

Cylchlythyr | Circular

End of Year Monitoring of Higher Education Enrolments 2016/17

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To: Heads of higher education institutions in Wales
Principals of directly-funded further education colleges in Wales
Response by: 17 November 2017
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This circular gives definitions and guidance to higher and further education institutions about the end of year data that are extracted from the 2016/17 HESA student record via the HESA Information Reporting Interface Service (IRIS) to calculate credit-based teaching funding for 2018/19, calculate any adjustments to 2016/17 funding, monitor information on initial teacher training courses and establish final numbers of students and credit values at institutions for 2016/17.

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Introduction

1. This circular gives definitions and guidance to higher education institutions (HEIs) and further education institutions (FEIs) about the end of year data that are extracted from the 2016/17 Higher Education Statistics Agency (HESA) student record via the HESA Information Reporting Interface Service (IRIS) to enable HEFCW to:
 - a) Calculate credit-based funding for 2018/19;
 - b) Calculate any adjustments to 2016/17 funding;
 - c) Monitor information on initial teacher training courses;
 - d) Establish final numbers of students and credit values at HEIs for 2016/17 for funding modelling and information purposes.

Main changes for 2016/17

2. The main changes made since the EYM 2015 survey are:
 - a) From 2016/17, FEIs that are directly funded by HEFCW are returning individualised higher education (HE) data to HESA, and will not return these data on the Welsh Government (WG) Lifelong Learning Wales Record (LLWR). FEIs will therefore no longer be required to return numbers and credit values of HE students directly to HEFCW via the EYM return, the completed EYM tables will instead be made available to institutions through the HESA IRIS outputs. References to HESA data throughout this circular for 2016/17 and the EYM extraction criteria contained in Annex K relate to both HEIs and HEFCW-funded FEIs;
 - b) The reference to student support regulations has been updated in Annex A paragraph 13 and in Annex D;
 - c) The definitions and criteria used in the extraction of data from the HESA student record have been updated to reflect any changes to the tables for 2016/17. See Annex K;
 - d) Annex L, which outlines the use HEFCW makes of the data collected, has been updated to reflect the changes made to the survey tables;
 - e) Text throughout has been amended to reflect that data for both HEIs and FEIs are now extracted from the HESA student record and that survey data are no longer collected directly.

Contents

3. This circular provides:
 - a) Guidance and definitions for the various categories used to classify students;
 - b) Information about the criteria used to extract EYM data from the 2016/17 HESA student record via IRIS;
 - c) Details of the sign off arrangements for the EYM tables made available through HESA IRIS outputs.
4. The contents of the annexes are as follows:

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Teaching funding for 2018/19

5. 2016/17 EYM credit value data from Table 1c will be used to calculate 2018/19 part-time undergraduate credit based funding allocations.

Adjustment of 2016/17 funding

6. For the purposes of calculating any adjustment to 2016/17 funding, credit based teaching funding is recalculated using EYM data. Credit values (for part-time undergraduate students) resulting from modules for which students registered up to and including, as well as after, 1 November will be used and the number of credit values associated with modules from

which students withdraw will be deducted. The signed off EYM tables from the HESA IRIS extraction will be used for this purpose. Any adjustment will be notified to institutions in early 2018.

Process for extracting end of year monitoring data from the HESA student record

7. Institutions should sign off the EYM data presented in the final 2016/17 HESA student record IRIS output at the 31 October 2017 HESA final submission date. Details about the process have been emailed separately to both authorised signatories and data contacts.
8. We do not require a hard copy of the signed verifications. Signed verifications should be returned by scanning them and emailing them to Rachael Clifford at hestats@hefcw.ac.uk. The deadline for return of the signed off data is **17 November 2017**.
9. Institutions are reminded that EYM data extracted from IRIS, and any amendments made to the extraction, including methods used to calculate any estimates included in the amendments, are in the scope of the HEFCW external data audit. The systems and processes used to generate the HESA data extracted are in the scope of the institution's internal audits.

Further information

10. Any queries should be directed to Rachael Clifford (email hestats@hefcw.ac.uk).

Summary guide to the EYM 2016/17 survey

- 1 The EYM 2016/17 survey circular gives definitions and guidance to institutions about the EYM data that are extracted from the 2016/17 HESA student record via IRIS. Not all institutions will have data extracted for all tables. Tables 1a, 1b, 1c, 3 and 4 are extracted for all institutions; Table 2 only for those with full-time initial teacher training (ITT) leading to qualified teacher status (QTS) provision; and Table 5 is extracted only for University of South Wales.

HESES/EYM population

- 2 The following students are **included** in the EYM extraction:
 - Registered students (i.e. those that have a binding undertaking to pay a fee to an institution (unless the fee has been waived)).
 - Students aiming to obtain a recognised HE qualification.
 - Students studying for at least three per cent of a full-time equivalent or approximately one week of study.
 - Students based in the UK who are part of distance learning or franchise arrangements or who are based at campuses of the institution in the UK.
 - Outgoing exchange students.
 - Students on a year out or part of a year out as part of their course
- 3 Student who are **excluded** from the EYM extraction are:
 - Incoming exchange students.
 - Students whose only activity during the year is writing up a thesis or similar piece of work.
 - Students franchised in from other institutions.
 - Students franchised to institutions outside the UK.
 - Students at campuses outside the UK.
 - Students who are distance learning outside the UK.
 - Students whose provision is part of a validation arrangement only.
 - Students who are dormant for the whole year.

Old and new tuition fee regime

- 4 In this document, old and new tuition fee regimes are referred to. The new fee regime came into effect in 2012 for new FT UG/PGCE students. Under the new fee regime, where an approved fee and access plan is in place, institutions can charge students a tuition fee of up to £9,000 per year. Under the old fee regime, in 2011/12, a fee of up to £3,375 could be charged. The fees of up to £9,000 have replaced most of the funding that HEFCW used to allocate using data relating to FT UG/PGCE students.

Distance learning, campuses, franchises and other collaborative arrangements

- 5 Institutions are responsible for ensuring that EYM data have been correctly extracted for all their distance learning, campus and franchised out provision in the UK. Distance learning provision outside the UK and provision delivered at campuses or partners outside the UK are excluded from the EYM tables. For HEIs such provision will be included on the HESA aggregate offshore record and will not be extracted through the HESA IRIS EYM tables.
- 6 Definitions used in this circular, defined more fully in Annex C, are:
 - **Distance learning:** distance learning students are those that are students of the reporting institution, where staff employed by the reporting institution are responsible for providing all teaching or supervision, but who are located away from the reporting institution and are not part of a franchising or other collaborative arrangement with another institution or organisation. Such students are counted in the same way as other students who are based at the reporting institution, though categorisation into fundability status depends on the location of the student.
 - **Campuses:** Students based at campuses other than the main campus(es) are counted in the same way as students at the main campus(es) though categorisation into fundability status depends on the location of the campus.
 - **Franchise:** this refers to an HE course taught at an institution (the franchisee) which is not directly in receipt of funding from HEFCW for that course, for which quality assurance is provided by another Welsh institution (the franchisor) and for which funding is passed to the franchisee by the franchisor in order to provide the taught course. Students should be registered as students of the franchisor and this can be by registering for the course at the franchisor or franchisee institution. For FT UG courses, funding may be in the form of the tuition fee which could either be provided directly to the franchisee or passed to the franchisee by the franchisor. In all cases the franchisor will return student related data to HESA and HEFCW on behalf of the franchisee.

A franchise can be with publicly funded or non-publicly funded institutions in Wales or in the rest of the UK. Whether the franchisee institution is publicly funded or not and the location of the franchisee institution affect the categorisation of students into fundability status.

Where a student is franchised out for only part of the year, they are counted as franchised out if the majority of their provision for the year is franchised out.

- **Other collaborative arrangements:** If students are on courses which are run jointly by two or more institutions, where activity takes place at both or all institutions, which are not the subject of a franchising or validating arrangement, they should be counted at each institution in proportion to the number of credits associated with delivery at that institution. There may be cases where the IRIS data extraction does not fully reflect the collaborative arrangements that are in place for joint courses. If this is the case institutions should submit amendments to the extracted IRIS tables as part of the signing off process.

Students taught as part of other collaborative arrangements, where no activity takes place at the returning institution, with institutions or organisations in or outside Wales, not owned by the Welsh HEI, that are not franchising arrangements, are not in the EYM population. These may be, for example, partnerships with non-publicly funded colleges where the institution provides quality assurance or validating arrangements only and does not provide any funding to that college.

A validating arrangement is where a university is responsible for the academic standards and quality of a programme which is monitored alongside its own programmes, but the partner develops, delivers and assesses the programme leading to a university award.

Mergers and wholly owned subsidiary bodies

- 7 Merged institutions will be presented in any HESA IRIS outputs as one institution which will include any relevant group provision (see Annex K paragraph 3). Where institutions merge and form a group so that some institutions are subsidiaries of another institution (the 'parent') then EYM tables will be extracted under the parent institution as returned to HESA. This will be the case whether or not the subsidiaries are legal entities in their own right. Wholly owned subsidiaries are considered to be campuses of the parent institution for the purposes of this survey.
- 8 Interim arrangements for merged institutions can be agreed with HEFCW for the first year of reporting to facilitate the extraction of data, for example, HEFCW can provide a breakdown of any comparative data on the EYM tables into the pre-merged institutions.

Residential and funding status

- 9 Students are categorised into three types of residential and funding status, home and EU fundable, home and EU non-fundable and Island and overseas. Home and EU students are those with UK or EU residency or who are otherwise entitled to pay home fees as set out in the fees regulations (Annex D gives more details). The three definitions are summarised below. In referring to funding for a student place, for all categories of student, this would be funding for course costs that are not covered by the tuition fee. For FT UG/PGCE students under the new regime, the source of the tuition fee is also taken into account.

- **Home and EU fundable:** a home and EU student would be fundable by HEFCW unless the student's place receives funding from other sources or for new regime students, if the tuition fee is paid for by a public source other than HEFCW. A fundable student would be included in funding calculations carried out by HEFCW as appropriate.
- **Home and EU non-fundable:** if a home and EU student's place is funded from sources other than HEFCW, or for new regime students, if the tuition fee is paid from a public source, for example, the NHS, WG or the Welsh European Funding Office (WEFO), the student would be counted as non-fundable. A student would also be counted as non-fundable if the course they are on is run only for a particular group of students and is not open to anyone who is suitable qualified to apply (referred to as a 'closed' course).

There are also conditions on location of provision which, if not met, mean that home and EU students are counted as non-fundable. Home and EU students franchised to non-publicly funded institutions in the UK or publicly funded institutions that are outside Wales within the UK are counted as non-fundable unless agreement has been made with HEFCW that Welsh domiciled students on these courses can be considered fundable.

Home and EU distance learning students where the student is based outside Wales within the UK, and the student is not Welsh-domiciled, are counted as non-fundable.

Home and EU students at campuses outside Wales within the UK are counted as non-fundable unless they are Welsh domiciled.

- **Island and overseas:** these are students who are domiciled outside the EU, including students from the Isle of Man and the Channel Islands.

- 10 Annex M contains a grid which provides a look up to aid categorisation into fundability status.

Academic subject categories and ITT (QTS) specialist subjects

- 11 On Table 4, registrations are split into academic subject categories (ASCs). These are based on the JACS code of the course. Registrations can be split between ASCs except for full-time undergraduate medicine and dentistry registrations and full-time ITT (QTS) registrations which are only counted in ASCs 1 and 11a respectively. Annex E gives more detail and the mapping from JACS codes to ASCs.
- 12 On Table 2, students studying secondary education ITT (QTS) courses are split by specialist subject. If a course is such that it is in a specialist subject with another subject that is not a specialism then registrations are counted wholly

against the specialist subject (Annex E paragraphs 3 to 5 gives more detail). HEIs should adjust their HESA IRIS output for EYM Table 2 to reflect this position where necessary.

Mode of Study

- 13 The mode of study of a student is determined by how much time they spend studying, whether the student is charged a certain level of fee and whether or not they are on a year out as part of their course. Annex F gives the full definition. There are three modes of study:

- **Full-time:** a full-time student is normally required to attend (whether at premises of the establishment or otherwise) for periods of a minimum of 24 weeks; **and** a whole full-time fee is chargeable for the current year of the programme of study (which will be a maximum regulated fee for home and EU UG/PGCE students of £9,000 or £3,465 depending on whether they are in the new or old regime respectively).

