingdom. Where the period of work experience is not sufficient for the year of course to meet the definition of sandwich year out, it should be categorised as a full-time year abroad.

Erasmus+

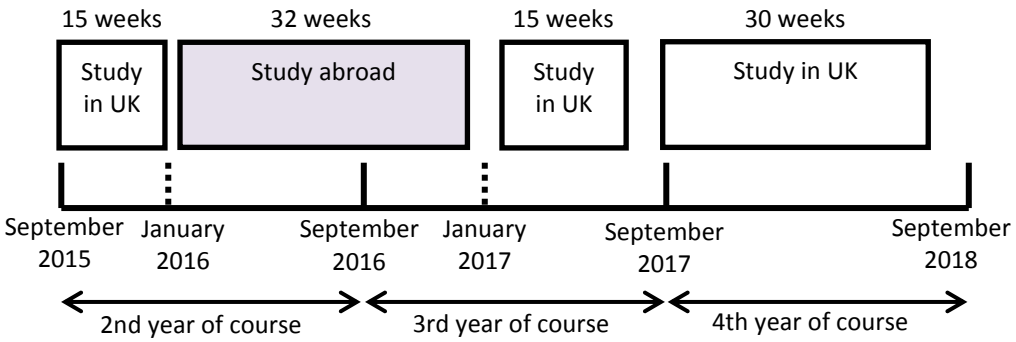
6. Years abroad are split between those taken under the Erasmus+ programme and other years abroad[7]. An Erasmus+ year abroad is an Erasmus year as defined in 'The Education (Student Support and European University Institute) (Amendment) Regulations 2013', SI 2013/1728, Regulation 4(b)[8]. If a year abroad comprises more than one period of study or work placement abroad, not all of which are taken under the Erasmus+ programme, the year of course should be recorded as follows:

a. As an Erasmus+ year abroad if at least one study or work placement is taken under the Erasmus+ programme during the current year of course.

b. As a non-Erasmus+ year abroad otherwise. This may include cases where an Erasmus+ study or work placement, which counts towards categorising the current year of course as a year abroad, was taken in a previous year of course, but not in the current one.

Examples

Example 1: Student spending a calendar year abroad



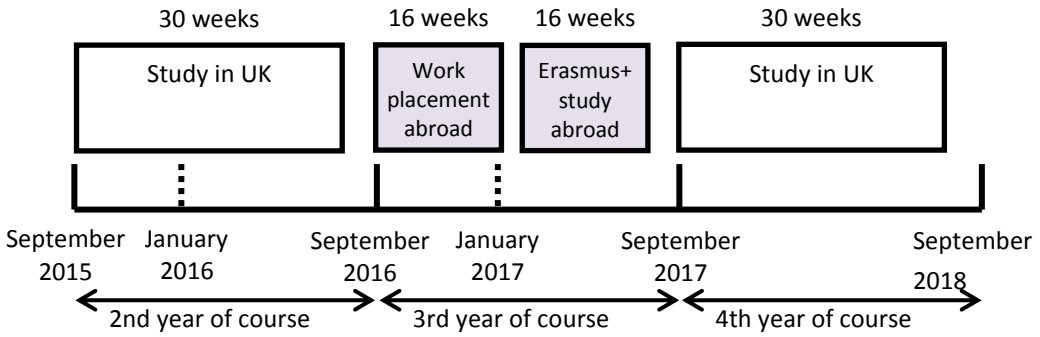
7. A student studies a four-year full-time undergraduate course from September 2014 to June 2018. The student spends a year abroad studying at an overseas institution for the calendar year 2016, which incorporates parts of their second and third years of course. All other study is in the UK.

8. The second year of course does not meet the definition of a year abroad, because the student has spent at least 10 weeks studying at their UK institution between September and December 2015, and they have not yet spent over 30 weeks studying abroad by the end of the year of course.

