

Annex D Table and column descriptions

1. This annex provides further information on the tables that must be completed and a description of the columns in each of these tables.
2. All numbers returned in all tables should be counts of students **apart** from where FTEs are required in Columns 4a and 5a in Table 3 and Column 3a in Table 7.
3. The HEIFES11 workbook contains seven tables for completion: these are described in detail in this annex:

Name of worksheet	HEIFES11 tables
FTS	Table 1 – Full-time student counts
OUT	Table 2 – Sandwich year-out student counts
PT	Table 3 – Part-time student counts and full-time equivalents (FTE)
FEE	Table 4 – Home and EU fees
HEC	Table 5 – Student counts split between Home and others entitled to pay Home and EU fees
SNC	Table 6 – Full-time years of programme of study counted towards the 2011-12 student number control
FOR	Table 7 – 2012-13 forecast of counts of HEFCE-fundable and employer co-funded years of instance and FTE

Tables 1, 2 and 3 – Student counts and FTE

4. Tables 1, 2 and 3 correspond to the three modes of study (full-time, sandwich year-out and part-time respectively) defined in Annex M. These tables are mutually exclusive, and taken together should sum to the total students countable for the academic year.

What should be included in each column in Tables 1, 2 and 3?

5. Column 1: Number of years of programme of study countable between 1 August 2011 and 1 November 2011 inclusive. If the student has withdrawn from their year of programme of study on or before 1 November 2011, their year of programme of study should not be returned.

6. Column 2: Number of years of programme of study expected to become countable between 2 November 2011 and 31 July 2012 inclusive. Colleges should make sure that estimates included in this column are made on a reasonable basis, and that supporting evidence for the assumptions is kept for audit purposes. Column 2 should include those years of programme of study (including non-standard years) expected to start after 1 November 2011. Guidance on when years of programme of study become countable is given in Annex H.

7. Column 3: Number of students included in Columns 1 and 2 who will not complete their year of programme of study. Students who intermit or are known to have non-completed on or before 1 November 2011 but who have not withdrawn by that date should still be included in Column 1 and also in Column 3 as appropriate. Students who completed their year of programme of study, as defined in Annex I, but have subsequently withdrawn on or before 1 November 2011, should also still be included in Column 1 and should not be reported as a non-completion in Column 3. Numbers of non-completions should be entered as negative values in the workbook. Colleges should ensure that these estimates are supported by historical data.
8. Column 4: Estimated total completions for the academic year. This is the sum of the first three columns; the addition will be carried out automatically in the workbook. This is an estimate of the number of students whose activity is countable in the academic year and who will complete the year of programme of study.
9. Column 4a (Table 3 only): Estimated FTE for the academic year. This is the sum of the FTE for the whole year of programme of study for the students returned in Column 4 and not the numbers in Column 1 (students countable between 1 August and 1 November inclusive). Annex J gives further guidance on determining FTE for part-time courses.
10. Column 5 (Tables 1, 2 and 3 only): Estimated completed years of programme of study that are to count towards the delivery of employer co-funded student number targets. Provision for students in Column 5 is non-fundable, by virtue of the criterion in sub-paragraph 9b of Annex K. Any students on courses that are co-funded by employers that are non-fundable by virtue of the other criteria in paragraph 9 of Annex K, other than paragraph 9h, should not be included in Column 5. Column 5 is a subset of the non-fundable students recorded in Column 4.
11. Column 5a (Table 3 only): Estimated FTE (that is, the sum of the FTE) for the completed years of programme of study returned in Column 5. Column 5a is a subset of the non-fundable estimated FTE recorded in Column 4a.
12. Column 4 of Tables 1 and 2 and Column 4a of Table 3, HEFCE-fundable data, are used in our resource calculations and in monitoring against the FTE targets for funding conditional upon delivery of growth. They will also be used to inform the calculation of institutional rates of grant in 2011-12 which will inform the phase-out of mainstream teaching funding for old-regime students from 2012-13.
13. Column 5 of Tables 1 and 2 and Column 5a of Table 3 will be used to monitor achievement of employer co-funded student number targets. They will also be used to inform the calculation of institutional rates of grant in 2011-12 which will inform the phase-out of teaching funding for employer co-funded old-regime students from 2012-13.

Audit issues

Forecast of countable years (Column 2)

14. Where forecast Column 2 figures are included in the return, a comparison should be made with the outturn and reasons established for any differences that occur. This information should be used to inform the following year's forecast.

15. It is important that the compiler of the return is informed of all courses that are coming online in the year, so they can determine whether forecasts need to be included in the return.

FTE in Column 4a of the part-time table, Table 3

16. The FTE returned in Column 4a should be in relation to the part-time numbers included in Column 4 (estimated total completions for the year), and not the numbers in Column 1 (students countable between 1 August and 1 November inclusive).

