

Annex H Counting student activity

1. This annex gives the definition of a year of instance and explains how to count them in HESES, which differs between Table 6 and all other tables. This includes the criteria for being able to count a year of instance in HESES, the definition of standard and non-standard years of instance, flow diagrams to aid with determining how a year of instance should be counted, and guidance on counting some short courses that are sometimes known as 'summer schools'.

What is a year of instance?

2. Students study towards qualifications over a period of time. This period can be split into one or more years of instance. The first year begins when the student starts studying towards the qualification; the second and subsequent years start on or near the anniversary of this date (to allow for minor variations in term dates). Paragraph 2 of Annex F defines an 'instance'.

3. HESES counts years of instance for students aiming for recognised HE qualifications. This is not the same as counting students. This approach ensures that comparable activity is recorded in the same way, irrespective of when it occurs.

Further notes on years of instance

4. Exceptionally, a student may study towards two or more independent qualifications at the same time. Each instance would then generate its own year of instance which would be countable. Thus, a student studying towards a PhD and an unrelated undergraduate professional qualification would generate two years of instance each year. However, a student studying for several institutional credits that can count towards the same final qualification would generate only one year of instance each year. Usually, independent instances would link to different course aims on the HESA student record.

5. Where students complete a foundation degree and then undertake a foundation degree bridging course to enable them to join the final year of an honours degree, the foundation degree bridging course should be treated as an independent course which will generate its own year of instance. However, it will not be a separate instance on the HESA record. See paragraphs 44 to 48 of this annex.

6. Where students are on the TDA's Student Associates Scheme or a Subject Knowledge Enhancement short course, for HESES purposes they should not be seen as separate instances from the main programme of study. However in the HESA record they will be identified as separate instances.

7. In all cases where a student is studying for two or more separate and independent qualifications each should be returned as a separate instance on the HESA record. Guidance on when separate instances should be generated can be found at www.hesa.ac.uk under Data collection hub/Student Stream/C11051: Student Collection 2011/12/Year-on-year linkage (HIN).

Counting years of instance

8. To be counted, years of instance must be generated by a student in the HESES11 student population, and meet all the following criteria:
- a. A fee is charged for tuition or supervision of research. Exceptionally, this fee may be waived for individual students based on their particular circumstances. It should not be waived for all students on a course, and the criteria which determine whether fees may be waived should not be tantamount to waiving the fee for all students.
 - b. The FTE for the year of instance is at least 0.03.
 - c. The student is not writing up a thesis or similar piece of work for the whole of the year of instance. Students are writing-up where they have completed their research work and will not undertake any significant additional research. It is common practice for such students to receive a small amount of supervision, and they may still have access to other facilities at the institution. However, such students should still be treated as writing-up.
9. In some cases a fee may not be charged in the current year because a fee for the activity has already been paid in a previous year. This would not be treated as a fee waiver. Rather the student should be treated as having been charged a fee for the year.

Audit issue

Written evidence of fee waivers

10. Where the fee has been waived for a student, written evidence of this must be retained.

How to count years of instance in Tables 1 to 5 and 7

11. The guidance in paragraphs 12 to 18 of this annex applies to Tables 1 to 5 and 7 **only**. For guidance on how to count years of instance in Table 6, see paragraphs 20 to 31.
12. 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. For students within the HESES11 student population, there are two types of year of instance: standard and non-standard.
- a. A standard year is one where all activity for the year of instance is entirely within one academic year (1 August to 31 July). Most undergraduate students are on standard years of instance.
 - b. A non-standard year is one where all activity for the year of instance is **not** entirely within one academic year – that is, the activity for the year of instance crosses from one academic year into the next.

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

14. In both cases, students become countable at the start of each year of instance. The FTE returned should be the FTE for the whole year of instance:

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

Example 1

15. A student starts a degree programme on 21 September 2011, with each year of the course finishing at the end of June. The student becomes countable on 21 September 2011 and, depending on when the activity for the year starts, on or around the anniversary of this date each year.

Example 2

16. A full-time student starts a degree programme in January 2012 and the first year of the course finishes in November 2012. This student would be included in Column 2 of Tables 1 and 4 in HESES11 for their first year of instance.

