

October 2010/27

Core funding/operations

Request for data

Returns should be uploaded to the HEFCE extranet by noon on Wednesday 17 November 2010

This document asks further education colleges to complete the annual survey of students on recognised higher education courses. The data will: enable us to monitor the achievement of funding agreement targets for 2010-11; give an early indication of the number of students on recognised higher education courses at further education colleges in 2010-11; and, with data supplied to the Data Service, inform our allocation of teaching funds for 2011-12.

HEIFES10

Higher Education in Further Education: Students Survey 2010-11

Alternative formats

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HEIFES10

Higher Education in Further Education: Students Survey 2010-11

To	Heads of further education colleges directly funded by HEFCE in 2010-11
Of interest to those responsible for	Student data, Funding
Reference	2010/27
Publication date	October 2010
Enquiries to	Paresh Prema tel 0117 931 7314 e-mail heifes@hefce.ac.uk

Executive summary

Purpose

1. This document asks further education colleges (FECs) to complete the annual survey of students on recognised higher education (HE) courses.

Key points

2. The data will:
 - a. Enable us to monitor the achievement of funding agreement targets for the academic year 2010-11.
 - b. Together with the individualised learner record (ILR) supplied to the Data Service, inform our allocation of teaching funds for the academic year 2011-12.
 - c. Give an early indication, including for government planning purposes, of the number of HE students studying in the academic year 2010-11.
3. This document provides:
 - a. An introduction to the Higher Education in Further Education: Students Survey 2010-11 (HEIFES10) and how we use it to inform our funding.
 - b. Guidance notes for completing the HEIFES10 survey.
 - c. Definitions used in the HEIFES10 survey.
 - d. Examples of the survey tables, which will be available to download from the HEFCE extranet in November 2010.
 - e. A summary of changes since HEIFES09 (Annex B).

Action required

4. HEIFES10 should be completed by all FECs receiving HEFCE recurrent funds for teaching.

Returns must be uploaded to the HEFCE extranet by **noon on Wednesday 17 November 2010**. Workbooks will be available to colleges in November 2010.

Outline timetable for HEIFES10 return and 2011-12 funding round

5. The provisional timetable is summarised below.

November 2010	<ul style="list-style-type: none">• Organisation and group keys issued to colleges
	<ul style="list-style-type: none">• HEIFES workbooks available to colleges
	<ul style="list-style-type: none">• 17 November – deadline to return HEIFES data
	<ul style="list-style-type: none">• End November/beginning December – validation and credibility checks by HEFCE
	<ul style="list-style-type: none">• End November/beginning December – we will write to colleges, asking them to verify the data, answer any questions about the data and submit any appeals against formulaic grant adjustments. Colleges will have five working days to answer questions about data
22 December 2010	<ul style="list-style-type: none">• Colleges must have signed off their HEIFES data as being correct at 1 November 2010
13 January 2011	<ul style="list-style-type: none">• Deadline for submission of appeals
February 2011	<ul style="list-style-type: none">• Colleges notified of final grant adjustments, including the outcome of appeals
14 March 2011	<ul style="list-style-type: none">• Colleges notified of provisional allocations of recurrent grant for 2011-12
17 March 2011	<ul style="list-style-type: none">• Publication of provisional recurrent grant for 2011-12 for all colleges
20 April 2011	<ul style="list-style-type: none">• Deadline for colleges to request transfers of provision and other amendments to provisional allocations
Late July 2011	<ul style="list-style-type: none">• Colleges receive their funding agreements, including final grant allocations, for 2011-12

The HEIFES10 survey and data used for funding purposes

Introduction

6. The Higher Education in Further Education: Students (HEIFES) survey is the primary data source that informs our formula-based recurrent teaching funding for FECs. It collects aggregate information on students that are counted for funding purposes, as well as other students, that are studying for recognised higher education qualifications. The list of recognised higher education qualifications in HEIFES reflects what we are empowered to fund directly at further education colleges, which is defined in legislation as the provision of prescribed courses of higher education. Further information about this is available in ‘Higher education in further education colleges: HEFCE’s funding powers’ (HEFCE Circular letter 22/2008).