[7] Erasmus+ is the European Union programme for education, training, youth and sport for the period from 2014 to 2020. Further information about it can be found at: www.erasmusplus.org.uk/ and the Erasmus+ programme guide, available online at www.erasmusplus.org.uk/key-resources.
[8] See www.legislation.gov.uk/uksi/2013/1728/regulation/4/made#text%3Derasmus

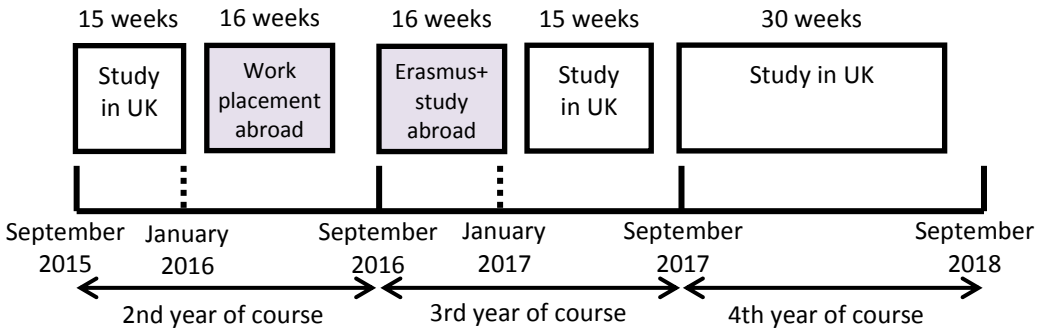
9. The third year of course meets the definition of a year abroad, because (including the time abroad during their second year of course) the student will have spent over 30 weeks studying abroad by the end of that year. If the year abroad is taken under the Erasmus+ programme, the year of course should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

Example 2: Student spending an academic year abroad



10. A student studies a four-year full-time undergraduate course from September 2014 to June 2018. The student spends a year abroad between September 2016 and June 2017, contained entirely within their third year of course. All other study is in the UK. The year abroad comprises one semester which is a 15-week work placement not taken under the Erasmus+ programme, and another semester which is a 15-week study placement at an overseas university which is taken under the Erasmus+ programme. The work placement is not in itself sufficient for the year of course to count as a sandwich year out. Because at least one study or work placement is taken under the Erasmus+ programme in the current year of course, the year is categorised as a full-time Erasmus+ year abroad.

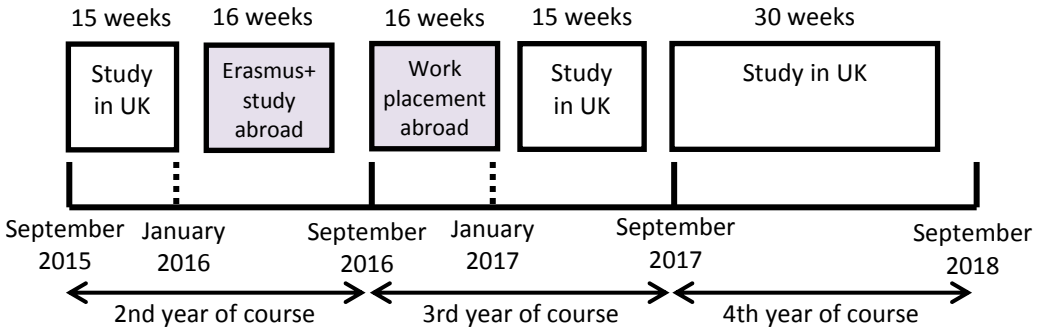
Example 3: Work then study abroad under Erasmus+



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

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

Example 4: Erasmus+ study then work abroad

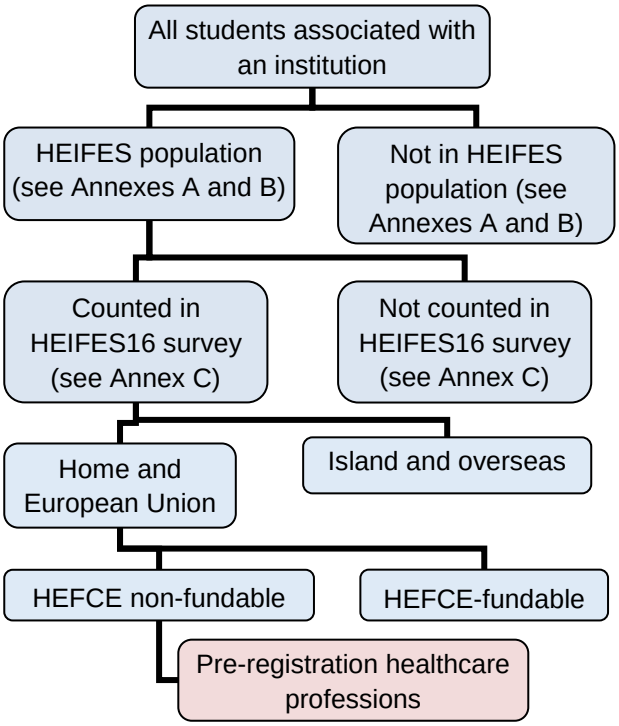


13. As in Example 3, but the semesters are reversed: the calendar year abroad comprises one 16-week semester (taken at the end of the second year of course) which is a study period at an overseas institution taken under the Erasmus+ programme, and another 16-week semester (at the start of the third year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

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

Annex L: Nursing, midwifery and allied health for Table 7

This annex defines the pre-registration healthcare profession courses which must be included in HEIFES16. It also details definitions specific to Table 7. Only institutions delivering these courses in 2016-17 need to complete this table.