An exception to this is if the student is in the final year of a full-time course in which they attend for less than 24 weeks in which case it may be that a whole fee is not charged;

- **Full-time sandwich year out:** for a student to be classified as sandwich year out, their course should fit the definition of sandwich provided in Part 1 (2)(6) of The Education (Student Support) (Wales) Regulations 2015 (SI 2015 No. 54) as amended in The Education (Student Support) (Wales) (Amendment) Regulations 2015 (SI 2015 No. 173) and the Education (Student Support) (Wales) (Amendment) Regulations 2016 (SI 2016 No. 77), or they should be full-time on a study or placement year abroad. In addition the fees chargeable are, for those under the old regime, approximately half the whole full-time fees, and for those under the new regime, regulated fees of £1,800 for a work placement year of a sandwich course and £1,350 for a year studying abroad or on an Erasmus+ work placement abroad.

If a student follows the same pattern of study as other students on a sandwich year out on their course and would be considered to be on a sandwich year out other than that they are an Island and overseas student and are therefore not subject to regulated fees, then they should be counted as sandwich year out;

- **Part-time:** any student not classified as full-time or full-time sandwich year out should be classified as part-time on the survey.

Level of Study

- 14 The level of study of a student is determined by the qualification they are aiming for. Recognised HE qualifications are defined in Annex B. There are four levels of study defined: undergraduate non-degree; undergraduate degree;

postgraduate taught; and postgraduate research, some of which are further split into franchised out and non-franchised out in the returned data:

- **Undergraduate non-degree:** all undergraduate level courses which lead to a qualification other than a first degree. For example, foundation degrees, HNCs and qualifications leading to certificates for the teaching of further education are non-degree courses.
- **Undergraduate degree:** undergraduate degree students are those aiming for a first degree. This includes degree courses with an integrated Master's year or an integrated foundation year.
- **Postgraduate taught:** postgraduate taught courses are those which require as a normal condition of entry that entrants be already qualified at degree level. Those courses that are mainly taught even though part of the course may include a dissertation are included as postgraduate taught. PGCE courses leading to QTS are included.
- **Postgraduate research:** These are postgraduate courses that are mainly research.

15 Full definitions are given in Annex G.

Completion status - registrations

16 On Tables 3, 4 and 5, only completed or partially completed registrations are counted and non-completions are excluded. Completion status is determined on a year of study basis, not on a course basis. Completion status is defined as follows:

- **Non-completions** are where students do not complete their studies due to withdrawal or dropout, or fail to take part in required assessment procedures for the year.
- **Completions** are all eligible students who are registered or expected to register within the academic year minus those who are expected to not complete. Any transfers between ASCs, modes or levels of study should be included.
- **Partial completions:** some full-time and sandwich students on taught courses that are non-completions can be counted as 0.5 of a completion if they meet certain criteria. If the course is semesterised, this is that the first semester is completed and if the course is not semesterised, that the first four months are completed. The exact criteria can be found in paragraph 16 of Annex H.

Estimation

17 When the EYM data are extracted, the number of students registered that have not completed will mostly be known. There will be some circumstances where

estimates have to be made, for example, where students are on a course which spans two academic years. In general, if institutions have to make amendments to the extracted data, estimates should be based on the proportion of non-completions in the previous year or years, or for new provision, information about similar provision in the first year of delivery. However, other methods may be used if institutions believe these would provide more accurate estimates.

- 18 The extraction methodology used in IRIS calculates estimates of non-completions where necessary and these are included in the IRIS output. Further information can be found in Annex H, paragraph 14. Where institutions use estimates to amend the number of non-completions in the output from IRIS, they should keep auditable evidence to show the basis of these calculations.

Completion status – credit values

- 19 Tables 1a, 1b, 1c and 5 present full-time, sandwich year out and part-time undergraduate and postgraduate taught registrations for the academic year 2016/17 in terms of the credit values associated with the modules, units or courses started in the current academic year. Credit values relating to modules started in the year are counted along with the number of non-completed credit values and the number of completed credit values is calculated and shown in the tables. Annex I paragraphs 19 to 23 describe how to determine completion status in detail and how some non-completions are counted as partial completions. Completion status is defined as follows:

- a) **Non-completions** are where not all of the assessment required for a module or unit has been undertaken.
- b) **Completions** are where all assessment required for a module or unit has been undertaken.
- c) **Partial completions:** for modules on full-time and sandwich taught courses only, credit values for non-completed modules can be counted as partially completed if they meet certain criteria: if the course is semesterised and all required assessments due for the module during the first semester have been undertaken then the credit values for the first semester can be counted as completed; if the course is not semesterised and all required assessments due in the first four months have been undertaken and there is auditable evidence that the student was still in attendance then half the credit values for the module can be counted as completed. The exact criteria can be found in paragraph 23 of Annex I.

Estimation

- 20 When the EYM data are extracted, the number of completed credit values for modules started in 2016/17 will mostly be known. There will be some circumstances where estimates have to be made, for example, where students are on a module which spans two academic years, or where a student is eligible to take part in further assessment for a module after the end of the year in order to complete the module. In general, where estimates are used to make

amendments to the extracted data, they should be based on the proportion of non-completed credits for the module in the previous year or years, or for new modules, information about similar provision in the first year of delivery. However, other methods may be used if institutions believe these would provide more accurate estimates. Further information on estimation can be found in paragraph 22 of Annex I. The extraction methodology calculates estimates of non-completions where necessary and these are included in the IRIS output. Where institutions make estimates of non-completions to amend the output from IRIS, they should keep auditable evidence to show the basis of these calculations.

Table descriptions

- 21 **Tables 1a, 1b and 1c** include data on credit values for home and EU fundable undergraduate and postgraduate taught students, but not postgraduate research students. Data are a split by level and ASC. The credit values are counted in accordance with the guidelines set out in Annex I. Note that some students excluded from Tables 3 and 4 as non-completions may be shown as completing modules or credit values in Tables 1a, 1b and 1c. Similarly, final year students on non-standard academic year courses may be excluded from Tables 3 and 4 but credit values for modules relating to those students may be recorded in Tables 1a, 1b and 1c.
- 22 **Table 2** includes data about full-time FT UG/PGCE registrations between 1 August and 1 November 2016 on ITT (QTS) courses for each institution delivering such courses. Data are by phase of study (primary or secondary) and by specialist subject for the secondary phase. Registrations are split into UG and PGCE provision. Total registrations between 1 August and 1 November are included along with the number of registrations gaining QTS.
- 23 **Table 3** includes data on all countable completed registrations, by mode and level of study, including a split of the undergraduate levels of study into franchised out and non-franchised out. There are columns for home and EU fundable, home and EU non-fundable and Island and overseas students. This table aims to have a complete end-year picture of the provision at an institution for the year. Data are counted to one decimal place where full-time taught partial completions are included as 0.5 of a completion.
- 24 **Table 4** includes data on all countable completed registrations for home and EU fundable students, by ASC, mode and level of study, including a split of the undergraduate levels of study into franchised out and non-franchised out.
- 25 **Table 5** relates to provision at the University of South Wales only and includes information about Performance Element provision in ASC 10 at the University of South Wales.

HESA data

- 26 Annex K gives the criteria by which data are extracted from the HESA student record via the IRIS system for HEIs and HEFCW directly funded FEIs. All end

of year monitoring data are now extracted from the HESA student record via IRIS and so particular attention should be given to the fields described in the annex in checking the IRIS EYM table output prior to signing and sending back to HEFCW.

Definition of a recognised HE qualification

- 1 A recognised HE qualification is one which is awarded on the successful completion of a prescribed course of HE. Such qualifications include any postgraduate or undergraduate degree, including foundation degree, accredited HE diploma or HE certificate, including HND and HNC. Other professional or vocational qualifications may be included provided they are generally recognised as HE qualifications. Such qualifications, for example, college certificates, are only considered recognised if they are validated by the University of Wales, the University of Wales Trinity Saint David, the University of South Wales, Cardiff University, the Open University, Swansea University, Bangor University, Aberystwyth University, Cardiff Metropolitan University, Wrexham Glyndŵr University or are included (or awaiting inclusion) within the Qualifications and Credit Framework (QCF).
- 2 Courses, modules or units which enable credit to be obtained towards recognised HE qualifications (as defined above) also fall within the definition of recognised HE courses for the purpose of this survey. This includes programmes or individual courses which include foundation study as an integral part of a longer programme which leads to, or provides credit towards, a recognised HE award, provided the student has registered for the longer programme.
- 3 For FEIs, only those HE qualifications included in the FEI's portfolio of courses, as agreed with HEFCW, are recognised.

Distance learning, campuses, subsidiaries, franchises and other collaborative arrangements

- 1 Distance learning provision that takes place in the UK, and provision at campuses, wholly owned subsidiaries and franchises that are within the UK are included on the EYM survey. Provision that takes place outside the UK is not included in the coverage of the EYM survey but for HEIs will be included in HESA's aggregate offshore record. Students on study or placement years or part years abroad as part of their course are treated as if their provision is where they normally study when they are not abroad for the purposes of extracting data.
- 2 Where institutions are not clear about how students based outside Wales or provision that is part of a franchising or other collaborative arrangement are counted for EYM purposes, they should contact HEFCW for further guidance.
- 3 A reference grid which provides a look up to help categorise students by fundability status based on their location of study is at Annex M.

Distance learning students

- 4 Distance learning students are those that are students of the reporting institution, where staff employed by the reporting institution are responsible for providing all teaching or supervision, but who are located away from the reporting institution and are not part of a franchising or other collaborative arrangement with another institution or organisation. Such students are counted in the same way as other students who are based at the reporting institution, though categorisation into fundability status depends on the location of the student.
- 5 If the student is home and EU and is located within Wales, or is Welsh domiciled and located outside Wales within the UK, then the student can be counted as home and EU fundable, provided they fit the other criteria to be fundable given in Annex D. Home and EU students located outside Wales within the UK that are not Welsh domiciled are included as home and EU non-fundable.
- 6 If a student located outside Wales regularly travels to a campus of the institution, or other premises owned or hired by the institution, that is located in Wales for lectures, tutorials or other teaching or academic requirements, and this makes up the majority of activity for the the reporting year, then it is likely that the student is not a distance learning student for that year. If the student spends the majority of the reporting year away from the institution and most academic activity takes place by online or postal correspondence, then the student should be considered to be a distance learning student for that year.

- 7 Distance learning that takes place outside the UK is excluded from the main EYM population and is not included in the extraction. For HEIs data relating to these students will be returned on the HESA aggregate offshore record.
- 8 A year out as part of a sandwich course, exchange scheme or other placement scheme should not be considered to be distance learning. In these cases, the student should be considered to be attending the place of study normally attended when not on their year out in order to determine their fundability status.

Campuses

Campuses based in Wales

- 9 Students based at campuses in Wales are counted as home and EU fundable, home and EU non-fundable or Island and overseas as appropriate.

Campuses based outside Wales in the UK

- 10 Where an institution has a campus outside Wales, but in the UK, only home and EU students based at that campus that are Welsh domiciled should be considered fundable, provided they fit the criteria to be fundable in Annex D. Other students at the campus should be included on the HESA student record as home and EU non-fundable or Island and overseas as appropriate. If a non-Welsh domiciled home and EU student is based at both a campus of the institution in Wales and a campus outside Wales within the UK, then in the year of return, they should only be considered fundable if they spend the majority of their time at the campus in Wales.

Campuses based outside the UK

- 11 Provision at campuses outside the UK is not included in the EYM population, however, such provision should be included by HEIs on the HESA aggregate offshore record.

Wholly owned subsidiary bodies

- 12 Institutions may consist of one legal entity or have a group structure where one or more institutions are wholly owned subsidiaries of a 'parent' institution that are each legal entities in their own right.
- 13 Wholly owned subsidiaries are considered to be campuses of the parent institution for the purposes of this survey.

Franchises

- 14 The term 'franchise' refers to an HE course taught under a sub-contractual arrangement at an institution (the franchisee) which is not directly in receipt of funding from HEFCW for that course, for which quality assurance is provided by another Welsh institution (the franchisor) and for which funding is passed to the

franchisee by the franchisor in order to provide the taught course. Students should be registered as students of the franchisor and this can be by registering for the course at the franchisor or franchisee institution. For FT UG courses, funding may be in the form of the tuition fee which could either be provided directly to the franchisee or passed to the franchisee by the franchisor.

- 15 Data relating to students taught on the basis of a franchise agreement, referred to as 'franchised out' students, should be included in any data returns by the franchisor on behalf of the franchisee. Undergraduate franchised out assumed completed registrations are categorised separately in Tables 3 and 4.
- 16 If students are part of a franchise arrangement and the franchisee delivers the provision through distance learning, the guidance for franchise arrangements should be followed first and then the guidance relating to distance learning arrangements should be followed in categorising students by fundability status.