Formula funding

7. Our recurrent grants to colleges are almost entirely allocated by formula according to our expectations of what each college will need for the provision of prescribed HE courses. Formula funding ensures we are fair, transparent and efficient in how we distribute grants to colleges.

8. We provide our recurrent funding as a ‘block grant’ that colleges may spend as they choose; they are not expected to mirror our calculations in their own internal spending. This allows colleges to target spending towards their own priorities, as long as these relate to the provision of prescribed HE courses – the activities that we are empowered to fund. The block grant supports colleges’ autonomy and means they do not have the burden of accounting in detail for their expenditure.

9. In calculating the block grant, we adopt certain measures of volume. In general, these measures act as proxies for the teaching and related activities that we are funding, but they do not in themselves define what we fund (or what our funding is for). For example, our volume measures determine when and how students are counted, but the funding we calculate using these measures is to support prescribed HE courses more generally and this can include provision for students that may not have been counted – such as those reported as non-completions.

10. HEFCE has a fixed budget. Our funding methods are therefore designed to ensure institutions receive an appropriate share of this budget, given the nature and level of their activities. To ensure we distribute this budget fairly between institutions, we need to ensure that institutions’ activities are reported in a consistent way. So, when we collect information on student numbers, we need to ensure these are reported against common definitions. If we change definitions, we will do so for all institutions in the same year – it would generally be unfair to have one rule/definition for one group of institutions and another for a different group, given that in any one year all institutions are effectively competing with each other for a share of our fixed budget. Similarly, if we decide to change how we count activity, this does not necessarily mean a change to our overall budget, though it may affect how that budget is shared between institutions.

11. There is further information about how we fund colleges in ‘Guide to funding: how HEFCE allocates its funds’ (HEFCE 2010/24).

HEIFES

12. There are two main data returns that we use to inform our teaching grant for FECs. These are:

- a. The HEIFES survey. This return is submitted directly to us and provides aggregate information on the numbers of students. It is submitted by colleges in November each year and reports on the student numbers in the current academic year. This ensures our funding decisions are based on the most up-to-date information available. However, because this is provided in-year, it includes elements of forecasting relating to students’ activity up until the end of the academic year (that is, 31 July).
- b. The ILR returned to the Data Service at the end of the academic year. We use it to gain information about student characteristics that are used, for example, in our funding allocations for widening participation. We also use it to reconcile against the HEIFES data previously provided to us by FECs. We receive it approximately 12 months after the equivalent HEIFES data. Information about the ILR is available from www.thedataservice.org.uk under Services/Data Collection.

13. HEIs make equivalent data returns. These are the Higher Education Students Early Statistics (HESES) survey (the equivalent of HEIFES) and the individualised student record, which is submitted to the Higher Education Statistics Agency (HESA) and is the equivalent of the ILR.

14. Although HEIFES is primarily intended to collect information on students counted for funding purposes, it also collects information on other students aiming for recognised HE qualifications as well, such as those from overseas, or funded by other public bodies. This helps to provide a more complete picture of colleges' HE activities, supporting our understanding of their circumstances and student population, including for audits and reconciliations with ILR data, and informing government planning.