Table 4 – Home and EU fees

17. The data returned in Table 4 must match the Home and EU data returned in Columns 1 and 2 of Tables 1, 2 and 3 for each price group. Table 4 contains the number of years of programme of study for all modes, split between those countable on or before 1 November 2011, and those expected to become countable between 2 November 2011 and 31 July 2012, for Home and EU students only. Island and overseas students should **not** be returned in Table 4.

18. Further information on how to record years of programme of study in the appropriate fee level category can be found in Annex P.

What should be included in each column in Table 4?

19. Column 1: Number of years of programme of study for Home and EU students countable between 1 August 2011 and 1 November 2011 inclusive. The column is broken down by mode of study as defined in Annex M.

20. Column 2: Forecast of number of years of programme of study for Home and EU students expected to become countable between 2 November 2011 and 31 July 2012 inclusive. The column is broken down by mode of study as defined in Annex M.

21. Data returned in Table 4 are used in the assumed resource calculations. They will also be used to inform the calculation of institutional rates of grant in 2011-12 which will inform the phase-out of mainstream teaching funding for old-regime students from 2012-13.

Table 5 – Counts of students split between Home and others entitled to pay Home and EU fees

22. The counts of students in Table 5 are the same as the Home and EU counts collected in Columns 1 and 2 of Tables 1, 2 and 3. Table 5 contains the number of students for all modes, split between Home students and 'others entitled to pay Home and EU fees'. Home students are defined by the Country of domicile field on the ILR

student record (that is, codes XF, XG, XH, XI, and XK for England, Wales, Scotland, Northern Ireland and UK not otherwise specified, respectively). The data for 'others entitled to pay Home and EU fees', when added to the Home data, should give the totals of all Home and EU students returned in Columns 1 and 2 of Tables 1, 2 and 3. Both HEFCE-fundable and non-fundable data are required in this table for each level, but not Island and overseas data.

23. The levels of qualification are grouped differently in this table than in the others. Those on foundation degree bridging courses should be included in 'Other UG degree'. Sub-degree (excluding HND) qualifications include HNCs, DipHEs, CertEds and DTLLS.

What should be included in each column in Table 5?

24. Column 1: Students countable between 1 August 2011 and 31 July 2012 inclusive. These data are split by mode, then between Home students and others entitled to pay Home and EU fees. 'Home students' is defined in paragraph 22 of this annex. In total, these data are the same as the Home and EU data returned in Columns 1 and 2 of Tables 1, 2 and 3.

25. Column 2: New entrants included in Column 1 of this table, defined as the first countable year for the programme of study (see paragraph 30 of this annex). These data are split by mode, then between Home students and others entitled to pay Home and EU fees.

26. Column 3: Number of students returned in Column 1 who are wholly or partially franchised out, broken down by the type of institution involved. The countable years of programme of study, and not the proportion of the year of study franchised, should be returned where the student is partially franchised out. 'Other inst' applies to provision that is franchised out to an institution that is not an HEI or FEC supported from public funds. Annex K, paragraph 9f explains that Home and EU students franchised to such other institutions may only be recorded as HEFCE-fundable where we have given specific approval; in the absence of our approval, they should be recorded as HEFCE non-fundable. This distinction between fundable and non-fundable students franchised to other institutions should be reflected in Table 5.

27. When determining whether a student is franchised out, the franchise arrangement for the year of programme of study and not the whole course should be used. For example, a student on a two-year course that is franchised out only for the whole of the first year would be returned as franchised out in the first year, and not included in the franchised-out column in the second year.

28. See Annex F, paragraphs 5 to 12, for more guidance on collaborative arrangements treated as franchises for HEIFES purposes.

29. Data returned in Table 5 are collected for planning and monitoring purposes, including those of the Department for Business, Innovation and Skills.

New entrants

30. For Table 5, students should be classed as new entrants when they first generate a countable year for the programme of study. Students repeating the first year of a course should not be included as new entrants, whereas those entering directly into the second, or later, year of a course should be. Normally, where students change courses they should not be included as new entrants even when this involves a change of qualification aim. This differs from the treatment of students on Table 6.

Table 6 – Full-time years of programme of study counted towards the 2011-12 student number control

31. Table 6 should contain all full-time years of programme of study that are counted towards the 2011-12 student number control. The information collected on this table is for a subset of the years of programmes of study in the HEIFES11 population (as defined in Annex F). The subset collected on Table 6 differs from the subset collected on Tables 1 to 5. Years of programme of study meeting the criteria set out in paragraph 19 of Annex H count towards the student number control that we have set for 2011-12 and should be included in Table 6.

What should be included in each column in Table 6?

32. Column 1: Number of years of programme of study meeting the definition in paragraph 19 of Annex H, where these commenced between 1 August 2011 and 1 November 2011 inclusive. If the student withdrew from the programme of study within two weeks, the year of programme of study should not be included. This column is further disaggregated between:

- a. Column 1(a): Years of programme of study where the student is known to have withdrawn on or before 1 November 2011 (but after being active for two weeks of study or more).
- b. Column 1(b): Years of programme of study where the student was still active on 1 November 2011. The number reported should be reduced to take account of students who, although active on that date, subsequently withdraw within two weeks of starting the year of programme of study.