Franchises based in Wales

- 17 If the franchisee is in Wales and is a publicly funded institution (i.e. is an HEI or FEI in receipt of funding council or government funding) then the franchised out students are counted in the EYM return at the franchisor. The students will be included as home and EU fundable or non-fundable or Island and overseas as appropriate according to the definitions in Annex D.
- 18 If the franchise arrangement is with a non-publicly funded institution in Wales then any student data are included as home and EU non-fundable or Island and overseas in the EYM extraction. Institutions may only return data relating to Welsh domiciled students franchised to non-publicly funded institutions in Wales as home and EU fundable on the HESA student record if HEFCW has been notified of the courses these students are on and has agreed that they should be fundable. Details of how to go about getting this agreement are in paragraphs 26 to 28 below.

Franchises based outside Wales within the UK

- 19 If the franchise arrangement is outside Wales within the UK with a publicly or non-publicly funded institution then any student data are included as home and EU non-fundable or Island and overseas in the EYM extraction as appropriate. Institutions may only include data relating to Welsh domiciled students franchised to institutions outside Wales as fundable if HEFCW has been notified of the courses these students are on and has agreed that they should be fundable. Details of how to go about getting this agreement are in paragraphs 26 to 28 below.

Franchises outside the UK

- 20 Data relating to franchises outside the UK are not included on the EYM survey, however, such provision should be included by HEIs on the HESA aggregate offshore record.

Partial franchises

- 21 Where students are part of franchise arrangement where they are only franchised out for part of the year, they are included as franchised out registrations if the majority of their provision for the year is franchised out, otherwise they are included as non-franchised out.
- 22 In the IRIS system, for credit values, a more detailed split of franchised out provision is made. All credit values are counted as franchised out for modules that are 100% franchised out and where modules are partially franchised out, the proportion of the module that is franchised out is applied to the number of credit values to get the number of franchised out credit values. The wholly franchised out credit values and the partially franchised out credit values are shown in two separate columns in Table 1c. See Annex K, paragraph 37 for further guidance.

Other collaborative arrangements

- 23 If students are on courses which are run jointly by two or more Welsh institutions, where activity takes place at both or all institutions, which are not the subject of a franchising or validating arrangement, they should be counted at each institution in proportion to the number of credits associated with delivery at each institution. If the course is run jointly between a Welsh institution and an institution outside Wales, then only the provision delivered at the Welsh institution should be included at the Welsh institution. On the HESA student record, courses that are run jointly may not be returned such that data can be counted in this way. Therefore, there may be cases where the IRIS data extraction does not fully reflect the guidance. If this is the case institutions should submit amendments to the extracted IRIS tables as part of the signing off process.
- 24 Students taught as part of other collaborative arrangements, where no activity takes place at the returning institution, with institutions or organisations in or outside Wales, not owned by the Welsh HEI, that are not franchising arrangements, are not in the EYM population. These may be, for example, partnerships with non-publicly funded colleges where the institution provides quality assurance or validating arrangements only and does not provide any funding to that college. If institutions have students that are returned on the HESA student record, but do not fit the criteria to be in the EYM population, they should contact HEFCW to be certain that they are not being excluded from the IRIS EYM tables in error.
- 25 A validating arrangement is where a university is responsible for the academic standards and quality of a programme which is monitored alongside its own programmes, but the partner develops, delivers and assesses the programme leading to a university award.

Approval to count students as fundable

- 26 Where institutions wish to seek approval to return data related to Welsh domiciled students franchised to institutions outside Wales within the UK or to non-publicly funded institutions within the UK as fundable, they should submit evidence outlining why they think the provision should be fundable, including:
- Details of any franchise arrangement, for example, the organisation franchised to, and if it is with a non-publicly funded institution, why it is with that particular institution and not a publicly funded institution.
 - If there are other partners involved, why funding is not available from elsewhere.
 - If the provision is bespoke provision for a particular partner, how the course is run so that it is not a closed course run just for that partner.
 - The numbers and credits involved by mode, level and domicile.
 - Any other relevant information to support the provision being HEFCW-fundable.
- 27 The request should be submitted to Hannah Falvey at hestats@hefcw.ac.uk. Submissions will be considered by HEFCW's Funding Group at the earliest opportunity. Note that any provision submitted for approval should only be returned as fundable on HESA and HESES if confirmation has been received from HEFCW.
- 28 Any request must be made in time to return the HESES survey data. A retrospective request which would mean data are only included in the EYM data extraction would not be accepted. Therefore, only arrangements which have already received approval should be included as fundable on the HESA student record and subsequently extracted to create the EYM return.

Definition of residential and funding status

Home and EU students

- 1 Home and EU students are those domiciled in the UK or EU (excluding those domiciled in the Channel Islands or the Isle of Man) or who are otherwise entitled to pay home fees, as defined in the Education (Fees and Awards) (Wales) Regulations 2007 (SI 2007 No. 2310), as amended by the Student Fees (Qualifying Courses and Persons) (Wales) Regulations 2011 (SI 2011 No. 691) and the Education (Student Fees, Awards, Qualifying Courses and Persons) (Wales) Regulations 2013 (SI 2013 No. 1792); or are eligible to pay home fees (qualifying persons for the purposes of section 5 of the Higher Education (Wales) Act 2015) as defined in the Higher Education (Qualifying Courses, Qualifying Persons and Supplementary Provision) (Wales) (Amendment) Regulations 2016 (SI 2016 No. 276).
- 2 The above regulations and amendments can be found on the National Archives UK legislation website, www.legislation.gov.uk, under 'Browse Legislation', 'Wales Statutory Instruments'.
- 3 Where reference is made to total home and EU students, this relates to the sum of those fundable and non-fundable as defined in paragraphs 6 and 7 below. 'HEFCW funding' referred to below does not include funding for special initiatives or schemes even if the funding is administered and paid to institutions by HEFCW.
- 4 In referring to funding for a student place below we mean funding for course costs that are not covered by the tuition fee. For the purposes of the guidance below, bodies such as WG, NHS and the Home Office, where providing funding for places on a course that is run to train people that work in that body and the whole course or a large proportion of the course is funded by the body, would be considered to be a public body and not an employer. If an individual were to be employed by a body that would be considered a public body, and the body were to pay for the individual's place on a course then it would be considered to be the employer and the place would be considered to be funded by the student's employer. For home and EU FT UG/PGCE students under the new tuition fee regime, the source of the tuition fee payment is also taken into account when determining fundability status (see paragraph 7 below).
- 5 A reference grid which provides a look up to help categorise students by fundability status is at Annex M.

Eligible for HEFCW funding – home and EU fundable

- 6 Home and EU students are eligible for HEFCW funding unless their place is considered ineligible as described in paragraph 7 below. Where a course is self-financing (i.e. the course is financed by a particular employer or

organisation) but open (i.e. other candidates who are suitably qualified may be enrolled), then any additional students that the finance does not cover may be returned as eligible for HEFCW funding.

Ineligible for HEFCW funding – home and EU non-fundable

- 7 Home and EU students ineligible for HEFCW funding are those who may pay a home fee but whose place is not considered eligible for any available HEFCW funding (for example, per capita funding). Students should be considered non-fundable where any of the following apply:

Based on location of the student:

- a) The student is based at a campus outside Wales within the UK or is distance learning outside Wales within the UK, and the student is not Welsh domiciled;
- b) The student is part of a franchise based outside Wales within the UK, or a franchise with a non-publicly funded institution, unless the student is Welsh domiciled and HEFCW has agreed that the provision is fundable;

Based on the funding source:

- c) The student place is on a self-financing course that is closed, i.e. the course is not open to any suitably qualified candidate, for example, courses specifically for particular employers;
- d) The student place is funded by the Welsh European Funding Office (WEFO) through the European Social Fund's Knowledge Economy Skills Scholarships which are part of the Higher Skills Wales programme;
- e) Funding for the student place, or for FT UG/PGCE new-regime students, the tuition fee, is paid from a public source and not directly by the student (via loan/grant or, for example, themselves, their employer or other private source). For example, WG, NHS, Home Office;
- f) For part-time and PGT and old-regime FT UG students, if the student place is funded from private sources;

Based on alignment with research funding criteria:

- g) The students are postgraduate research students who are not in 2014 REF units of assessment (UoAs) included in the QR funding model for 2016/17. These are those UoAs that have at least 3 classified FTE Category A staff and meet a combined volume and quality threshold. Details of the UoAs included in the QR funding

model for each institution can be found in Annex C of HEFCW circular W16/16HE 'HEFCW's Funding Allocations 2016/17.

Island and overseas students

- 8 Island and overseas students are those domiciled outside the UK or EU, or resident in the Channel Islands or the Isle of Man, who are not entitled to pay a home fee.

Definition of ASCs and ITT (QTS) specialist subjects

- 1 JACS subject codes are used to assign ASCs. The next page shows a mapping from JACS code to ASCs. The guidance given in paragraphs 2 to 7 should be used to assign registrations to ASCs.

ASC	Name	JACS Subject Codes	JACS Description
1	Clinical and Pre-clinical/non-clinical Subjects* 1a 1b 1c 1d	All A codes	Pre-clinical/non-clinical Medicine Clinical Medicine Pre-clinical/non-clinical Dentistry Clinical Dentistry
2	Subjects and Professions Allied to Medicine	B codes excluding: B2 L5 codes	Subjects Allied to Medicine (excluding Pharmacology, Toxicology and Pharmacy) Social Work
3	Science	All F codes All C codes All D codes B2 codes	Physical Sciences Biological Sciences Agriculture and Related Subjects Pharmacology, Toxicology and Pharmacy
4	Engineering and Technology	All H codes All J codes	Engineering Technologies
5	Built Environment	All K codes	Architecture, Building and Planning
6	Mathematical Sciences, IT and Computing	All G codes All I codes L140	Mathematical Sciences Computer Sciences Econometrics
7	Business and Management	All N codes	Business and Administrative Studies
8	Social Sciences	All L codes excluding: L5, L140 All M codes	Social Studies (excluding Social Work and Econometrics) Law
9	Humanities	All P codes All Q codes All R and T codes All V codes W8	Mass Communications and Documentation Linguistics, Classics and Related Subjects Languages and Related Subjects Historical and Philosophical Studies Imaginative Writing
10	Art, Design and Performing Arts	All W codes excluding: W8	Creative Arts and Design (excluding Imaginative Writing)
11	Education* 11a ITT (QTS) 11b Non-QTS	Any ITT leading to QTS All X Codes	Any ITT leading to QTS Education

*split into sub-categories.

Apportionment of student registrations between ASCs

- 2 The distribution of student registrations between ASCs on Table 4 depends on the assigned subject of qualification aim, with the following exceptions:

Initial Teacher Training

- 3 All undergraduate and postgraduate taught registrations on full-time ITT courses leading to QTS are wholly assigned to ASC 11a (Education ITT (QTS)) irrespective of their JACS codes. ASC 11a contains all and only those students on courses of ITT for primary or secondary teachers which lead to QTS upon successful completion. Courses of ITT for teachers in adult and further education and in-service training for teachers are recorded under ASC 11b (Education non-QTS).

ITT (QTS) secondary education specialist subjects

- 4 Each year, the Welsh Government assign intake targets for ITT (QTS) to different phases (primary and secondary), modes of study (undergraduate degree and PGCE) and, for secondary education, specialist subjects. The specialist subjects for 2016/17 are listed in Table 2 of Annex N. Centres of Teacher Education have been informed of their intake targets in HEFCW circulars [W16/01HE](#) (secondary intake targets 2016/17) and [W15/30HE](#) (primary intake targets 2016/17).
- 5 For registrations in secondary education, if a course is joint between specialist subjects, and the Centre of Teacher Education that the institution belongs to has intake targets in both subjects, then registrations are split between the two specialisms and counted as 0.5 in each specialism. If a course is such that it is in a specialist subject with another subject that is not a specialism then registrations on that course are counted wholly against the specialist subject. HEIs must make this adjustment to the IRIS EYM tables directly prior to signing off and returning to HEFCW if this is not reflected in the IRIS output. If there is no split into two specialist subjects, then registrations are counted as whole numbers.

Medicine and Dentistry

- 6 All full-time undergraduate registrations on courses in medicine and dentistry (including those on intercalated years) are wholly assigned to ASC 1, irrespective of their JACS codes. Courses other than medicine or dentistry are not assigned to ASC 1, either in part or in whole.