Example 3

17. A full-time HND course starts on 5 October 2011 and runs from 5 October to 30 June each year. A student starts the HND programme late, on 7 December 2011, but intends to catch up with the rest of the students on the course and follow the same pattern of activity as them. That student's year of instance starts on 7 December 2011 and on the anniversary of that date in subsequent years. The student should be included in Column 2 of Tables 1 and 4.

Example 4

18. A full-time student starts in September 2011 intending to study eight modules before June 2012. At the end of the first semester in February 2012 they interrupt the course having completed four modules and return 12 months later to complete the remaining four modules by June 2013. The first year of instance becomes countable in September 2011 and is therefore returned in Column 1 of Table 1 of HESES11. The data entered in Column 3 of Table 1 of HESES11 should reflect a forecast of such students entered in Column 1 or 2 who will intermit (and therefore non-complete) after 1 December 2011. The second year of instance becomes countable at the start of the year of instance in September 2012 (and not in February 2013 when the student returns) and is therefore returned in Column 1 of Table 3 of HESES12 (as the activity in

this second year of instance does not meet the criteria to be classed as full-time as set out in paragraph 2 of Annex M).

Assigning modules to years of instance

19. If a module spans two years of instance then all activity for the module should be counted in the second year of instance in which the module occurs. Exceptionally, where the duration of the module is greater than 12 months, the activity for the module should be assigned to the year of instance in which the activity falls. This means that the module is countable across two or more years of instance. In such cases, and for HESES purposes only, the module activity in each year of instance will be treated as a separate module in its own right. The flow chart in Figure H1 can be used to determine which year of instance a module should be assigned to. The flow chart in Figure H2 can then be used to determine whether or not the year of instance should be counted in HESES11, and if so, whether it should be returned in Column 1 or 2.

Figure H1: Flow diagram for assigning modules to a year of instance (applies only to Tables 1 to 5)