15. The guidance in HEIFES defines a student population covered by the return. Within that population, we need to ensure that activity for a given student on a given programme of study is counted once and once only. These are broken down into separate years of programme of study and the guidance in HEIFES defines whether such a year is countable in HEIFES10, or whether it is countable in the return for a different year. These years of programme of study are further disaggregated according to their:

- a. **Residential and funding status.** Residential status is broken down between Home and European Union (EU) students and overseas students. The funding status of Home and EU students is broken down between HEFCE-fundable and non-fundable, and the HEFCE-fundable category is further broken down between HEFCE-funded and independently funded.
- b. **Mode of study.** The three modes identified separately in HEIFES are full-time, sandwich year-out and part-time. Our funding method distinguishes between these modes of study because we need to reflect the tuition fee regime which, together with HEFCE grant, is designed by Government to support HE teaching.
- c. **Level of study.** The main HEIFES tables require a disaggregation between foundation degree, undergraduate (excluding foundation degree) and postgraduate. Table 5 of HEIFES requires a further disaggregation of undergraduate numbers.
- d. **Subject-related price group.** There are three price groups used for funding purposes (B, C and D) reflecting the broad relative costs of provision in different subject areas (price group A applies to HEIs only). However, HEIFES also collects information separately on:
 - i. **Media studies.** For funding purposes, we apportion the numbers returned in media studies between price groups B, C and/or D to reflect the outcome of institutional reviews in 2004-05 or subsequently.
 - ii. **Initial teacher training (ITT) leading to qualified teacher status (QTS) and in-service education and training (INSET) for those holding QTS.** These two categories are fundable by the Training and Development Agency for Schools (TDA), rather than HEFCE.
- e. **Length of study in the year.** Years of programme of study are classified as either standard length or long, depending generally on the number of weeks' study in the year.
- f. **Fee status.** For Home and EU students, we require a breakdown according to various fee categories. This informs the fee assumptions in our main teaching funding method.
- g. **Completion status.** The main volume measure in our teaching funding method relates to students who complete their year of programme of study. This is because we want to emphasise the importance of students completing their year of study and to encourage institutions to support students through to the completion of all they intended to do during the year, for which they will have paid a tuition fee. Further information about the reason for our approach is on the HEFCE web-site, www.hefce.ac.uk, under Learning & teaching/Funding/Student completion.

Data verification and assurance

16. Given its significance to colleges' funding, we require the completed HEIFES return to be signed off by the principal of the college. This requires them to have an understanding of our data collection requirements, to ensure that the college has systems capable of producing an accurate, complete return and that the preparer of the return has compiled it competently.

17. We have a number of processes to check the accuracy of colleges' data returns that inform our funding, although the responsibility for the accuracy of these returns rests with colleges themselves:

- a. **Validation checks.** Most of these are built into the HEIFES Excel workbooks that colleges complete. These ensure numerical consistency within the return (for example that certain figures on one table match figures on another).
- b. **Credibility checks.** Some of these are also built into the HEIFES Excel workbooks and will generate warning messages if certain thresholds are breached. In addition, HEFCE staff carry out credibility checks of all data returns and will question colleges about them. Credibility checks will relate to data values or changes that, while possible, appear unexpected or unlikely.
- c. **Data audit.** Data audit tests colleges' systems and processes in preparing data returns. It involves pre-visit desk-based work and at least one day on-site to discuss management information systems and feedback of any issues encountered during the pre-visit desk-based work. The pre-visit desk-based work involves a review of a sample of student data to gain assurance over, for example, the audit trail, student completion status and part-time load. The on-site work includes discussions on, for example, the student lifecycle and how their data is captured and reported in HEIFES, and the approaches taken to forecasting of non-completions and assessment of part-time load.
- d. **Data reconciliation.** This occurs in the following academic year. We use the ILR data submitted by the FEC to the Data Service to reconstruct what the original HEIFES return

for the college would have looked like. Where differences between the original and re-created HEIFES return result in significant funding discrepancies, the college is selected to go through a reconciliation process, which involves explaining the reasons for data differences and, if necessary, submitting amendments to ILR data. At the end of the process, we will treat the final (amended) ILR data as superseding the original HEIFES return and will implement any consequential funding adjustments for all relevant years (subject to an appeals process where appropriate).