Major/Minor or Balanced combinations

- 7 Where JACS codes indicate a major/minor or balanced combination of subjects split between two or more ASCs, the students are allocated to the ASCs pro rata to the notional subject weightings and the resulting numbers are rounded to whole numbers or to 0.5 where partial completions are included (see Annex

H, paragraph 16) which, in total, show the correct number of completed student registrations.

Definition of mode of study

Full-time

- 1 Students are classified as registered for full-time study if:
 - a) they are normally required to attend (whether at premises of the establishment or otherwise) for periods of a minimum of 24 weeks; **and**
 - b) a whole full-time fee is chargeable for the current year of the programme of study (which will be a regulated fee for home and EU UG/PGCE students); **or**
 - c) they are in the final year of a full-time course in which they attend for less than 24 weeks.

- 2 Full-time regulated fees for home and EU UG/PGCE students are:
 - a) Regulated fees of up to £9,000 for undergraduates and PGCE (QTS) students who started after 1 September 2012;
 - b) Regulated fees of up to £3,465 for undergraduates and PGCE (QTS) students who started before 1 September 2012.

- 3 Full-time students will normally be studying for a qualification at the credit value rate shown below, i.e. studying for the number of credit values for their qualification over the time period specified for a full-time student. Exceptions to this will be where a student repeats a year of study or part of a year of study where a student has not progressed to the next year of study. Where students repeat a year on a full-time or part-time basis, the length of the course is effectively increased and the number of credit values increases accordingly.

Qualification	Credit Values	Normal duration if full-time
Professional doctorate	540	3 years
First degree with integrated Master's	480	4 years
First degree with integrated foundation year	360 for the degree element plus up to 120 for the foundation year	4 years
First degree, plus sandwich or other year out	480 (year out included as 120 credits)	4 years (including 1 sandwich or other year out)
First degree	360	3 years
Foundation degree	240	2 years

(with conversion module(s))	(+36)	(+ duration of module)
HND	240	2 years
HNC	150	1 year
Master's degree with dissertation	180	1 year (whole 12 months)
Cert HE	120	1 year
Postgraduate diploma	120	1 year
PGCE	120	1 year
Most minor qualifications	60	6 months

- 4 This includes all full-time, sandwich, placement, study and language year abroad students other than those falling within the definition of full-time sandwich year out below.

Full-time sandwich year out

- 5 Students are classified as registered for sandwich year out study if all of the following apply:
- a) they are pursuing studies where their course falls within the definition of sandwich provided in Part 1 (2)(6) of The Education (Student Support) (Wales) Regulations 2015 (SI 2015 No. 54) as amended in The Education (Student Support) (Wales) (Amendment) Regulations 2015 (SI 2015 No. 173) and the Education (Student Support) (Wales) (Amendment) Regulations 2016 (SI 2016 No. 77), or they are full-time on a study or placement year abroad; and
 - b) for home and EU students, the fees chargeable are:
 - for those students under the old fee regime that started before 1 September 2012, a regulated fee of approximately half the whole full-time fees that would otherwise be charged if the student were classified as full-time;
 - for those students starting after 1 September 2012 who are under the new fee regime, the fees for sandwich years out and study or placement years abroad:
 - Regulated fees of up to £1,350 for undergraduates who started after 1 September 2012 on courses provided in conjunction with overseas institutions (whether or not taken under the Erasmus+ programme), where study at the home institution is for less than 10 weeks.
 - Regulated fees of up to £1,800 for undergraduates who started after 1 September 2012 on sandwich years out that are not Erasmus+ years abroad where

study at the home institution is for less than 10 weeks.

- 6 If a student follows the same pattern of study as other students on a sandwich year out on their course and would be considered to be on a sandwich year out other than that they are an Island and overseas student and are therefore not subject to regulated fees, then they should be counted as sandwich year out.

Part-time

- 7 Students are classified as registered for part-time study if they do not meet the requirements to be either full-time or full-time sandwich year out.

Definition of level of study

Undergraduate degree

- 1 Undergraduate degree students are those aiming for a first degree. This includes integrated degree/Master's courses or degree courses that have an integrated foundation year. In both cases the activity is counted as undergraduate degree in every year of the course including the Master's and foundation years respectively.

Undergraduate non-degree

- 2 Undergraduate non-degree is defined as all undergraduate level courses which lead to a qualification other than a first degree. In general, such courses will be the equivalent of up to two years' full-time study, but the length of the course is not a defining factor when classifying courses as degree or non-degree. The relevant factor is whether the course enables the student to achieve a first degree or some other qualification - it is the latter which are classified as non-degree. Students on all programmes below first degree level should be classified as undergraduate non-degree even if the title of the qualification includes the word 'degree'. In particular, foundation degrees should be classified as non-degree.
- 3 Both full-time and part-time courses leading to certificates for the teaching of further education, returned in ASC 11b, are treated as undergraduate courses regardless of the course or qualification aim returned to HESA.

Postgraduate

- 5 Postgraduate students are those on courses which require as a normal condition of entry that entrants be already qualified at degree level. There are two groups of postgraduate, postgraduate taught and postgraduate research.

Postgraduate Taught

- 6 Postgraduate taught students are those attending courses which are mainly taught even though part of the course may include a dissertation. It includes all students on postgraduate degrees which are not mainly by research.
- 7 PGCE courses are to be included as taught postgraduate courses provided that they lead to QTS.

Postgraduate Research

- 8 Postgraduate research students are those attending courses which are mainly research although these may contain some formal teaching.

Rules for counting registrations

- 1 Only students who meet the following criteria are included in the data extraction:
 - a) they are registered. A registration is considered as a binding undertaking to pay a fee to an institution (unless the fee has been waived) as opposed to an acceptance of a place;
 - b) they are aiming to obtain a recognised HE qualification as defined in Annex B;
 - c) they are studying at least 3 per cent of a full-time equivalent (FTE), or approximately one week of study.

- 2 Included are:
 - a) new enrolments;
 - b) students re-registering for second or subsequent years of their study;
 - c) students on non-accredited HE courses only where HEFCW has been notified of these courses and has agreed to their inclusion;
 - d) students registered at FEIs, who are pursuing prescribed HE qualifications as defined in Annex B, only if their courses are eligible for mainstream funding from HEFCW either directly, or, through a franchise agreement (data are returned only by the institution which franchises out the course);
 - e) outgoing exchange students, including Erasmus+ students;
 - f) distance learning in the UK;
 - g) students franchised to other institutions in the UK;
 - h) students at campuses in the UK.

- 3 Excluded are:
 - a) incoming exchange students, including Erasmus+ or Junior Year Abroad (JYA) students;
 - b) students whose only activity during the year being counted is writing up a thesis or similar piece of work;
 - c) distance learners outside the UK;
 - d) students franchised to institutions outside the UK;
 - e) students at campuses outside the UK;
 - f) students whose provision is part of a validating arrangement only;
 - g) students who are dormant for the whole year.

Students registered for more than one qualification or course

- 4 No full-time or sandwich student should be counted twice in the same academic year; nor should full-time or sandwich students who are registered for the main and an additional qualification offered within a single course be counted twice. However, students who are registered for two separate courses, where one is

full-time or sandwich, and the other is part-time, will be included in Tables 3 and 4 under both full-time or sandwich and part-time. For these purposes, a part-time course should be considered to be separate if the ability to follow that course is not dependent on concurrent enrolment on the full-time course and the student continues to meet all of the study requirements of the main course without increasing the length of the main course. For both full-time and part-time courses which lead to more than one qualification, only a single registration should be included. Institutions should ensure that the EYM extraction reflects these criteria.

Non-standard academic years

- 5 Those students who are following programmes of study which do not coincide with the academic year (1 August to 31 July) will be counted once only for each period of up to 12 months of study. They should normally be counted in the year in which the first registration occurs and in the years including the anniversaries of the first registration.

Example 1: A student enrolls for a full-time PhD in April 2015 and completes the programme in March 2018. She should be counted as a registration in HESES/EYM 2014/15, 2015/16 and 2016/17. She is counted three times, once for each 12 month period of full-time study, in the academic year in which she first registered and in the two subsequent academic years containing the anniversary of the first registration.

Final year of full-time study

- 6 Full-time programmes in which the final year does not fit the usual criterion to be full-time in terms of length, i.e. the final year is less than 24 weeks, but the student has not changed their mode of study, will be included as full-time for the whole of the programme.

Example 2: A student enrolls on a full-time undergraduate course that starts on 1 October 2015 and finishes on 31 January 2017. He should be included in HESES/EYM 2015/16 as a full-time registration; and as a full-time registration again in HESES/EYM 2016/17 as even though he attends for less than 24 weeks, he has not changed his mode of study and is still registered as a full-time student.

Example 3: A student enrolls for a full-time 30 month undergraduate course that starts on 1 February 2017 and finishes on 31 July 2019. He should be included as a full-time registration in Table 3 and Table 4 on EYM 2016/17, and again as a full-time registration in Tables 3 and 4 on EYM 2017/18 and EYM 2018/19.

Repeated years of study

- 7 Where students repeat a full year on a full-time basis, and have not progressed to the next year of study, they will be included as a full-time student. Where a student repeats a year or part of a year on a part-time basis, and there has

been no progression to the next year of the course, the student will be included as a part-time student. In both cases, the total length of their course will increase by one year.

Completions and non-completions

- 8 In Tables 3, 4 and 5, the EYM extraction identifies the number of registered students who complete the year of study. This is all eligible students who have registered within the academic year minus those who have not completed. Any transfers between ASCs, modes or levels of study are included.
- 9 Non-completions occur where students do not complete their studies due to withdrawal, dropout, or failure to complete the year of study or take part in required assessment procedures. A registered student should generally be considered to be actively pursuing studies unless the institution has been formally notified of the student's withdrawal from the course. However, non-attendance for examinations generally indicates a student's failure to complete the year of study.
- 10 Completion status is determined on a year of study basis, not on a course basis. For example, a first degree student who takes all assessments required for the first year is counted as a completion for that year.
- 11 Students interrupting their studies for the remainder of the year of study for personal reasons are included in the definition of non-completions.
- 12 Students who sit examinations at the end of the course or year of study and fail them are deemed to have completed their studies and are **not** included as non-completions.
- 13 Students who do not take part in all or some of the required assessment procedures for the year of study, can complete by being assessed after the end of the academic year in order to enable them to progress to the next year or graduate. This will be, for example, where a student who did not sit the original examination within the year because of illness, takes a resit examination that takes place after the end of the academic year or where a student will be handing in coursework after the end of the academic year, by agreement with the institution. Estimates of the number of registrations expected to complete in this way will be included in the number of completions in the tables.
- 14 At the time of extraction of EYM data, it will be known if students who did not complete due to non-attendance at examinations, or non-participation in other assessment procedures, are eligible to take part in further assessment after the end of the academic year in order to complete. It will also be known for the previous year how many of those eligible to complete under these circumstances actually went on to complete. An estimate of such students will be included in the EYM extraction. In making any amendments to the EYM extraction, institutions should use the proportion of these students who did complete in the previous year, to estimate the number of such students who will complete for 2016/17. Institutions must keep auditable evidence to show the

basis of their calculations. Where the student has failed to take part in required assessment procedures and there is no alternative arrangement to assess the student, they are counted as a non-completion.

15 Some non-completions can be included as partial completions, and these are described in paragraph 16 below. Where registrations fall into the definition of partial completions, and returned as such on the HESA student record, they will be included in the total returned as 0.5 of a completion.

16 For **full-time and sandwich taught** courses only, registrations are considered as having partially completed in the following cases:

a) *Where the course is semesterised, if*

- individual modules are presented on a semester basis; and
- the student has not withdrawn before the end of the semester in which the modules start; and
- the student has taken part in all assessment procedures required for the modules pursued that take place during or immediately after the end of the semester;

then, even if there is additional assessment of the work undertaken during the semester that falls at the end of the year of study, the student can be counted as a partial completion.

b) *Where the course is not semesterised, if*

- the student has not withdrawn in the first four months of attendance; and
- the student has taken part in all assessment procedures required for all modules started in the first four months, that take place during the first four months; and
- there is auditable evidence to show that the student was still in attendance at the end of the four months;

then, even if there is additional assessment of the work undertaken during the first four months that takes place at the end of the year of study, the student can be counted as a partial completion.

