

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 years of instance **apart from** where FTEs are required in Columns 4a and 5a in Table 3 and Column 3a in Table 7.
3. The HESES11 workbook contains eight tables for completion: these are described in detail in this annex:

Name of worksheet	HESES11 tables
FTS	Table 1a – Full-time counts of years of instance
MED	Table 1b – Counts of years of instance for first registrable medical and dental qualifications for doctors and dentists (included in Table 1a)
OUT	Table 2 – Sandwich year-out counts of years of instance
PT	Table 3 – Part-time counts of years of instance and full-time equivalents (FTE)
FEE	Table 4 – Home and EU fees
HEC	Table 5 – Counts of years of instance split between Home and others entitled to pay Home and EU fees
SNC	Table 6 – Full-time years of instance 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 1a, 2 and 3 – Counts of years of instance and student FTE

4. Tables 1a, 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 number of years of instance countable for the academic year.

Table 1b – Counts of years of instance for first registrable medical and dental qualifications for doctors and dentists

5. Table 1b is a subset of Table 1a and contains all full-time undergraduate students on programmes of study that lead to a first registrable medical or dental qualification for doctors and dentists. Years of instance returned in this table should also be included in Table 1a.

6. Years of instance should be classified according to which year of the course they are. Intercalated years should not be returned in this table and should be disregarded when determining the year of instance of a medical or dental course. For HESES purposes, an intercalated year is defined as a year of study following a separate course from the main medical or dental course, which allows for the award of a BSc or BA before resumption of study towards the main qualification.
7. Pre-clinical medicine: all years of instance of a course leading to a first registrable medical qualification for doctors that are not classified as clinical medicine and are not an intercalated year.
8. Clinical medicine: the final three years of instance of a course leading to a first registrable medical qualification for doctors.
9. Pre-clinical dentistry: all years of instance of a course leading to a first registrable dental qualification for dentists that are not classified as clinical dentistry and are not an intercalated year.
10. Clinical dentistry: the final four years of instance of a course leading to a first registrable dental qualification for dentists.
11. The treatment of medical and dental students on HESES does not necessarily reflect how the programme is delivered.

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

12. Column 1: Number of years of instance countable between 1 August 2011 and 1 December 2011 inclusive. If the student has withdrawn from their year of instance on or before 1 December 2011, their year of instance should not be returned.
13. Column 2: Number of years of instance expected to become countable between 2 December 2011 and 31 July 2012 inclusive. Institutions 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 instance (including non-standard years) expected to start after 1 December 2011. Guidance on when years of instance become countable is given in Annex H.
14. Column 3: Number of years of instance included in Columns 1 and 2 which students will not complete. Students who intermit or are known to have non-completed on or before 1 December 2011 but who have not withdrawn by that date should still be included in Column 1 and in Column 3 as appropriate. Students who completed their year of instance, as defined in Annex I, but have subsequently withdrawn on or before 1 December 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. Institutions should ensure that these estimates are supported by historical data.
15. Column 4: Overall estimated completed years of instance 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 instance.

16. Column 4a (Table 3 only): Estimated FTE for the academic year. This is the sum of the FTE for the years of instance returned in Column 4. Annex J gives further guidance on determining FTE for part-time courses.

17. Column 5 (Tables 1a, 2 and 3 only): Estimated completed years of instance 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 subparagraph 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 years of instance recorded in Column 4.

18. Column 5a (Table 3 only): Estimated FTE (that is, the sum of the FTE) for the completed years of instance returned in Column 5. Column 5a is a subset of the non-fundable estimated FTE recorded in Column 4a.

19. Column 4 of Tables 1a 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.

20. Column 5 of Tables 1a 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.

Table 4 – Home and EU fees

21. 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 instance for all modes, split between those countable on or before 1 December 2011, and those expected to become countable between 2 December 2011 and 31 July 2012, for Home and EU students only. Island and overseas students should **not** be returned in Table 4.

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

What should be included in each column in Table 4?

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

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

25. 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 years of instance split between Home and others entitled to pay Home and EU fees

26. The counts of years of instance in Table 5 are the same as the Home and EU counts collected in Columns 1 and 2 of Tables 1a, 2 and 3. Table 5 contains the number of years of instance for all modes, split between Home students and 'others entitled to pay Home and EU fees'. Home students are defined by the DOMICILE field on the HESA 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 1a, 2 and 3. Both HEFCE-fundable and non-fundable data are required in this table for each level, but not Island and overseas data.

27. 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, DTLLS, institutional credits and professional qualifications.

What should be included in each column in Table 5?

28. Column 1: Years of instance 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 26 of this annex. In total, these data are the same as the Home and EU data returned in Columns 1 and 2 of Tables 1a, 2 and 3.

29. Column 2: New entrants included in Column 1 of this table, defined as the first countable year for an instance (see paragraph 34 of this annex). These data are split by mode, then between Home students and others entitled to pay Home and EU fees.

30. Column 3: Number of years of instance returned in Column 1 for students who are wholly or partially franchised out, broken down by the type of institution involved. The countable years of instance, 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, sub-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.

31. When determining whether a student is franchised out, the franchise arrangement for the year of instance 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.

32. See Annex F, paragraphs 6 to 13, for more guidance on collaborative arrangements treated as franchises for HESES purposes.

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

New entrants

34. For Table 5, students should be classed as new entrants when they first generate a countable year for the instance. 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. Where students change courses they should only be included as new entrants where this is considered a change in instance – that is, a new commencement date is entered in the HESA student record. This differs from the treatment of students on Table 6.

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

35. Table 6 should contain all full-time years of instance that are counted towards the 2011-12 student number control. The information collected on this table is for a subset of the years of instances in the HESES11 population (as defined in Annex F). The subset collected on Table 6 differs from the subset collected on Tables 1 to 5. Years of instance meeting the criteria set out in paragraphs 20 to 31 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?

36. Column 1: Number of years of instance meeting the definition in paragraph 21 of Annex H, where these commenced between 1 August 2011 and 1 December 2011 inclusive. If the student withdrew from the instance within two weeks, the year of instance should not be included. This column is further disaggregated between:

- a. Column 1(a): Years of instance where the student is known to have withdrawn on or before 1 December 2011 (but after being active for two weeks of study or more).
- b. Column 1(b): Years of instance where the student was still active on 1 December 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 instance.

37. Column 2: Number of years of instance meeting the definition in paragraph 21 of Annex H, where these are forecast to commence between 2 December 2011 and 31 July 2012 inclusive. These should be adjusted to exclude the forecast numbers of students who will withdraw from the instance within two weeks of starting.

38. Data returned in Table 6 will be used to monitor the student number control for 2011-12.

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

39. 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 institutions will, however, be recalculated to reflect the student numbers reported in HESES12 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 HESA data for 2012-13.

40. 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 institution expects to report in Column 4 of Tables 1, 2 and 3 and Column 4a of Table 3 in HESES12. 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 instance 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. For the purposes of completing Table 7, institutions should assign activity to price groups according to the guidance in Annex L (the guidance that applies for 2011-12), rather than attempting to reflect any changes arising from the HESA review of cost centres for 2012-13.

41. 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?

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

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

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

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

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