Content of the HEIFES survey

18. The HEIFES10 survey contains six tables for completion:

- Table 1 – Full-time student counts
- Table 2 – Sandwich year-out student counts
- Table 3 – Part-time student counts and full-time equivalents (FTEs)
- Table 4 – Home and EU fees
- Table 5 – Student counts split between home and others entitled to pay home and EU fees
- Table 6 – Full-time years of programme of study counted towards the 2010-11 student number control.

19. Annexes to the HEIFES10 survey provide definitions and guidance on completion of the tables. These include:

- a. **Annexes A and B.** These provide an introduction to the guidance in HEIFES and report on changes since last year.
- b. **Annexes C and D.** These contain descriptions of the tables themselves, and a sample of those tables.
- c. **Annex E.** This explains what should be done when the tables have been completed, including a description of the data verification process.
- d. **Annexes F and G.** These define the HEIFES population and recognised HE courses.
- e. **Annexes H and J.** These define when activity by students in the HEIFES population should

be counted and how to determine the full-time equivalence of part-time students.

- f. **Annex I.** This defines whether a student should be recorded as a completion or non-completion.
- g. **Annexes K to O.** These explain how to record different categories of activity and include the definitions of residential and funding status, price group, mode, level and length of study in the year.
- h. **Annex P.** This contains guidance on assigning student activity to the appropriate fee level category in Table 4.

20. All activity that meets the criteria set out in Annexes F to H should be reported, even if it will not be used directly to allocate funds. For example, HEFCE will not count for funding purposes students ordinarily resident outside the EU or specified overseas territories, but these students should still be included in the 'Island and overseas' column in the tables.

21. The main sources of data that will inform our calculations of recurrent grant for 2011-12 are:

- Tables 1 to 4 and 6 of HEIFES10
- the Data Service 2009-10 ILR F05.

22. In addition to their primary purpose of collecting data to inform funding allocations, Tables 1 to 4 of HEIFES10 provide us with information about colleges as a whole, including HE activity that we do not count for funding. Data returned in Table 5 are collected for planning and monitoring purposes, including those of the Department for Business, Innovation and Skills. Data returned on Table 6 will be used to monitor the student number control for 2010-11.

23. For funding allocation and other purposes we source various kinds of information from the Data Service July individualised student data. The algorithms we expect to use are shown in '2009-10 statistics derived from ILR data: guide to HEFCE web facility', which will be available later this year on the HEFCE web-site, www.hefce.ac.uk, under Publications. This information includes:

- re-creations of HEFCE funding returns (including a HEIFES09 re-creation)
- derived statistics likely to inform HEFCE funding (including indicative 2011-12 allocations for widening participation and teaching enhancement and student success, and the partial completion weighting)
- derived statistics we intend to publish, for verification by colleges
- data summaries for verification by colleges.

Colleges should note that incomplete or incorrect records may adversely affect funding allocations.

Queries and further information

24. Queries about this survey should be e-mailed to heifes@hefce.ac.uk. In addition, the HEFCE web-site contains a web page with answers to frequently asked questions (FAQs). It can be found at www.hefce.ac.uk under Questions/HEIFES FAQs. The page will also contain any amendments or clarifications that need to be made after the publication and workbook are available. Colleges are expected to look there for guidance before and during completion of their HEIFES return. We will use an e-mail list of HEIFES contacts to notify colleges of any significant changes or updates. We will not use this simply to notify them of changes to the web-site.

HEIFES contacts at colleges

25. Each college has sent us details of a contact for the HEIFES survey. If colleges wish to check or change their HEIFES contact details, they should contact their HEFCE higher education policy adviser (HEPA). Contact details for the HEPA for each college can be found on the HEFCE web-site under About us/Contact us.