Example 4: A student enrolls for a semesterised full-time undergraduate course that normally starts on 1 October 2016 and finishes on 30 June 2018. She completes the first semester of the first year but drops out in the second semester due to personal reasons. She rejoins the course in the 2017/18 academic year and completes the whole of the first year, and then goes on to complete the second year of the course in the 2018/19 academic year. She should be included in EYM 2016/17 as 0.5 of a full-time completed registration in Table 3 and Table 4. In 2017/18 and 2018/19 she should be included on EYM Table 3 and Table 4 as a full-time registration.

Example 5: 23 students enrol for a full-time first degree course. 2 students fail the first year and do not progress onto the second year of the course, instead, they repeat the whole of their first year on a full-time basis. They

would be counted as a registration four times, twice for the first year of their course and once each for the second and third years of the course.

Example 6: 57 students enrol for a full-time first degree course starting in October 2015. 2 students fail the first year. The first student failed 2 modules out of a total of 10 modules and so was eligible to progress to the second year providing the 2 failed modules were retaken alongside the second year modules. This student would be counted as a full-time student three times, once for the first year of the course in 2015/16, once for the second year of the course in 2016/17 and once for the third year of the course in 2017/18.

The second student failed 5 of the 10 modules taken in the first year and did not progress to the second year of the course. He retook the 5 failed first year modules on a part time basis in the 2016/17 academic year with the intention of resuming full-time study for the second year of the course in 2017/18. He would be counted as a full-time student for the first year of the course in 2015/16, as a part-time student in his second year at the institution in 2016/17, and as a full-time student in the second and third years of the course (in his third and fourth year at the institution) in 2017/18 and 2018/19.

- 17 Further examples can be found in Annex H of the HESES 2016/17 circular [W16/40HE](#).

Rules for counting credit values

- 1 Credit values are no longer collected on the HESES survey. However full credit value data is included in the EYM extraction to use in the calculation of credit-based funding, to enable any adjustments to funding to be calculated, and for an end of year credit value total to be calculated.
- 2 Credit values are used as the volume measure for funding part-time undergraduate provision. For 2018/19 funding, 2016/17 EYM data will be used in the calculation of funding.
- 3 The guidance below should be used by institutions in checking credit value data extracted as part of the IRIS outputs in Tables 1a, 1b, 1c and 5.
- 4 Annex K contains details of how we extract credit value data from the HESA student record via IRIS.
- 5 Only credit values associated with modules, units or courses relating to registrations that are eligible to be counted as defined in Annex H, that are home and EU fundable, are included in the extraction.
- 6 The numbers of credit values associated with enrolments are calculated by multiplying the total number of enrolments on each module, unit or course by the number of achievable credit values associated with the module, unit or course. For example, if 50 students are registered on a module from which 10 credit values may be achieved, the number of credit values to be recorded is 500. Credit values to be recorded are the credit values associated with the module, unit or course being pursued, not those successfully achieved.
- 7 All credit based data should conform to the Credit and Qualifications Framework for Wales (CQFW), except that the level of study should be that of the overall qualification aim and not that of the unit or module, if different.
- 8 The total numbers of credit values recorded for each course should not exceed that shown in the table in paragraph 3 of Annex F, for each student over the course as a whole, unless a year of study or part of a year of study is repeated where a student has not progressed to the next year of study (see paragraph 17 below). If there are courses which do not fit into the categories in the table, HEFCW should be contacted for advice.
- 9 Where an institution has not formally allocated CQFW credit values to elements of its programmes, then notional credit values should be returned on the basis of the CQFW standard. This is 120 credit values for one academic year of HE experience for full-time undergraduates, apart from HNCs, for which the standard is 150 credit values; 180 credit values for postgraduates with one full 12 month year of HE, for example, an MSc with dissertation; and 120 credit

values for postgraduate courses of less than a full 12 months, for example, a postgraduate diploma without a dissertation. In this context, it will be helpful to note the CQFW definition of the study year in terms of notional learning time: 1,200 hours for undergraduates (academic year); 1,800 hours for postgraduates (12 month year). (See [CQFW guidance](#) and [QAA frameworks document](#).)

- 10 The level of study of the credit is assumed to be that of the qualification aim of the student.
- 11 Each module or unit is assigned to the academic year in which the module or unit started, and all credit values associated with that module or unit shown in EYM in that academic year only. In this way each credit value will be counted once only, even if the module or unit spans two academic years.
- 12 If a course is not yet modularised, notional credit values based on the maximum numbers that can be claimed over the course as a whole should be returned.
- 13 Only modules essential for the award of the qualification will be counted, and these are expected to be returned as countable on the HESA student record. Optional or elective modules not essential to the award of the qualification must **not** be returned as countable.

Example 1: A student enrolls for a part-time course on 1 February 2017 and completes the programme on 31 May 2019. The credit values to be recorded in EYM 2016/17 would be those associated with modules/units commenced between 1 February 2017 and 31 July 2017 and would be recorded in column 2 of Table 1c. Those relating to modules/units commencing between 1 August 2017 and 31 July 2018 would be recorded in column 1 of Table 1c of EYM 2017/18; and those relating to modules/units started between 1 August 2018 and 31 May 2019 would be recorded in column 1 of Table 1c of EYM 2018/19.

Example 2: A student enrolls for a part-time HNC on 1 October 2015 and finishes on 30 June 2017. All credit values associated with modules/units started in the period 1 October 2015 to 31 July 2016 would be recorded in EYM 2015/16 and all credit values associated with modules/units started in the period 1 August 2016 to 30 June 2017 would be recorded in EYM 2016/17. The overall total number of fundable credit values for the course as a whole recorded in EYM 2015/16 and 2016/17 should not exceed 150 credit values.

Apportionment of credit values between ASCs

- 14 Each credit value is ascribed to the ASC of the subject taught in the module or unit rather than the subject of the qualification aim of the student. This will generally correspond to the JACS code returned on the module entity of the HESA student record - see Annex K. For example, a mathematics module for

business students will generally be ascribed to ASC 6, Mathematical Sciences, IT and Computing, not ASC 7, Business and Management. The JACS to ASC mapping given in Annex E will be used to categorise credit values into ASCs based on the JACS code of the module.

- 15 Credit values relating to ASC 11a are not distributed across other ASCs; all are counted against ASC 11a. Credit values relating to individual modules of courses other than medicine and dentistry or ITT (QTS) courses are not assigned to ASC 1 or ASC 11a.

Modules taken on a not for credit basis

- 16 If part-time students are taking module(s) which are credit bearing but on a not for credit basis, and this is the only study they are undertaking in the reporting year, then the credits associated with these modules can be excluded from the return provided the intention of the student not to take the assessment has been recorded at the outset of the module(s). It is not a requirement that there is a formal process in place to record the students intentions for these modules, however, in order to manually exclude these credits from the extraction, this process must be in place. This will generally apply to students taking continuing education type provision who are not aiming for a HE qualification aim and have no intention from the outset of gaining credit that can be counted towards one.

Example 3: A part-time module worth 10 credits starts in February 2017, finishing in May 2017. 23 students enrol on the module, which is the only module they are taking in the year, and are asked at the start of the module if they intend to take the exam at the end of the module, and this is formally recorded by the institution. 6 students declare that they will not be taking the exam and so took the module on a not for credit basis. 170 credits are counted in column 1 of Table 1c, relating to the 17 students who took the assessment for the course. Of the 6 students who declared they would not take the exam, 1 changes their mind and sits the exam in May. Therefore, in column 1 of Table 1c, 180 credits are counted. Any adjustment to the HESA data extracted would be done by institutions during the sign off process

Repeated years

- 17 Where students repeat a year on a full-time or part-time basis, the length of the course is effectively increased and the number of values increases accordingly (for example, a part-time degree usually lasting six years where 60 credits are taken per year with a repeat year becomes a seven year degree equivalent to 420 fundable credit values). Credit values associated with students repeating a full year on a full-time basis, where the student has not progressed to the next year of study, are counted. Similarly, credit values associated with students repeating a semester or part of the year on a part-time basis who have not progressed to the next year of study and are not taking any modules relating to the next year of study, are counted. However, credit values associated with repeat modules where the student has progressed to the next year of study are **not** counted, unless the credit values associated with the module were counted

as not completed in the previous year. In such cases, where credit values associated with a repeat module are counted, the maximum number of credit values over the whole course should not exceed those listed in paragraph 3 of Annex F. Modules returned on the HESA student record should be recorded as countable or not countable accordingly so that they can be extracted correctly.

- 18 Where a student studying for a full-time course is also studying for a part-time course which is eligible to be counted, as described in paragraph 4 of Annex H, then the credit values relating to modules of the part-time course are counted.

Completions and non-completions

- 19 A module or unit and the credit values associated with it are counted as completed if all assessment required for that module or unit has been undertaken. Otherwise, the module or unit and the credits associated with it are counted as not completed.
- 20 Where a student withdraws or drops out of their course having completed some modules or units, or continues but withdraws or drops out of some modules or units, only the credit values associated with those modules or units that were not completed are included as non-completions. Credit values associated with the completed modules or units are **not** counted as non-completions.
- 21 Credit values associated with students who do not take part in all or some of the required assessment procedures for a module or unit for the year of study, can be counted as completed if the student is assessed after the end of the academic year in order to enable the student to progress to the next year or graduate. This will be, for example, where a student who did not sit the original examination for the module or unit within the year, because of illness, takes a resit examination that takes place after the end of the academic year or where a student will be handing in coursework for the module or unit after the end of the academic year, by agreement with the institution. However, at the time of extraction of the EYM data, these credit values will be classified as not completed, according to the definition above, as the student will not have taken part in the required assessment for the module, and it will not yet be known whether they will take the assessment after the end of the academic year. Paragraph 23 below explains how estimates of the numbers of such credit values are included in the EYM extraction and can be amended by institutions at sign off.
- 22 At the time of extraction of the EYM data, it will be known if students who did not complete a module due to non-attendance at examinations, or non-participation in other assessment procedures, are eligible to take part in further assessment after the end of the year in order to complete the module. It will also be known for the previous year how many of those eligible to complete under these circumstances actually went on to complete the module. The EYM extraction estimates the number of non-completions. If amendments are necessary to reflect students in this situation, institutions should use the proportion of these students who did complete the module in the previous year, to estimate the number of such students who will complete the module for

2016/17, and therefore the number of credit values associated with them that should be counted as completed. (See example 4 below). Institutions must keep auditable evidence to show the basis of their calculations. Where assessment procedures for a module or unit have not taken place, and there is no alternative arrangement to assess the student for that particular module or unit, the credit values associated with the module or unit should be counted as not completed.

23 For **full-time and sandwich taught** courses only, credit values for non-completed modules may be returned as partially completed on the HESA student record in the following cases:

- a) *Where the course is semesterised, if*
- all required assessments due for the module during the semester in which the module starts have been undertaken;
- then, even if there is additional assessment for the module at the end of the year of study, credit values relating to the module for the first semester can be counted as completed.
- b) *Where the course is not semesterised, if*
- all required assessments due for the module in the first four months of attendance have been undertaken; and
 - there is auditable evidence that the student was still in attendance at the end of the four months;
- then, even if there is additional assessment for the module at the end of the year of study, half the credit values associated with the module can be counted as completed.

Example 4: 10 students enrol for a part-time course in English starting in May 2017. The first module of the course, which is worth 20 credit values, starts in May 2017 and finishes in October 2017. In the previous year, out of 12 students starting the equivalent module, 1 withdrew from the module in June and 2 withdrew from the module in August, having taken no assessment for the module. In column 2 of Table 1c, $10 \times 20 = 200$ credit values are counted in ASC 9. In column 3, an estimate of the number of credit values not completed, based on previous years' data, calculated as $3/12 \times 10 \times 20 = 50$, is counted in ASC 9. The total number of assumed credit values for the module, calculated in column 4, would be 150.

Example 5: 57 students enrol for a part-time first degree course in October 2016. 1 student fails 2 out of 3 modules taken in the first year and does not progress to the second year of the course. All modules are worth 20 credits each. The student retakes the 2 failed first year modules in the 2017/18 academic year with the intention of resuming study for the remainder of the course in 2018/19. In the first year of the course, 60 completed credit values would be counted on Table 1c for 2016/17 for the student. For the year in which the student repeated the 2 failed modules, 40 credit values would be counted, on Table 1c for 2017/18. For the second year of the course (the student's third year at the institution), 60 credit values would be counted on Table 1c for 2018/19, and similarly, 60

credit values would be counted for each subsequent year. The number of credit values counted in total for this student over the whole course, assuming they took 60 credits per year for the rest of the course and did not repeat any more modules, which has taken seven years, would be 400.