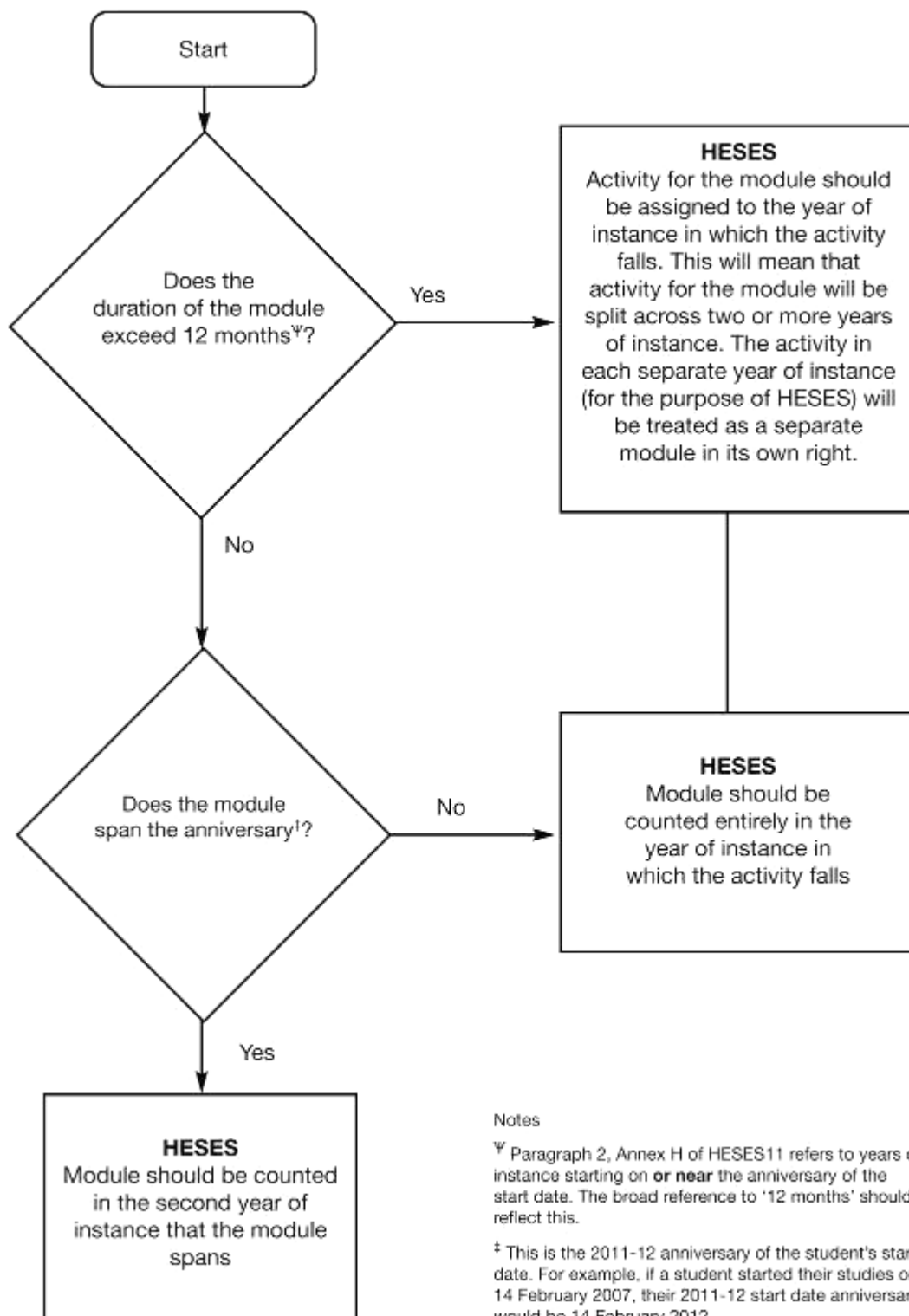
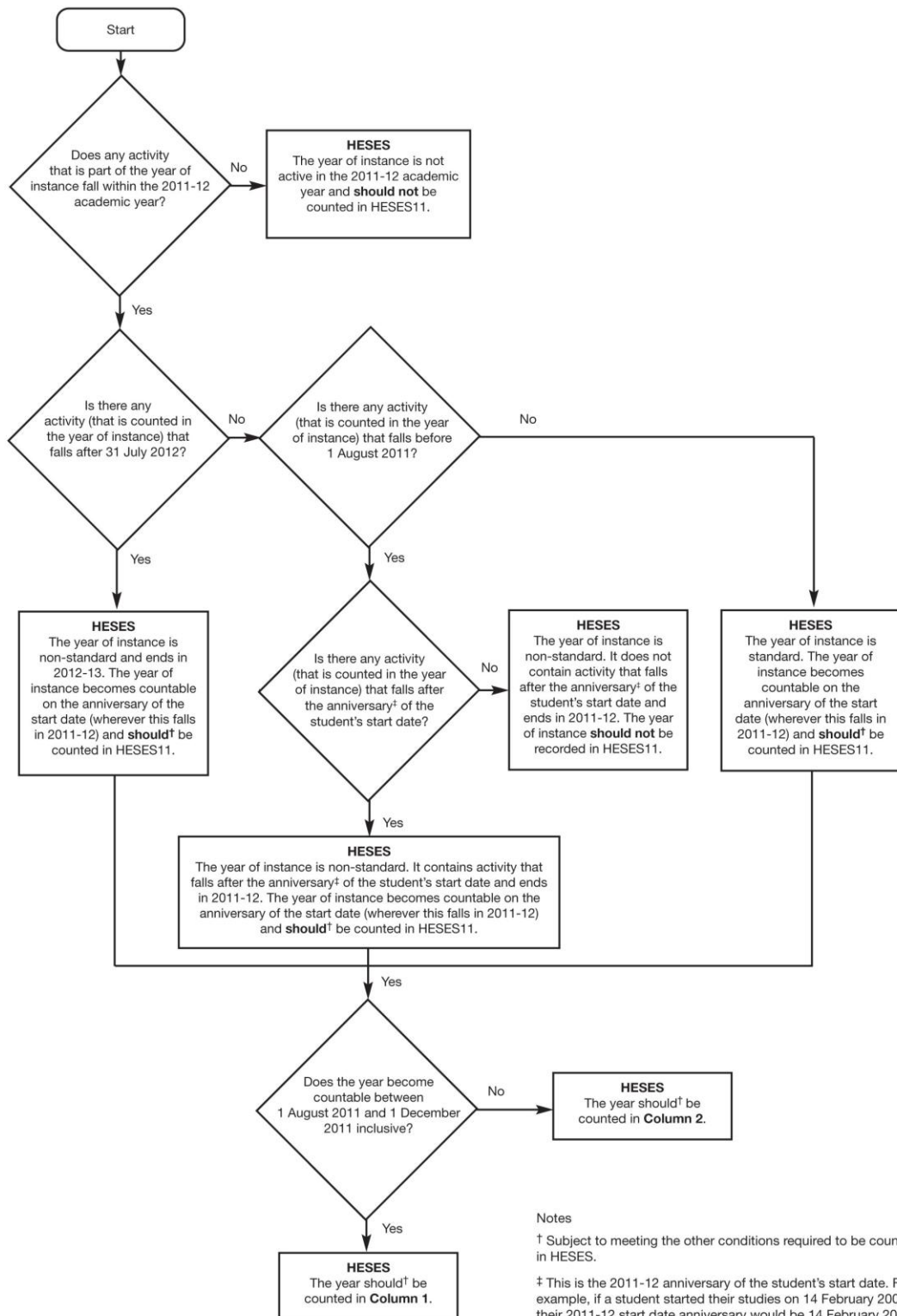