Data preparation and submission

26. An Excel workbook with spreadsheet versions of the tables in Annex C will be available on the HEFCE extranet, <https://extranet.hedata.ac.uk>, in November 2010. Heads of colleges and HEIFES contacts will be issued with an organisation key (unique to their college) and a HEIFES10 group key (unique to the HEIFES10 survey) to enable access to

this workbook via the HEFCE extranet. Colleges will need to upload the completed workbook to the same web-site. In addition to the organisation and group keys, heads of colleges and HEIFES contacts will be issued with guidance on how to use the extranet and a check list for use before submission of the completed workbook.

27. Returns must be uploaded to the HEFCE extranet no later than **noon on Wednesday 17 November 2010**. We will not give extensions to this deadline.

28. The data do not need to be formally signed off by the principal of the college at this stage. However, it is good practice for someone independent of the compiler of the return to review it carefully to ensure that the figures make sense in relation to the supporting data, and that basic inputting errors have not occurred. A senior member of the college should also agree the return prior to submission.

29. Where a college fails to return data on time, or the returned data are not credible, we may base the allocation of funds on our own estimate of student activity. Colleges that do not submit credible data on time are more likely to be audited.

30. Good practice guidance relating to the preparation of the HEIFES return can be found in 'Audit issues' in paragraphs 40 to 62 and throughout the guidance.

Data verification

31. A number of validation and credibility checks are carried out automatically within the workbook (detailed in Annex E, Appendix 2 and Appendix 4). The workbook also contains worksheets showing whether colleges have met their funding agreement targets for 2010-11 and any consequential estimated grant adjustments (detailed in Appendix 3). The appendices are available to download with this document at www.hefce.ac.uk/pubs.

32. We will carry out further credibility checks when we receive the workbook. During November and December, we will write to colleges, attaching their HEIFES data and the comparison and grant adjustment reports generated from them. Colleges will be asked to:

- verify that the data are accurate, or make corrections
- answer any questions we may have about the data, and the explanations already provided.

The timetable for this is tight: if corrections to data are made, we then reissue the data for re-verification by colleges. We expect colleges to answer any questions about data within five working days. We may refuse to revise allocations once data have been verified and signed off. Annex E contains further detail on the data verification process.

33. We will also write separately to colleges about provisional formulaic grant adjustments and invite appeals for mitigation.

Sign-off of HEIFES10 data

34. By 22 December 2010, all colleges must have signed off their HEIFES data as being correct as at 1 November 2010. The data must be signed off by the principal of the college, and they should have an understanding of our data collection requirements, to ensure that the college has systems capable of producing an accurate, complete return and that the preparer of the return has compiled it competently. If it is anticipated that the principal of the college will be unavailable to sign off the data during the data verification period, colleges should e-mail dataverification@hefce.ac.uk to agree interim arrangements. We will expect the principal of the college to sign off the data on their return. If a college fails to meet the deadline for signing off data, or we believe the data to be inaccurate, we reserve the right to use our own estimates of data to inform funding allocations (see paragraph 12 of the 2010-11 funding agreement between HEFCE and colleges, available at www.hefce.ac.uk, under Finance & assurance/Grant announcement/Notification to institutions). We cannot guarantee that any amendments to data after 22 December 2010 will be taken into account.

Outline process for the 2011-12 funding round

35. During January we will consider any appeals against formulaic grant adjustments. Institutions will be notified of the outcomes of their appeals in

February. We intend to notify colleges of their provisional allocations of recurrent grant for 2011-12 on 14 March 2011.

36. There are two main grant announcements in the year: in March and July. To be reflected in the March grant announcement, we need to receive all HEIFES data amendments by 22 December 2010. To be reflected in the July grant announcement, we need to receive any further HEIFES data amendments by 20 April 2011. However, because our total budget is limited, we cannot guarantee to provide additional funding arising from amendments received after 22 December 2010. All changes to grant after the initial March announcement are subject to approval by our Board; we will not confirm the effects on funding of data changes until that approval has been given. After the March grant announcement, the Board will next consider changes to grant in July so that they can be included in the July funding announcement.