- 24 Further examples can be found in Annex N of the HESES 2016/17 circular [W16/40HE](#).

Table and column descriptions

Directly funded HEIs and FEIs

- 1 All tables will be as drawn from the HESA student record as part of the IRIS transaction.
- 2 For merged institutions EYM tables extracted through the HESA IRIS system will be presented as one institution that includes all institutions that were part of the merger.
- 3 In all tables, data relating to franchised out students are included in the tables of the franchisor only (see Annex C, paragraph 14) and included in all relevant columns.
- 4 Data returned in Tables 3, 4 and 5 are shown to one decimal place, where full-time taught partial completions are included as 0.5 of a completion. In Table 4, completed registrations are apportioned between ASCs, and figures are rounded to whole numbers or the nearest multiple of 0.5, as described in Annex E, paragraph 7.
- 5 Data on Table 2 are shown as whole numbers unless secondary education registrations have been split between specialist subjects, as described in Annex E, paragraph 5, when 0.5 is counted against each subject. Secondary education totals within each level of study (undergraduate degree or PGCE) will be whole numbers.

Table 1a, 1b and 1c

- 6 Tables 1a, 1b and 1c include information on all home and EU fundable assumed completed credit values for the academic year 2016/17 by level of study (with undergraduate split into degree and non-degree on Tables 1a and 1b), mode of study, whether the credit value is wholly or partially franchised out or not and ASC. Credit values are included in accordance with the guidelines set out in Annex I.
- 7 The tables have four principal columns.
 - **Column 1:** Numbers of credit values arising from registrations on modules, units or courses between 1 August 2016 and 1 November 2016 inclusive. Figures are net of all known transfers, withdrawals and dropouts occurring up to 1 November 2016.
 - **Column 2:** Numbers of credit values arising from forecast new registrations on modules, units or courses after 1 November 2016. Figures recorded here are after allowance for transfers after 1 November 2016.

- **Column 3:** Numbers of credit values associated with non-completions of modules, units or courses, after 1 November 2016. Credit values in column 3 are a subset of those returned in columns 1 and 2.
- **Column 4:** This shows the overall assumed completed credit values to be used in the calculations of the main teaching funding arising from registrations on modules, units or courses for the academic year 2016/17. It is the sum of columns 1 and 2, minus column 3.

8 Table 1c has two further columns.

- **Column 5a:** The number of assumed completed credit values associated with students who are wholly franchised out. See Annex C and Annex K paragraph 22 for further guidance. Credit values included here are net of all known or predicted transfers or non-completions, consistent with column 4, and are a subset of the data returned in column 4.
- **Column 5b:** The number of assumed completed credit values associated with students who are partially franchised out. See Annex C and Annex K paragraph 22 for further guidance. Credit values included here are net of all known or predicted transfers or non-completions, consistent with column 4, and are a subset of the data returned in column 4.

Table 2

9 Table 2 shows information about home and EU fundable full-time ITT (QTS) registrations in ASC 11a between 1 August 2016 and 1 November 2016 inclusive. The column is broken down by:

- Phase (secondary or primary)
- Level of study (undergraduate degree or PGCE)
- Specialist subject of study for secondary phase. Within the 24 secondary subjects it should be noted that:
 - i. Mathematics includes Statistics;
 - ii. Physical Education includes Movement Studies and Dance.

10 Figures are net of all known transfers, withdrawals and dropouts occurring up to 1 November 2016. Those registrations repeating the first year of the course are excluded from the table.

Table 3

11 Table 3 includes information on all assumed completed student registrations for the academic year 2016/17 by level of study (with undergraduate split into degree and non-degree), mode of study, whether the registration is franchised out or not (undergraduate only) and residential and fundability status. Registrations are included in accordance with the guidelines set out in Annex H.

12 The table has four columns.

- **Columns 1a to 1c:** Numbers of assumed completed full-time registrations, split into home and EU fundable, home and EU non-fundable and Island and overseas. Figures are net of all known and predicted transfers, withdrawals and dropouts.
- **Column 2a to 2c:** Numbers of assumed completed sandwich year out registrations, split into home and EU fundable, home and EU non-fundable and Island and overseas. Figures are net of all known and predicted transfers, withdrawals and dropouts.
- **Column 3a to 3c:** Numbers of assumed completed part-time registrations, split into home and EU fundable, home and EU non-fundable and Island and overseas. Figures are net of all known or predicted transfers, withdrawals and dropouts.
- **Column 4a to 4c:** These columns show the overall number of assumed completed registrations. It is the sum of columns 1, 2 and 3, split into home and EU fundable, home and EU non-fundable and Island and overseas.

Table 4

- 13 Table 4 includes information on all home and EU fundable assumed completed registrations for the academic year 2016/17 by level of study (with undergraduate split into degree and non-degree), mode of study, whether the registration is franchised out or not (undergraduate only) and ASC.
- 14 The table has four columns:
- **Columns 1a to 1f:** Numbers of assumed completed home and EU registrations for full-time undergraduate and postgraduate students, in terms of headcount of individuals.
 - **Column 2a to 2f:** Numbers of assumed completed home and EU registrations for sandwich year out undergraduate and postgraduate students, in terms of headcount of individuals.
 - **Column 3a to 3f:** Numbers of assumed completed home and EU registrations for part-time undergraduate and postgraduate students, in terms of headcount of individuals.
 - **Column 4a to 4c:** These columns show the overall number of assumed completed home and EU fundable registrations. It is the sum of columns 1, 2 and 3, split by level of study.

Table 5

- 15 Table 5 presents information about Performance Element provision in ASC 10 at the University of South Wales. The criteria used to extract the information from the HESA student record is defined in Annex K paragraph 38.

16 The table has the following columns over three sub-tables:

Table 5a and 5b – credit values

- **Columns 1 to 4:** Numbers of assumed completed home and EU fundable credit values associated with ASC 10 performance element related registrations at the University of South Wales. Table 5a shows data about full-time credit values and Table 5b about part-time credit values. The columns on each of Tables 5a and 5b are of the same format as those included in paragraph 6., The credit values are a subset of those included for ASC 10 in Tables 1a and 1c.

Table 5c – registrations

- **Columns 1a and 1c:** Numbers of assumed completed home and EU fundable registrations for full-time undergraduate and postgraduate students enrolled on ASC 10 performance element related courses at the University of South Wales.
- **Columns 3a and 3c:** Numbers of assumed completed home and EU fundable registrations for part-time undergraduate and postgraduate students enrolled on ASC 10 performance element related courses at the University of South Wales.
- **Columns 4a and 4c:** Total numbers of assumed completed home and EU fundable registrations enrolled on ASC 10 performance element related courses at the University of South Wales, by level of study.

HESA/HESES mappings and end of year monitoring data extraction criteria

- 1 This annex provides mappings which HEFCW will use to extract EYM and other data from the HESA student record, including as part of the HESA IRIS process. It should be noted that in some cases it is not possible to define HESES/EYM categories entirely in terms of HESA fields. In particular, where students follow non-standard academic years and patterns of study within the institution are not the same from year to year, there may be discrepancies in comparisons made.
- 2 In all cases, the HESES rules must be followed when completing the HESES return. In coding student data for the HESA student record, where fields ask for funding council definitions to be used then it is those contained in this circular that should be used. However, it should not be assumed that students fall into a particular HESES category solely on the basis of the coding of HESA fields as there may be cases where only an approximate match of definitions can be made.
- 3 The EYM tables for merged institutions extracted through the HESA IRIS system will be presented as one institution. This enables estimations to be calculated on an institution wide basis, however, the HESA IRIS EYM student data sheets include an INSTANCE.CAMPID field for checking purposes.
- 4 The mappings show the name of the relevant HESA field in the form of ENTITY.FIELDNAME. Guidance relating to the HESA fields can be found in the HESA student record coding manual, available at www.hesa.ac.uk

HESES/EYM population

- 5 The following categories of students are excluded from the HESES/EYM population:

Students not studying towards a recognised HE qualification aim or a credit that can be counted towards one	COURSE.COURSEAIM = All P, Q, R, S, X codes and C99, H99, I99, J99, L99, M99.
Dormant or sabbatical	INSTANCE.MODE = 51, 63, 64
Incoming exchange students	INSTANCE.EXCHANGE = 4, G
Students studying for less than 3% FTE	INSTANCE.STULOAD < 3
Specific exclusions	INSTANCE.FUNDCOMP = 9

- 6 The following students, though in the population, will not be counted as registrations for HESES/EYM (some credit values associated with these students may be counted where a module is started in 2016/17):

Writing up students	INSTANCE.MODE = 43, 44
Students in their final year attending a course which follows a non-standard academic year	INSTANCE.TYPEYR = 2 and INSTANCE.ENDDATE ≤ 31072017 and INSTANCE.ENDDATE ≤ anniversary of INSTANCE.COMDATE in 2016/17 plus two weeks

HESES/EYM categorisation

Residential status and eligibility for mainstream funding

- 7 Students will be categorised into residential status and eligibility for funding as follows:

Home and EU fundable	INSTANCE.FUNDCODE = 1
Home and EU non-fundable	INSTANCE.FUNDCODE = 2 and INSTANCE.FEEELIG = 1, 3
Island and overseas	Otherwise

- 8 In using this coding to categorise home and EU students as non-fundable, we are assuming that where INSTANCE.FEEELIG is 3 that the student is home and EU, as eligibility of Island and overseas students is likely to have been assessed in order to inform the level of fee charged. This could lead to some students being categorised as home and EU non-fundable where in fact they should be Island and overseas. Institutions should pay regard to the coding of this field in order to ensure that students are correctly categorised.
- 9 Home and EU full-time undergraduate and PGCE registrations will be further categorised by residential status, using domicile as a proxy (see paragraph 20 below), into Welsh and EU residential status and other UK residential status.

Assignment to ASCs

Registrations

- 10 Full-time registrations will be assigned to ASCs on the basis of the JACS codes shown in COURSESUBJECT.SBJCA and the proportions in each subject shown in COURSESUBJECT.SBJPCNT, with the exceptions of full-time undergraduate medicine and dentistry (ASC 1) and full-time undergraduate and PGCE ITT (QTS) (ASC 11a). The mapping between JACS codes and ASCs shown in Annex E will be used.

- 11 Where postgraduate medicine or dentistry provision is coded using any A9 JACS code, it will be assumed to be non-clinical medicine.

Full-time undergraduate medicine and dentistry provision

- 12 Full-time undergraduate medicine and dentistry registrations will be assumed to be those with all course subjects of study in JACS codes A as they cannot be split between ASCs in returning data on the HESES survey. Students on courses coded as both non-clinical and clinical medicine or dentistry will be categorised into non-clinical or clinical based on the year of programme (e.g. if a course is coded as 50% A100 and 50% A300 then if the first year of the course is known to be pre-clinical, then students in the first year will be coded as non-clinical medicine). ASCs will be assigned as follows:

	COURSESUBJECT.SBJCA
Non-clinical medicine	A100
Clinical medicine	A300
Non-clinical dentistry	A200
Clinical dentistry	A400

- 13 Year of programme will be assigned as follows:

Registrations on intercalated years	INSTANCE.INTERCALATE = 01
Year of programme	INSTANCE.YEARPRG
Year 0	00
Year 1	01
Year 2	02
Year 3	03
Year 4	04

Full-time undergraduate and postgraduate taught ITT (QTS) (ASC 11a)

- 14 Registrations will be assigned to ASC 11a, ITT (QTS), where COURSE.TTCID = 1. Registrations will be further categorised as follows:

Primary phase	INSTANCE.ITTPHSC = 53, 61-65
Secondary phase	INSTANCE.ITTPHSC = 55 to 57 Subject of study will be assigned using COURSESUBJECT.SBJCA and COURSESUBJECT.SBJPCNT (with manual adjustments if necessary to ensure that subjects are counted against the

	COURSE.COURSEAIM = M71 and INSTANCE.TTCID ≠ 1
Postgraduate taught (including PGCE (QTS))	COURSE.COURSEAIM = All E codes, All other M codes except M99 or COURSE.COURSEAIM = M71 and INSTANCE.TTCID = 1 or COURSE.COURSEAIM = H71 and INSTANCE.TTCID = 1
Postgraduate taught (PGCE (QTS))	COURSE.COURSEAIM = M71 and INSTANCE.TTCID = 1 or COURSE.COURSEAIM = H71 and INSTANCE.TTCID = 1
Postgraduate research	COURSE.COURSEAIM = All L and D codes except L99

New entrants and students in their second to fifth year or continuing at the institution (HESES)