Figure H2: Flow diagram for determining whether year of instance should be returned in HESES11 and whether Column 1 or 2 in Tables 1 to 3



How to count years of instance in Table 6

20. The guidance in paragraphs 21 to 31 of this annex applies to Table 6 **only**. For guidance on how to count years of instance in other tables, see paragraphs 12 to 18 of this annex.

21. Table 6 collects information on a subset of the years of instances in the HESES11 population (as described in Annex F paragraphs 2 to 4). The subset counted in Table 6 differs from the subset counted in the other tables. Years of instance meeting the following criteria count towards the student number control that we have set for 2011-12, and should be included in Table 6:

a. Either:

i. They are for HEFCE-fundable or employer co-funded, full-time, undergraduate students active in the academic year 1 August 2011 to 31 July 2012.

and

The students have not been HEFCE-fundable or employer co-funded or 'model 2' Lifelong Learning Network (LLN) full-time, undergraduate students in either of the preceding two academic years (that is, between 1 August 2009 and 31 July 2011) as students of the same institution. These categories include students who have not completed their year of instance, but nevertheless meet the criteria in HESES11 Annex K paragraphs 7 to 9 to be HEFCE-fundable.

Or:

ii. They are for HEFCE-fundable or employer co-funded full-time students aiming for a PGCE (whether a Postgraduate or Professional Graduate Certificate in Education) commencing an instance in the academic year 1 August 2011 to 31 July 2012.

b. The students have not withdrawn from their instance within two weeks of starting: that is, they have undertaken sufficient activity to be required to be included in the HESA return.

22. Terms used in the definition of the student number control are:

a. **Employer co-funded:** This applies to years of instance that are HEFCE non-fundable on the basis that they are to count towards the delivery of HEFCE allocations of student numbers co-funded with employers (see sub-paragraph 9b of Annex K). This may include years of instance where students are aiming for an ELQ and who, were they not co-funded, would not be exempt from the ELQ policy as defined in Annex K, paragraphs 11 to 19.

b. **'Model 2' LLN students:** those who have counted towards the delivery of LLN allocations that have been funded through a lead institution outside the mainstream HEFCE teaching grant (and therefore been reported as non-fundable

in HESES) up to 2009-10. All LLNs have reverted to the mainstream 'model 1' route by 2010-11 and therefore students at all LLNs will generally be included within the definition of HEFCE-fundable from 2010-11; but some students at LLNs may have counted towards 'model 2' allocations in 2009-10.

c. **Students who have not been full-time undergraduates in the two preceding academic years:** students who, during each academic year 2009-10 and 2010-11, have not undertaken full-time undergraduate study; or if they have, withdrew (on each occasion) within two weeks of starting the instance; or were otherwise 'dormant' during that period. In this context, full-time relates to study that, had it been finished, would have been full-time.

d. **The same institution:** This refers to the 'registering' institution responsible for reporting the student in the HESA student record or the Data Service ILR. Where teaching has been franchised out, the associated (year of) instance is attributable to the franchiser, not the franchisee.

Example 5

23. A HEFCE-fundable student studied full-time for a foundation degree at an FEC in the academic years 2009-10 and 2010-11 and then topped up to a full-time bachelors degree at an HEI in 2011-12.

a. If the foundation degree was delivered by the FEC under a franchise arrangement from that HEI, then the student would be considered to be studying at the same institution (the HEI) throughout the period 2009-10 to 2011-12: they should not be included in Table 6.

b. If the foundation degree was not delivered under a franchise arrangement, but was funded directly at the FEC, then the student would be considered to be a student of the FEC for 2009-10 and 2010-11 and the HEI in 2011-12: because the study is not at the same institution, the top-up to the bachelors degree in 2011-12 should be included in Table 6. To the extent that these top-ups occurred in 2008-09, the limits that we have set for 2011-12 include them and therefore allow them to continue.

