

Annex F The HESES11 student population

1. This annex defines an 'instance' and explains which student instances should, or should not, be included in the HESES11 student population (Annex H contains guidance on how to count years of instance for students in the HESES11 population). This annex also explains how to treat provision delivered through a collaborative arrangement in HESES.
2. HESES11 records counts of years of instance for students (regardless of age and whether or not the year of instance is being repeated) aiming for a recognised HE qualification. An instance is defined as a coherent engagement with the institution by a student aiming towards the award of a qualification(s) or credit. Paragraphs 3 and 4 of this annex define which student instances should be included in the HESES11 population. Some student instances within this population may generate countable years of instance which are counted in a previous or future HESES survey, but do not generate any years included in HESES11 (see Annex H for when to count activity). All years of instance counted in HESES11 must relate to a student instance within this population. How and when years of instance are counted varies between Table 6 and the other tables (see Annex H).
3. Student instances meeting **all** the following criteria should be included in the HESES11 student population:
 - a. At least part of a year of instance in which the student is actively pursuing studies with the institution falls within the academic year (1 August 2011 to 31 July 2012). This includes outgoing, but not incoming, exchange students.
 - b. The instance has a course aim of a recognised HE qualification, or an HE-level credit that can be counted towards such a qualification, as defined in Annex G.
 - c. The instance will be returned on the HESA individualised student record.
 - d. The instance is not being returned on any other institution's HESES or HEIFES return for that year of instance.
4. Student instances in **any** of the following categories should **not** be included in the HESES11 student population:
 - a. Instances where the course aim is not a recognised HE qualification, or an HE-level credit that can be counted towards such a qualification.
 - b. Instances where the sole course aim is a National Vocational Qualification (NVQ). However, instances should be included if they lead to both a recognised HE qualification and an NVQ.
 - c. Student instances that will not be included in the HESA individualised student record. All student instances included in the HESES11 student population must be included in the institution's HESA individualised student record, even if this is not normally compulsory under the coverage of the record.

- d. Instances for incoming exchange students.
- e. Instances where the student is franchised in from another institution (see paragraphs 6 to 13 of this annex).
- f. Instances where more than half of the active study time for the whole instance is spent outside the UK (including distance learners outside the UK), except where:
 - i. There is a clear academic reason for studying abroad rather than in the UK. Even where such a reason exists, we must specifically sanction the course as eligible.
 - ii. The student is temporarily and unavoidably abroad and remains liable to UK tax on their earnings, or is a dependant of such a person. This includes members of HM Forces and their dependants.

Instances for sandwich students working abroad and language year-abroad students should normally be included in the HESES11 student population, because the year abroad will not constitute most of the instance.

- g. If no year of instance for which the student is actively pursuing studies falls at least partly within the academic year 2011-12. For standard years of instance this means the student is not actively pursuing any studies within the year. This includes:
 - i. Instances where all years of instance falling in the year are entirely writing-up.
 - ii. Instances where the only activity is assessment. This includes students on TDA-funded Graduate Teacher Programmes or Overseas Trained Teacher Programmes where the programme consists only of a QTS assessment.
- h. Instances whose course aim is a research qualification awarded primarily on the basis of published works, unless the instance involves a significant amount of research at the institution.
- i. Instances for students who are on School-Centred Initial Teacher Training (SCITT) programmes.
- j. Instances that are being returned on any other institution's HESES or HEIFES return.

5. Graduate and undergraduate internships are also not part of the HESES11 population, because they are not programmes of study or (in the case of undergraduate internships) required elements of students' programmes of study. These periods of work experience do not, therefore, constitute (part of) a student instance.

Students taught under partnership, collaborative or similar arrangements

6. Institutions should note that a student is considered to be 'registered' on the HESA student record at the institution that collects the fee for the student.
7. Many students are taught under a variety of collaborative arrangements. For the purposes of HESES11, years of instance that are taught under a partnership arrangement by an institution other than the one they are registered with are treated as franchised. Such franchise arrangements are different from validation arrangements:
 - a. Under a validation-only arrangement, a higher education institution provides assurance about the standards of a higher education qualification/award, but the student is, for all purposes, a student of the institution that provides the teaching and with whom they will be registered. The teaching institution, rather than the validating institution, is responsible for the quality of the teaching and for including the student as appropriate in data returns, including HESES/HEIFES.
 - b. Under a franchise arrangement, a student is taught under a sub-contractual arrangement by an institution other than the one they are registered with. Often, the franchiser will also be the validating institution, but this may not always be the case: for example, where one FEC franchises provision to another, but where the validating body is a university or Pearson Education Ltd (formerly Edexcel). Irrespective of which organisation is the validating body, under a franchise arrangement the student is treated as a student of the registering institution (the franchiser), rather than the teaching institution, and the franchiser is responsible for teaching quality and any data returns relating to the student. Industrial placements, work experience and language years abroad should not normally be regarded as franchised out for the purposes of HESES/HEIFES.
8. Paragraphs 9 to 13 of this annex explain who should return franchised activity to us. The 'HEFCE survey' referred to will be either:
 - a. HEIFES11 for FECs or
 - b. HESES11 for HEIs.
9. Where one institution collects a fee for tuition or supervision of research for a student, but the student undertakes all or part of their study at another institution, only the institution that receives the fee should include the student in its HEFCE survey student population. Such a student is regarded as franchised out by the institution collecting the fee.
10. If a course is run jointly by more than one institution, only the institution that receives the fee should include the student in its HEFCE survey student population.
11. If two institutions receive a fee from a student for a given year of instance, the institution that receives the largest portion should include the student in its HEFCE survey student population. If both institutions receive the same amount, the institutions

must ensure that only one of them includes the student in its HEFCE survey student population.

12. In some cases the institution teaching the student may collect the fee on behalf of another institution. Where this is the case, if the fee is transferred directly to another institution, the latter should include the student in its HEFCE survey student population. If the fee itself is not transferred but is used to offset payments between two institutions in respect of the student, this should be treated as if the fee had been transferred.

13. In all the above cases, the student is a student of the franchiser. The institution that includes the student in its HESES11 student population must also return a record to HESA, and its performance indicators and quality assessments will take account of activity relating to that student as appropriate.

Audit issues

Collaborative arrangements

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

15. The different roles of each partner in collecting and managing data will vary. However, the principle applied at audit is that student data should be managed with equal professionalism at all partner institutions. When entering into partnership arrangements, the systems in operation and the exchange of information should form part of the negotiations and final agreement. It is the responsibility of the registering institution to ensure the quality of all the data it returns, including that relating to activity at its partner institutions.

16. It is also important that students are returned on the HEFCE survey and the HESA student record and data service ILR by the registering institution only. Institutions' student record systems should clearly identify the students eligible to be returned by them, and should ensure that those not eligible are excluded. A registering institution's student record system should contain collaborative students' records in the same way as it does its 'own' students. This will help to ensure that collaborative students are correctly returned in HESES, and that an audit trail to such students is available.

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

Inclusion in the return of students who have not fully registered

18. Students who have not fully registered, and for whom there is no evidence of activity by the census date, should not be included within Column 1 of Tables 1 to 3 in the return. Students who have not fully registered by the census date, but for whom there is evidence of activity, may be included in Column 1 of Tables 1 to 3 of the return. However, efforts should be made to ensure that all eligible students are fully registered by the census date.