- 19 New entrants and students in their second to fifth year (for the purpose of Table 3 of HESES) at the institution are categorised as follows:

New entrants	INSTANCE.YEARSTU = 1
Students in their second year at the institution	INSTANCE.YEARSTU = 2
Students in their third year at the institution	INSTANCE.YEARSTU = 3
Students in their fourth year at the institution	INSTANCE.YEARSTU = 4
Students in their fifth year at the institution	INSTANCE.YEARSTU = 5

- 20 New entrants and students in their second to fifth year at the institution will be considered home and EU fundable or non-fundable according to the criteria in paragraph 7. NHS students will be identified and excluded using COURSE.MSFUND = 13, 31. They will be further categorised into residential status, using domicile as a proxy, as follows:

Welsh and EU residential status	ENTRYPROFILE.DOMICILE = XI, AT, BE, BG, HR, XA, CZ, DK, EE, EU, FI, AX, FR, GF, GP, MQ, YT, RE, DE, GR, HU, IE, IT, LV, LT, LU, MT, NL, PL, PT, RO, SK, SI, ES, IC, SE.
Other home residential status	Otherwise

- 21 For the purposes of Table 2 of HESES, ITT (QTS) registrations will be counted as new entrants as follows:

New entrants	INSTANCE.YEARPRG = 01 INSTANCE.YEARSTU = 01
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Students franchised out

- 22 Part-time and full-time students that are franchised out are counted as those studying on modules taught at another institution. Students on partial franchises are counted as franchised out if the majority of their activity for the year is franchised out (see paragraph 21, Annex C). The table below shows what will be counted as franchised out registrations in our HESES/EYM data extractions:

Wholly franchised out registrations	MODULE.FRANIND = 1 and MODULE.PCOLAB = 100 for all modules taken
Partially franchised out registrations (where resulting proportion \geq 50%)	MODULE.FRANIND = 1 and MODULE.PCOLAB > 0 for at least one module taken Proportion of registration franchised out = Sum of MODULE.CRDTPTS x MODULE.PCOLAB over all modules with MODULE.FRANIND = 1 and MODULE.PCOLAB > 0, divided by total credit points over all modules

- 23 In analysing franchised out data, the proportions may also be used to determine what volume of registration activity is franchised out to get a more accurate view of the extent of franchise provision. Further guidance on franchised out credit values can be found in paragraph 37 below.

Erasmus+ and non-Erasmus+ year abroad registrations

- 24 Erasmus+ undergraduate students on a whole year exchange out, on a whole year work placement out, on a whole year placement as a language assistant or on a whole year out as some consecutive combination of these categories, and undergraduate non-Erasmus+ study years abroad or work placement year abroad are categorised as follows:

Erasmus+ exchange out, work placement out, language assistant or combination of these categories of registrations	INSTANCE.LOCSDY = T and MOBILITY.MOBScheme = 03
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Non-Erasmus+ study year abroad registrations	INSTANCE.LOCSDY = T and MOBILITY.MOBSCHEME ≠ 03 and MOBILITY.MOBTYP = 01
Non-Erasmus+ work placement year abroad	INSTANCE.LOCSDY = T and MOBILITY.MOBSCHEME ≠ 03 and MOBILITY.MOBTYP = 02, 03

Registrations up to 1 November

- 25 The following registrations will be assumed to be those registrations up to 1 November, counted on Table 2 of HESES/EYM:

Those who complete on or before 1 November 2016 and are on a standard academic year	INSTANCE.ENDDATE ≤ 01112016 and INSTANCE.FUNDCOMP = 1 and INSTANCE.TYPEYR = 1
Those who started on or before 1 November 2016	INSTANCE.COMDATE ≤ 01112016

Completions

- 26 Registrations that are eligible to be counted on HESES/EYM are assumed to be completed as follows:

Registrations that completed the year of programme	INSTANCE.FUNDCOMP = 1
--	-----------------------

- 27 For full-time and sandwich year out taught students eligible to be counted on HESES/EYM, registrations will be assumed to fit the definition of a partial completion as follows, and will be counted at 0.5:

Registrations that partially completed the year of programme	INSTANCE.FUNDCOMP = 4
--	-----------------------

- 28 Proportions in each completion status category for registrations with known completion status will be used to estimate the number of completed and partially completed registrations for those registrations with unknown completion status (INSTANCE.FUNDCOMP = 3, students are yet to complete but have not failed to complete) and these will be added to the count of completed registrations.

Assignment of credit values to columns in Tables 1a, 1b and 1c

- 29 For all columns of data, modules will be counted if they fit the following criteria.

Modules started in 2016/17	STUDENTONMODULE.MODSTAT = 2, 3
Module is countable	STUDENTONMODULE.MODCOUNT = 2

Module is not on a not-for-credit basis STUDENTONMODULE.MODOUT ≠ 5

30. The number of credit points counted will be taken from MODULE.CRDTPTS.

Column 1

- 31 Credit values for modules associated with the following registrations, that were started in the 2016/17 academic year, will be assumed to be in column 1:

Those who started on or before 1 November 2016 INSTANCE.COMDATE ≤ 01112016

Column 2

- 32 Credit values for modules associated with the following registrations, will be assumed to be in column 2:

Those who started after 1 November 2016 INSTANCE.COMDATE > 01112016

Column 3

- 33 Credit values included in columns 1 and 2 will be counted as not completed where:

Modules not completed STUDENTONMODULE.MODOUT = 4, A, B or
STUDENTONMODULE.MODOUT = 3 and mode of study is part-time

- 34 Credit values included in columns 1 and 2 will be assumed to be partially completed, and counted at 0.5, where:

Modules assumed partially completed STUDENTONMODULE.MODOUT = 3 and mode of study is full-time or sandwich

- 35 Proportions in each module outcome for modules with known outcomes will be used to estimate the number of credit values associated with modules coded with unknown outcome (STUDENTONMODULE.MODOUT = 6) that are not completed and these will also be counted in column 3.

Column 4

- 36 Column 4 credit values will be calculated as columns 1 plus 2 minus column 3.

Column 5 (Table 1c)

- 37 Franchised out modules for part-time registrations are counted as those not taught by the institution and are split between those wholly franchised out credit values, and those that are partially franchised out as defined below. The columns will be summed as a total franchised out credit value figure for funding purposes.

Wholly franchised out credit values	Sum of MODULE.CRDTPTS for all modules, where MODULE.FRANIND = 1 and MODULE.PCOLAB = 100
Partially franchised out credit values	Sum of MODULE.CRDTPTS x MODULE.PCOLAB over all modules with MODULE.FRANIND = 1 and MODULE.PCOLAB > 0 that are not wholly franchised out as above

Performance Element provision

- 38 Registrations at the University of South Wales will be considered to be Performance Element provision where INSTANCE.CAMPID = B and the course subject JACS code maps to ASC 10. Credit values will be considered to be Performance Element where INSTANCE.CAMPID = B and the JACS code of the module maps to ASC 10.
- 39 Registrations and credit values will be taken as those prior to any exclusion of non-completions.

Students outside the HESES/EYM population

- 40 The headcount of students returned on the HESA aggregate offshore record that are based outside the UK, and will be categorised as follows:

Students based at a campus outside the UK	TYPE = 1 and LEVEL ≠ F
Other students based outside the UK	TYPE ≠ 1 and LEVEL ≠ F

- 41 Data will be broken down into level of study, where:

Undergraduate degree	LEVEL = H, I
Undergraduate non-degree	LEVEL = J, C
Postgraduate taught	LEVEL = E, M
Postgraduate research	LEVEL = D, L

- 42 Students that are not in the HESES/EYM population, but are based in the UK, will be considered to be those students returned on the HESA student record that fit the criteria to be included in the HESES/EYM population, apart from being coded as not being in the HESES/EYM population, i.e. where INSTANCE.FUNDCOMP = 9. Where we find that institutions are returning significant numbers of these on the HESA student record we will discuss with the institution concerned why these students are considered not to be in the HESES/EYM population.

Usage of data by HEFCW

- 1 The main uses of end of year monitoring data are to calculate credit-based funding allocations, to monitor funding allocations and to provide a comprehensive end of year picture for the sector. An outline of the reasons for extracting the data on each table is given below.

Tables 1a, 1b and 1c

- 2 Tables 1a, 1b and 1c present data relating to credit values for all modes of study and levels of study apart from postgraduate research. End of year monitoring credit values for 2016/17 will be used as the basis for calculating 2018/19 credit-based teaching funding allocations.
- 3 They are also used as the basis for calculating any adjustment to credit-based teaching funding allocations for the 2016/17 academic year. Credit-based teaching funding allocations for 2016/17 were calculated separately for part-time undergraduate (not franchised out) and part-time undergraduate franchised out levels of study. Credit values associated with home and EU fundable registrations are extracted, by ASC, in these two categories. Additionally, credit values associated with full-time provision and part-time postgraduate provision are extracted though do not relate to credit-based funding allocations.
- 4 Extracting credit values data for all levels of study, modes of study and ASCs ensures that HEFCW has a complete picture of the number of credit values associated with home and EU fundable registrations relating to modules for the whole of the academic year.

Table 2

- 5 Data from Table 2 are used to predict and monitor the number of teachers qualifying with QTS in each phase, level of study and subject.

Tables 3 and 4

- 6 Tables 3 and 4 present data relating to registrations. Table 3 shows data on all completed registrations for the year. The data are used to gain a complete, up to date picture of the size of the sector and also of the scale of provision that is not fundable by HEFCW.
- 7 Table 4 presents data for home and EU fundable registrations only, by ASC. The data are used to look at patterns in student recruitment and to provide data to inform policy about particular subject areas. The data are also used to monitor the number of credit values returned in the survey, per registration.

- 8 Categories of undergraduate provision are broken down into degree and non-degree and by whether the registration is franchised out or not. This is to enable us to monitor levels of provision within undergraduate and monitor any changes in franchised provision available.

Table 5

- 9 Data presented in Table 5 will be used to monitor Performance Element provision at the University of South Wales.

Funding status reference grid

Summary of funding rules by location of study and fee regime 2016/17

Home and EU PT/PGT and old regime FT UG students

	In Wales			In UK outside Wales			Outside UK
	Welsh domicile	Other home and EU domicile	Island and overseas	Welsh domicile	Other home and EU domicile	Island and overseas	All domiciles
Distance learning	F	F	IO	F	NF	IO	NF & NR
At institution's campus	F	F	IO	F	NF	IO	NF & NR
Franchise to publicly funded institution	F	F	IO	NF	NF	IO	NF & NR
Franchise to non-publicly funded institution	NF	NF	IO	NF	NF	IO	NF & NR
Other collaborative arrangements/partnerships ¹	NF & NR	NF & NR	IO & NR	NF & NR	NF & NR	IO & NR	NF & NR
Any location with place funded from other sources or as part of a specific scheme ² or the place is on a closed course ³	NF	NF	IO	NF	NF	IO	NF & NR

Home and EU new regime FT UG/PGCE students

	In Wales			In UK outside Wales			Outside UK
	Welsh domicile	Other home and EU domicile	Island and overseas	Welsh domicile	Other home and EU domicile	Island and overseas	All domiciles
Distance learning - fees paid through grants/loans or by student/employer	F	F	IO	F	NF	IO	NF & NR
At institution's campus - fees paid through grants/loans or by student/employer	F	F	IO	F	NF	IO	NF & NR
Franchise to publicly funded institution - fees paid through grants/loans or by student/employer	F	F	IO	NF	NF	IO	NF & NR
Franchise to non-publicly funded institution - fees paid through grants/loans or by student/employer	NF	NF	IO	NF	NF	IO	NF & NR
Other collaborative arrangements/partnerships ¹ - fees paid through grants/loans or by student/employer	NF & NR	NF & NR	IO & NR	NF & NR	NF & NR	IO & NR	NF & NR
Any location with fees paid by a public body other than HEFCW or funded as part of a specific scheme ² or the place is on a closed course ³	NF	NF	IO	NF	NF	IO	NF & NR

Notes:

F = home and EU fundable

NF = home and EU non-fundable

IO = Island and overseas

NR = non-returnable on HESES/EYM

¹Other collaborative arrangements/partnerships include partnerships with institutions or organisations not owned by the Welsh HEI, that are not franchising arrangements, for example partnerships with non-publicly funded colleges where the institution provides quality assurance or validating arrangements only and does not provide any funding to that college.

²For example, Phase 2 of the UHOVI scheme.

³A course is closed if the costs of that course are met by a particular company or organisation and the course is not open to all those suitably qualified.