Annex L contents

Definitions

- HEIFES nursing, midwifery and allied health professions population for 2016-17
- Healthcare professions
- Starters from 2016-17

Guidance

- Mode
- Length
-

Definitions

HEIFES nursing, midwifery and allied health professions population for 2016-17

1. The Table 7 HEIFES16 population includes Home and European Union (EU) years of course for students on pre-registration nursing, midwifery and allied health profession courses (defined below) which are currently funded by Health Education England (HEE). This information will be used for planning purposes and also to inform funding allocations for institutions in 2017-18 when responsibility for funding most of these courses is transferred to HEFCE.

2. These years should continue to be included as appropriate in Tables 1 to 6 as Home and EU, non-fundable (see Annex F) reflecting that the funding responsibility for them in 2016-17 rests with the Department of Health.

Healthcare professions

3. For the professions listed in **Figure L1**, only pre-registration courses at English institutions that are approved by the relevant regulatory body should be included. These are:

   a. For nursing and midwifery, the Nursing and Midwifery Council.

   b. For dental hygiene and dental therapy, the General Dental Council.

   c. For all other professions listed, the Health and Care Professions Council.

Figure L1: Courses for which activity should be included in Table 7

Pre-registration courses in	Leading to registration with
Nursing – adult	Nursing and Midwifery Council (NMC). Relevant courses are those at English institutions listed at www.nmc.org.uk/education/approved-programmes/ by selecting the relevant course type from the drop-down menu headed 'Qualification'. In general these are, respectively: • 'Pre-registration nursing – adult' • 'Pre-registration nursing – child' • 'Pre-registration nursing – learning disabilities' • 'Pre-registration nursing – mental health' In addition, the NMC website identifies six types of 'Dual award – pre-registration nursing' courses (for each possible combination of two of the four specialisms). Years of instance or course for students on such courses should also be included on Table 7, but split equally between the two nursing specialisms concerned. For example for a course identified on the NMC website as 'Dual award – pre-registration nursing – mental health/child', years of instance should be split equally on Table 7 between the categories 'Nursing – children' and 'Nursing – mental health'.
Nursing – children	
Nursing – learning disability	
Nursing – mental health	
Nursing – unclassified	NMC. In some cases, pre-registration nursing courses may share a common first year, during which students will choose their nursing specialism for later years of the course. Any such years of instance that cannot yet be assigned to one of the nursing specialisms above should be recorded under 'Nursing – unclassified'. They must, however be part of a pre-registration course listed at www.nmc.org.uk/education/approved-programmes/ by selecting the relevant course type from the drop-down menu headed 'Qualification'.
Midwifery	NMC. Relevant courses are those at English institutions listed at www.nmc.org.uk/education/approved-programmes/ by selecting 'Pre-registration midwifery – three-year programme – 18 month programme' from the drop-down menu headed 'Qualification'
Dietetics	Health and Care Professions Council (HCPC). Relevant courses are those at English institutions listed at www.hcpc-uk.org/education/programmes/register/ by selecting 'Dieticians' from the listing under 'Profession'.
Occupational therapy	HCPC. Relevant courses are those at English institutions listed at www.hcpc-uk.org/education/programmes/register/ by selecting 'Occupational therapists' from the listing under 'Profession'.

Section 2: Funding rules and definitions – Annex L: Nursing, midwifery and allied health for Table 7