Example 6

24. A student commenced a HEFCE-fundable full-time undergraduate course in September 2010, having never been registered at the institution before. However due to illness the student withdrew from the course in December 2010 and returned in September 2011 to re-start the course.

a. The first year of instance (where the student withdrew) **will have counted** towards the 2010-11 student number control limit because the student was a full-time HEFCE-fundable student in academic year 2010-11 (even though they studied for less than 24 weeks) and therefore should have been included in Table 6 of HESES10.

b. The second year of instance **will not count** towards the 2011-12 student number control limit, because the student was a full-time student in the academic year preceding 2011-12, and therefore should not be returned in Table 6 of HESES11.

Example 7

25. A student commenced a HEFCE-fundable, full-time, undergraduate bachelors degree course in September 2008 which concluded in June 2011. The student then commences a HEFCE-fundable, full-time, PGCE at the same institution in September 2011. The year of instance commencing in September 2011 **will count** towards the 2011-12 student number control (regardless of any previous study at the same institution) as the student is commencing a HEFCE-fundable, full-time, PGCE in the 2011-12 academic year, and should therefore be returned in Table 6 of HESES11.

How years of instance counted on Table 6 differ from other tables

26. Table 6 counts years of instance differently to the other tables. This means that some years of instance counted in Table 6 in HESES11 may not be counted on the other tables. This can occur where students withdraw from their year of instance before 1 December 2011.

27. If a student commences a year of instance that meets the criteria to be included in Table 6 of HESES11 (as set out in paragraph 21 of this annex) but switches to part-time study during this year of instance then, unless the mode switch occurred within two weeks of their year of instance's commencement, this year of instance **will count** towards the 2011-12 student number control limit and therefore it should be included in Table 6 of HESES11.

28. If instead a student commences a part-time year of instance that, if it were full-time, would meet the criteria to be included in Table 6 of HESES11 (as set out in paragraph 21 of this annex) and the student switches to full-time study during this year of instance, then:

a. If the switch to full-time study has not occurred early enough in the year for the whole year of instance to meet the definition of full-time (as per the definition in Annex M), this year of instance **will not count** towards the 2011-12 student number control limit and therefore it should be excluded from Table 6 HESES11. However, if the student continues their full-time study into 2012-13, they may then count towards the 2012-13 student number control limit and be included in Table 6 of HESES12 (because their study in the previous academic year will have been treated as part-time).

b. If the switch to full-time study occurred early enough in the year of instance for it to be instead classed as full-time for the entire year of instance (as per the definition in Annex M), this year of instance **will count** towards the 2011-12 student number control limit and therefore it should be included in Table 6 of HESES11.

29. Not all students included in the limit will be 'entrants' to the institution (as defined in Annex D paragraph 34). This will include: students who have previously studied part-time; students on programmes of study that were not fundable by HEFCE, such as those funded by the NHS or the TDA; and students who have previously studied full-time but have taken two or more years out.

Example 8

30. A student commenced a HEFCE-fundable, full-time, undergraduate bachelors degree course in September 2010, having never been registered at the institution before. For the first year of instance, the student is classed as non-fundable because they are aiming for an ELQ and are not exempt from the ELQ policy. At the start of the second year of instance in September 2011 they change their stated qualification aim solely to a foundation degree (having decided not to study for the bachelors degree). They are therefore exempt from the ELQ policy, and as a result now classed as HEFCE-fundable. The second year of instance will count towards the 2011-12 student number control limit because the student was not classed as HEFCE-fundable in the 2010-11 academic year, and therefore it should be included in Table 6 of HESES11.

Example 9

31. A student commenced a HEFCE-fundable part-time undergraduate course in September 2010, having never been registered at the institution before. However at the beginning of the second year of instance in September 2011 they switched to studying this course full-time. The second year of instance **will count** towards the 2011-12 student number control limit because the student was not studying full-time in the 2010-11 academic year and therefore it should be included in Table 6 of HESES11.