33. Column 2: Number of years of programme of study meeting the definition in paragraph 19 of Annex H, where these are forecast to commence between 2 November 2011 and 31 July 2012 inclusive. These should be adjusted to exclude the forecast numbers of students who will withdraw from the programme of study within two weeks of starting.

34. Data returned in Table 6 will be used to monitor the student number control for 2011-12 and inform the setting of the student number control for 2012-13.

Identifying which students are in the AAB+ equivalent population

35. To inform calculations of student number control limits for 2012-13, undergraduates in Table 6 need to be disaggregated between those students entering with the equivalent of AAB grades at A-level or higher (the AAB+ equivalent population),

and those without such entry qualifications. Annex C of HEFCE 2011/20 provides an initial list of AAB+ equivalent qualification and grade combinations: the final list will be published as a HEIFES FAQ no later than 27 October 2011. We will also notify HEIFES contacts when it is available.

36. Colleges should collect information on full-time undergraduate entry qualifications and grades from application forms, the UCAS data for HESA transaction and the learner record service. Where entry qualifications and grades cannot be identified from these or other sources, then colleges should make reasonable assumptions, informed by historic data, about how many students with unknown entry qualifications will in fact come within the AAB+ equivalent population. A record of how these estimates are carried out should be kept for audit purposes. We will audit the identification of students for the AAB+ equivalent population at selected colleges. To support future audit work, and recognising that some element of estimation may be required to identify students in the AAB+ equivalent population, full-time undergraduates in Table 6 should therefore be disaggregated, separately for HEFCE-fundable and employer co-funded years of programme of study, between:

- ‘Actual UG in AAB+ equivalent population’: those students known to have entry qualifications and grades equivalent to AAB at A-level, or higher
- ‘Estimated UG in AAB+ equivalent population’: those students whose entry qualifications and grades are not known, but who the college estimates, based on historic data, will come within the AAB+ equivalent population
- ‘Actual UG not in AAB+ equivalent population’: those students known not to have entry qualifications and grades equivalent to AAB at A-level, or higher
- ‘Estimated UG not in AAB+ equivalent population’: those students whose entry qualifications and grades are not known, but who the college estimates, based on historic data, will not come within the AAB+ equivalent population.

Table 7 – 2012-13 forecast of counts of HEFCE-fundable and employer co-funded years of programme of study and FTE

37. Data returned in Table 7 will be used to inform initial funding allocations for 2012-13 that will determine HEFCE grant payments between August 2012 and January 2013. All 2012-13 teaching grant allocations for all colleges will, however, be recalculated to reflect the student numbers reported in HEIFES12 Tables 1 to 3, and grant payments between April and July 2013 determined accordingly (including to correct any under- or over-payment made between August 2012 and January 2013). Further changes may subsequently be made in light of final ILR data for 2011-12 and 2012-13.

38. The data returned in Table 7 are a forecast of the 2012-13 HEFCE-fundable and employer co-funded student counts and FTEs that the college expects to report in Column 4 of Tables 1a, 2 and 3 and Column 4a of Table 3 in HEIFES12. Table 7 therefore excludes students who are non-completions, according to the definition in Annex I. Table 7 contains the forecast number of years of programme of study for all

modes, price groups and two levels (undergraduate, including foundation degrees, or postgraduate taught) split between 'old-regime' and 'new-regime' students, for HEFCE-fundable and employer co-funded students only. Island and overseas and non-fundable students (other than employer co-funded ones) should not be returned in Table 7.

39. From 2012-13, we will not be making new allocations of funding separately for employer co-funded provision. The funding provided for 2011-12 will therefore be phased out as continuing employer co-funded students leave. To implement this, old-regime students who are reported on Tables 1 to 3 as non-fundable on the basis that they are counting towards achievement of 2011-12 employer co-funded student number allocations, should, where forecast to continue into 2012-13, be reported separately as employer co-funded in Table 7. New-regime students who are on programmes that in previous years were employer co-funded should be recorded as HEFCE-fundable in Table 7 if they meet the definition of HEFCE-fundable in Annex K. This means, in particular, that the equivalent or lower qualification (ELQ) exemption for employer co-funded students will not apply to new-regime students; and any such Home and EU students aiming for an ELQ, unless exempt for another reason, should be treated as non-fundable.

What should be included in each column in Table 7?

40. Each Column of Table 7 is split between old-regime and new-regime students. Guidance on these categories is provided in Annex Q.

41. Column 1: Forecast of completed HEFCE-fundable and employer co-funded full-time years of programme of study for the academic year 2012-13.

42. Column 2: Forecast of completed HEFCE-fundable and employer co-funded sandwich year-out years of programme of study for the academic year 2012-13.

43. Column 3: Forecast of completed HEFCE-fundable and employer co-funded part-time years of programme of study for the academic year 2012-13.

44. Column 3a: Forecast of FTE of completed HEFCE-fundable and employer co-funded part-time years of programme of study for the academic year 2012-13.