Pre-registration courses in	**Leading to registration with**
Operating department practice	HCPC. Relevant courses are those at English institutions listed at www.hcpc-uk.org/education/programmes/register/ by selecting 'Operating department practitioners' from the listing under 'Profession'.
Orthoptics	HCPC. Relevant courses are those at English institutions listed at www.hcpc-uk.org/education/programmes/register/ by selecting 'Orthoptists' from the listing under 'Profession'.
Orthotics and prosthetics	HCPC. Relevant courses are those at English institutions listed at www.hcpc-uk.org/education/programmes/register/ by selecting 'Prosthetists / Orthotists' from the listing under 'Profession'.
Physiotherapy	HCPC. Relevant courses are those at English institutions listed at www.hcpc-uk.org/education/programmes/register/ by selecting 'Physiotherapists' from the listing under 'Profession'.
Podiatry and chiropody	HCPC. Relevant courses are those at English institutions listed at www.hcpc-uk.org/education/programmes/register/ by selecting 'Chiropodists / podiatrists' from the listing under 'Profession'.
Radiography (diagnostic)	HCPC. Relevant courses are those at English institutions listed at www.hcpc-uk.org/education/programmes/register/ by selecting 'Radiographers' from the listing under 'Profession'. Institutions will then need to distinguish between the two types of radiography according to the aim and content of their particular courses.
Radiography (therapeutic)	
Speech and language therapy	HCPC. Relevant courses are those at English institutions listed at www.hcpc-uk.org/education/programmes/register/ by selecting 'Speech and language therapists' from the drop-down menu under 'Profession'.
Dental hygiene	General Dental Council (GDC). Relevant courses are those at English institutions listed at www.gdc-uk.org/Dentalprofessionals/Education/Pages/Dental-therapist-qualifications.aspx. Institutions will then need to distinguish between the two types of programme reflecting the courses they offer and the qualification aim of their students. Where a student has a single aim for a qualification in dental hygiene, they should be recorded under dental hygiene. Otherwise, they should be recorded under dental therapy (including where they are aiming for qualifications in both dental hygiene and therapy).
Dental therapy	

Starters from 2016-17

4. In Table 7, the definition of 'Starters from 2016-17' is not the same as for 'new entrants' in Tables 5 and 6. Starters on Table 7 are students who receive an NHS bursary for the first time in 2016-17, in order to identify an equivalent 2016-17 population to that which will be affected by the changed finance arrangements for these courses from 2017-18. We may issue further guidance on this in the HESES and HEIFES surveys to reflect any further decisions, following the recent Department of Health consultation on how the changed finance arrangements might affect particular categories of student.

5. 'Starters from 2016-17' on Table 7 should:

   a. Include students who transfer in 2016-17 onto a pre-registration nursing, midwifery or allied health profession course from one that is not.

   b. Exclude students who transfer in 2016-17 between different types of pre-registration nursing, midwifery or allied health profession course in 2016-17, if their previous course started prior to 1 August 2016.

   c. Exclude students repeating the first year of a pre-registration nursing, midwifery or allied health profession course. Such students would, however, be included in the total population recorded on Table 7.

Guidance

Mode

6. On Table 7, students can be returned as full-time, part-time or sandwich year out, as defined in Annex H. However, sandwich year out students can only be entered for Dietetics. The vast majority of Table 7 students will undertake learning in the workplace, which can count towards full-time study and will therefore not meet the definition of sandwich year out. If you think that students on any other course meet the definition of sandwich year out, contact recurrentgrant@hefce.ac.uk. Starters from 2016-17 cannot be sandwich year out.

Length

7. Years of instance can either be standard-length or long, as defined in Annex J. We do not generally expect years of instance for pre-registration courses to meet the definition of 'long', because periods of work-based study should not be counted in determining whether such years meet the minimum 45 week attendance requirement in the year. Postgraduate masters courses may be an exception to this.

Annex M: List of abbreviations

APL	Accredited prior learning
CertEd	Certificate in Education
CertHE	Certificate of Higher Education
DipHE	Diploma of Higher Education
DSA	Disabled Students' Allowance
DTLLS	Diploma in Teaching in the Lifelong Learning Sector
ELQ	Equivalent or lower qualification
EU	European Union
FHEQ	Framework for Higher Education Qualifications in England, Wales and Northern Ireland
FTE	Full-time equivalence
HE	Higher education
HEAPES	Higher Education in Alternative Providers Early Statistics survey
HEFCE	Higher Education Funding Council for England
HEIFES	Higher Education in Further Education: Students survey
HESES	Higher Education Students Early Statistics survey
HNC	Higher National Certificate
HND	Higher National Diploma
ILR	Individualised Learner Record
INSET	In-service education and training
ITT	Initial teacher training
LDCS	Learning Directory Classification System
PG	Postgraduate
PGCE	Postgraduate Certificate in Education or Professional Graduate Certificate in Education
QTS	Qualified teacher status (HEFCE non-fundable)
QTLS	Qualified teacher learning and skills (HEFCE fundable)
UCAS	The Universities and Colleges Admissions Service
UG	Undergraduate
UK NARIC	UK National Recognition Information Centre
UKPRN	UK Provider Reference Number

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