Guidance on filling in the HESA student record

32. Data returned on the HESA record mainly relate to the HESA reporting year and are not disaggregated across years of instance. To allow institutions to return accurate data on activity within years of instance, four fields – INSTAPP, LOADYRA, LOADYRB and MODYR – are included on the HESA record. The latter three fields are optional. For monitoring purposes, where institutions do not complete these fields, we will use the following assumption or approximation. Where a student is active for the whole academic year, we will assume that the FTE for the year of instance is broadly comparable to the FTE for the academic year. Where the student is not active for the whole year, we will make an approximation based on the current year and the FTE of similar final-year students from the current year. Full details of this process can be found in Appendix 1. Institutions should, where possible, avoid making an approximation of activity for the year of instance.

Audit issue

Students incorrectly recorded more than once on the HESES return

33. The student record system should be reviewed before data are extracted for the return, to check for duplicate records. This should be normal practice throughout the year, particularly when new student records are being set up on the system. There may, exceptionally, be genuine reasons why a student has two records, and these reasons

need to be established. Where it is not correct for a student to have two records, the student record system should be amended at the earliest opportunity.

34. Part-time students are sometimes incorrectly counted as more than one headcount for different modules within the same instance being studied. It is important that if students are only on one instance they should only have one headcount in the return. Processes should be designed to ensure that this is the case. This tends to be particularly relevant to continuing education students.

Summer schools

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

Summer schools for potential HE students

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

Access provision

37. In some cases, institutions offer short preparatory or access courses for individual students to facilitate progression to an initial HE qualification. These courses are taken immediately before the start of their HE qualification. Where such provision is an integral part of an HE-level course, the students are included in the HESES population. See paragraphs 4 and 5 of Annex G for when such provision is considered integrated. The short access course and the first year of the HE course will typically count as one year of instance. This may result in the year of instance being counted as long, as defined in Annex O.

38. For the access course to count as integrated we require that the student is registered at the same institution for the access course and HE-level course.

39. If the access provision is not an integrated part of the HE-level course, it is not HE level and the students are not part of the HESES population.

Within-course periods of study in vacation time

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

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

Example 10

42. A student studies full-time for a degree over three years, with activity for each year of instance running from October to July. Between the second and third years, a short period of study, running from 25 July to 5 September, is undertaken to bring the student up to the standard of others on the course. This short period of study counts as part of the second year of the degree, and the second year of instance counts as a standard year of instance. The year of instance would only be counted as long if it fitted the criteria to be long, given in Annex O.

43. Such short periods of study should be returned on the HESA student record in the same way they are returned on HESES. That is, they should be included as part of the year of instance preceding the short period of study.

Foundation degree bridging courses

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

45. Where a student is studying a foundation degree bridging course, the FTE recorded in the STULOAD field on the HESA student record should be increased to reflect this. Where the bridging course spans academic years, the FTE should all be returned in the second academic year; this differs from the method used for other non-standard years of instance. Institutions should also indicate in the BRIDGE field that the student has studied a foundation degree bridging course in the year in which the FTE is increased. It may be that the inclusion of a foundation degree bridging course would mean that the year of instance becomes non-standard. However, where the year would otherwise have been recorded as a standard year of instance, it should still be recorded as such.

Example 11

46. A student completes a foundation degree in June 2011, then undertakes a bridging course from July to September, and then joins the final year of a degree which they complete in June 2012 (see table below).

Field	July 2011	July 2012
COURSEAIM	J10	H00
STULOAD	100	130
TYPEYR	1	1
BRIDGE	0	1

47. Where a student's only activity during the academic year is a foundation degree bridging course, the COURSEAIM field should be returned with a value of H90, I90 or J90 depending on the level of credit awarded for the bridging course (that is, when a student withdraws during or following completion of the course, or where they transfer in from another institution before starting the course).

48. Where a student undertakes a foundation degree and starts a bridging course in the same academic year, but the bridging course is counted in the next academic year, the FUNDCOMP field should reflect whether the student completed the foundation degree and will therefore usually be returned with a value of 1. If the bridging course does not continue into the next academic year, the BRIDGE field should be coded as 1 and the FUNDCOMP field should reflect whether the student completed the bridging course. Similarly, where the student progresses to a degree after completion of the bridging course, FUNDCOMP should reflect the completion status of the year of instance of the degree.