For joint courses, only provision belonging to the Welsh institution should be considered for inclusion on HESES/EYM. The rules above should be applied to that provision.

Sample copies of IRIS output tables extracted from HESA data

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Table 1a: Home and EU Fundable Credit Values

Mode: Full-time

Institution:

Code:

ASC	Level	Credit Values between 1 August 2016 and 1 November 2016	Credit Values after 1 November 2016 in AY 2016/17	Number of Credit Values Not Completed (of those in columns 1 & 2)	Total Assumed Completed Credit Values AY 2016/17	
		1	2	3	Col (1) + (2) - (3)	
ASC 1 Clinical & Pre-clinical/ Non-clinical Subjects	1a: Pre-clinical/non-clinical Medicine	UG degree			0	
		UG non-degree			0	
		PGT			0	
	1b: Clinical Medicine	UG degree				0
		UG non-degree				0
		PGT				0
	1c: Pre-clinical/non-clinical Dentistry	UG degree				0
		UG non-degree				0
		PGT				0
	1d: Clinical Dentistry	UG degree				0
		UG non-degree				0
		PGT				0
ASC 2 Subjects & Professions Allied to Medicine	UG degree				0	
	UG non-degree				0	
	PGT				0	
ASC 3 Science	UG degree				0	
	UG non-degree				0	
	PGT				0	
ASC 4 Engineering & Technology	UG degree				0	
	UG non-degree				0	
	PGT				0	
ASC 5 Built Environment	UG degree				0	
	UG non-degree				0	
	PGT				0	
ASC 6 Mathematical Sciences, IT and computing	UG degree				0	
	UG non-degree				0	
	PGT				0	
ASC 7 Business & Management	UG degree				0	
	UG non-degree				0	
	PGT				0	
ASC 8 Social Sciences	UG degree				0	
	UG non-degree				0	
	PGT				0	
ASC 9 Humanities	UG degree				0	
	UG non-degree				0	
	PGT				0	
ASC 10 Art, Design and Performing Arts	UG degree				0	
	UG non-degree				0	
	PGT				0	
ASC 11 Education	11a: ITT (QTS) Primary	UG			0	
		PGT			0	
	11a: ITT (QTS) Secondary	UG				0
		PGT				0
	11b: Non-QTS	UG degree				0
		UG non-degree				0
Total	UG degree	0	0	0	0	
	UG non-degree	0	0	0	0	
	PGT	0	0	0	0	
Total		0	0	0	0	

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Table 1b: Home and EU Fundable Credit Values

Mode: Sandwich Year Out

Institution:

Code:

ASC	Level	Credit Values between 1 August 2016 and 1 November 2016	Credit Values after 1 November 2016 in AY 2016/17	Number of Credit Values Not Completed (of those in columns 1 & 2)	Total Assumed Completed Credit Values AY 2016/17 Col (1) + (2) - (3)
		1	2	3	4
ASC 1 Clinical & Pre-clinical/ Non-clinical Subjects	1a: Pre-clinical/non-clinical Medicine	UG degree			0
		UG non-degree			0
		PGT			0
	1b: Clinical Medicine	UG degree			0
		UG non-degree			0
		PGT			0
	1c: Pre-clinical/non-clinical Dentistry	UG degree			0
		UG non-degree			0
		PGT			0
	1d: Clinical Dentistry	UG degree			0
		UG non-degree			0
		PGT			0
ASC 2 Subjects & Professions Allied to Medicine	UG degree				0
	UG non-degree				0
	PGT				0
ASC 3 Science	UG degree				0
	UG non-degree				0
	PGT				0
ASC 4 Engineering & Technology	UG degree				0
	UG non-degree				0
	PGT				0
ASC 5 Built Environment	UG degree				0
	UG non-degree				0
	PGT				0
ASC 6 Mathematical Sciences, IT and computing	UG degree				0
	UG non-degree				0
	PGT				0
ASC 7 Business & Management	UG degree				0
	UG non-degree				0
	PGT				0
ASC 8 Social Sciences	UG degree				0
	UG non-degree				0
	PGT				0
ASC 9 Humanities	UG degree				0
	UG non-degree				0
	PGT				0
ASC 10 Art, Design and Performing Arts	UG degree				0
	UG non-degree				0
	PGT				0
ASC 11 Education	11a: ITT (QTS) Primary	UG			0
		PGT			0
	11a: ITT (QTS) Secondary	UG			0
		PGT			0
	11b: Non-QTS	UG degree			0
		UG non-degree			0
	PGT			0	
Total	UG degree	0	0	0	0
	UG non-degree	0	0	0	0
	PGT	0	0	0	0
Total		0	0	0	0

Sandwich Year Out are counted at 120 credit values per registration.

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Table 1c: Home and EU Fundable Credit Values

Mode: Part-time

Institution:

Code:

ASC			Level	Credit Values between 1 August 2016 and 1 November 2016	Credit Values after 1 November 2016 in AY 2016/17	Number of Credit Values Not Completed (of those in columns 1 & 2)	Total Assumed Completed Credit Values AY 2016/17 Col (1) + (2) - (3)	Total Assumed Completed Wholly Franchised Out Credit Values (of those in column 4)	Total Assumed Completed Partially Franchised Out Credit Values (of those in column 4)
				1	2	3	4	5a	5b
ASC 1	1a: Pre-clinical/non-clinical Medicine		UG				0		
Clinical & Pre-clinical/ Non-clinical Subjects			PGT				0		
	1b: Clinical Medicine		UG				0		
			PGT				0		
	1c: Pre-clinical/non-clinical Dentistry		UG				0		
			PGT				0		
	1d: Clinical Dentistry		UG				0		
			PGT				0		
ASC 2			UG				0		
Subjects & Professions Allied to Medicine			PGT				0		
ASC 3			UG				0		
Science			PGT				0		
ASC 4			UG				0		
Engineering & Technology			PGT				0		
ASC 5			UG				0		
Built Environment			PGT				0		
ASC 6			UG				0		
Mathematical Sciences, IT and computing			PGT				0		
ASC 7			UG				0		
Business & Management			PGT				0		
ASC 8			UG				0		
Social Sciences			PGT				0		
ASC 9			UG				0		
Humanities			PGT				0		
ASC 10			UG				0		
Art, Design and Performing Arts			PGT				0		
ASC 11	11a: ITT (QTS) Primary		UG				0		
Education			PGT				0		
	11a: ITT (QTS) Secondary		UG				0		
			PGT				0		
	11b: Non-QTS		UG				0		
			PGT				0		
Total			UG	0	0	0	0	0	0
			PGT	0	0	0	0	0	0
Total				0	0	0	0	0	0

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Table 2: Home and EU Fundable ITT (QTS) Student Registrations

Mode: Full-time

Institution:

Code:

Phase	Subject	Level	Registrations between 1 August 2016 and 1 November 2016	Number of registrations gaining QTS (of those in column 1)
			1	2
Primary Education		UG degree PGT		
Secondary Education	Information Technology	UG degree PGT		
	Design and Technology	UG degree PGT		
	French	UG degree PGT		
	German	UG degree PGT		
	Italian	UG degree PGT		
	Spanish	UG degree PGT		
	Other Modern Languages	UG degree PGT		
	Welsh	UG degree PGT		
	Mathematics	UG degree PGT		
	Biology	UG degree PGT		
	Chemistry	UG degree PGT		
	General/Integrated Science	UG degree PGT		
	Physics	UG degree PGT		
	Other Science	UG degree PGT		
	Music	UG degree PGT		
	Religious Education	UG degree PGT		
	Art	UG degree PGT		
	Business Studies	UG degree PGT		
	Drama	UG degree PGT		
	English	UG degree PGT		
	Geography	UG degree PGT		
	History	UG degree PGT		
	Physical Education	UG degree PGT		
	Other (Specify)	UG degree PGT		
	Total Secondary Education	UG degree	0.0	0.0
		PGT	0.0	0.0
	Total	UG degree	0.0	0.0
		PGT	0.0	0.0
	Total		0.0	0.0

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Table 3: Student Registrations

Mode: All Modes

Institution:

Code:

Level of study		Total assumed completed registrations in academic year 2016/17											
		Full-time			Sandwich Year Out			Part-time			Total		
		Home and EU		Island and overseas	Home and EU		Island and overseas	Home and EU		Island and overseas	Home and EU		Island and overseas
		Fundable	Non-fundable		Fundable	Non-fundable		Fundable	Non-fundable		Fundable	Non-fundable	
1a	1b	1c	2a	2b	2c	3a	3b	3c	4a	4b	4c		
Not franchised out	Undergraduate degree										0.0	0.0	0.0
	Undergraduate non-degree										0.0	0.0	0.0
Franchised out	Undergraduate degree										0.0	0.0	0.0
	Undergraduate non-degree										0.0	0.0	0.0
Undergraduate total		0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
Postgraduate taught											0.0	0.0	0.0
Postgraduate research											0.0	0.0	0.0
Total		0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0

Each sandwich year out registration is counted as 1.

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Table 4: Home and EU Fundable Student Registrations

Mode: All Modes
 Institution:
 Code:

ASC		Total assumed completed registrations in academic year 2016/17																				
		Full-time						Sandwich Year Out						Part-time						Total		
		Not franchised out		Franchised out		Postgraduate taught	Postgraduate research	Not franchised out		Franchised out		Postgraduate taught	Postgraduate research	Not franchised out		Franchised out		Postgraduate taught	Postgraduate research	Undergraduate	Postgraduate taught	Postgraduate research
		Undergraduate degree	Undergraduate non-degree	Undergraduate degree	Undergraduate non-degree			Undergraduate degree	Undergraduate non-degree	Undergraduate degree	Undergraduate non-degree			Undergraduate degree	Undergraduate non-degree	Undergraduate degree	Undergraduate non-degree					
1a	1b	1c	1d	1e	1f	2a	2b	2c	2d	2e	2f	3a	3b	3c	3d	3e	3f	4a	4b	4c		
1	Clinical and Pre-clinical/Non-clinical Medicine and Dentistry																	0.0	0.0	0.0		
2	Subjects and Professions Allied to Medicine																	0.0	0.0	0.0		
3	Science																	0.0	0.0	0.0		
4	Engineering and Technology																	0.0	0.0	0.0		
5	Built Environment																	0.0	0.0	0.0		
6	Mathematical Sciences, IT and Computing																	0.0	0.0	0.0		
7	Business and Management																	0.0	0.0	0.0		
8	Social Sciences																	0.0	0.0	0.0		
9	Humanities																	0.0	0.0	0.0		
10	Art, Design and Performing Arts																	0.0	0.0	0.0		
11aa	Education ITT (QTS) Primary																	0.0	0.0	0.0		
11ab	Education ITT (QTS) Secondary																	0.0	0.0	0.0		
11b	Education (Non-QTS)																	0.0	0.0	0.0		
Total		0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0		

Each sandwich year out registration is counted as 1.

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Table 5: Art, Design and Performing Arts - Home and EU Fundable Performance Element Registrations and Credit Values

This table is to be returned by the University of South Wales only

Mode: Full-time and Part-time

Institution:

Code:

Table 5a: Full-time

ASC	Level	Credit Values between 1 August 2016 and 1 November 2016	Credit Values after 1 November 2016 in AY 2016/17	Number of Credit Values Not Completed (of those in columns 1 & 2)	Total Assumed Completed Credit Values AY 2016/17
		1	2	3	Col (1) + (2) - (3)
ASC 10 Art, Design and Performing Arts - performance element	UG degree PGT				0 0
Total		0	0	0	0

Credit values returned in this table are a subset of those returned in ASC 10, Table 1a.

Table 5b: Part-time

ASC	Level	Credit Values between 1 August 2016 and 1 November 2016	Credit Values after 1 November 2016 in AY 2016/17	Number of Credit Values Not Completed (of those in columns 1 & 2)	Total Assumed Completed Credit Values AY 2016/17
		1	2	3	Col (1) + (2) - (3)
ASC 10 Art, Design and Performing Arts - performance element	UG degree PGT				0 0
Total		0	0	0	0

Credit values returned in this table are a subset of those returned in ASC 10, Table 1c.

Table 5c: Full-time and Part-time

ASC	Assumed completed registrations in academic year 2016/17					
	Full-time		Part-time		Total	
	Undergraduate degree	Postgraduate taught	Undergraduate degree	Postgraduate taught	Undergraduate degree	Postgraduate taught
	1a	1e	3a	3e	4a	4b
ASC 10 Art, Design and Performing Arts - performance element					0	0

Registrations returned in this table are a subset of those returned in ASC 10, Table 4.