37. In January 2012, we will compare HEIFES10 data with the 2010-11 ILR LR05 student record. If we find, either through reconciliations with ILR data, or through any data audit, that erroneous data have resulted in colleges receiving incorrect funding allocations (including for widening participation, teaching enhancement and student success and other targeted allocations), we will adjust their funding accordingly for all relevant years (subject to the appeals process and the availability of our funds).

Audit

38. We will continue our programme of audits of data used for funding purposes. Colleges should therefore keep an adequate audit trail recording how the data have been derived. This is especially important where colleges are including estimates or making judgements; for example, the basis for forecasting non-completions should be recorded. Colleges must ensure that estimates are reasonable and have sufficient supporting data. Evidence of enrolment should be available for inspection. Our auditors will also seek to rely on any relevant internal audit work that has been carried out on the

student record system and/or the method for compiling the HEIFES return, where appropriate.

39. As part of our audit process we will compare HEIFES10 data with a variety of other data, most notably ILR data as these become available. Details of how we expect to compare ILR data are given in '2009-10 statistics derived from ILR data: guide to HEFCE web facility' and in Appendix 1. We will use ILR data to assist in assessing the validity of non-completion forecasts.

Audit of HEIFES09

40. For HEIFES09 we are auditing six colleges. At the time of preparing this publication, not all the audits had been completed. The completed audits highlighted areas in which some colleges were incorrectly interpreting the HEIFES definitions, or where internal institutional systems and practices did not facilitate the production of the HEIFES return. The main findings included:

- incorrect application of the rules on student completion, particularly those around the requirement for submission of the final assessment in all modules intended to be studied in the year
- lack of identification of students' initial study intentions for the purpose of determining completion status
- lack of robustness in the estimation of non-completions and forecast countable years
- misunderstanding of the rules for student inclusion in Column 2
- misunderstanding of the rules for returning students on non-standard years of programme of study
- incorrect calculation of FTE
- incorrect assignment of activity to price groups
- incorrect identification of mode of study
- weak management and poor communication within collaborative arrangements
- inadequate audit trail between the student record system and the HEIFES return

- lack of systems notes both for recording of data on student activity and for the HEIFES preparation process
- lack of analytical review of figures in the return to identify anomalies and ensure that the data make sense
- lack of reconciliation between HEIFES and ILR returns before submission to the Data Service
- incorrect recording of student activity as being full-time if a student is only active for part of a year.

41. To assist with future compliance, we strongly recommend that all colleges undertake a formal review of existing arrangements, taking into account the advice and information given below and in the ‘Audit issues’ sections in the annexes.

Audit issues

Inadequate audit trail

42. In some cases, the audit trail between student record systems and the HEIFES return was inadequate or had not been retained at all. A record of the basis for making estimates of non-completions and forecast students should be kept, along with any relevant electronically stored data, printouts and working papers used in completing the return. The audit trail should be retained for at least three years. Source documents such as registration forms should also be retained. This should include information on students’ detailed study intentions for the academic year.

43. There should be an audit trail to individual figures in the return for all Column 1 figures, identifying individual students within those figures. During audit we ask for a sample of these figures to be rebuilt. In the case of the estimates, that is Columns 2 and 3, there must be a clear rationale for the figures and back-up data justifying what is being returned.

44. Where the college leads in franchise arrangements, the audit trail must include evidence for the inclusion of franchise students, and forecasts relating to such students.

Knowledge management

45. At many colleges, the knowledge required to prepare the HEIFES return is undocumented and sometimes lies with only one person. This creates a risk that in the absence of that person, particularly at crucial times of the year, the college may not be able to prepare the return on time or to the appropriate standard. A good audit trail helps to reduce this risk. But we also consider it good practice for all colleges to manage this risk by ensuring that at least two people can both produce the information for the return and prepare the return itself.

46. In addition, colleges should ensure that the relevant processes are adequately documented and that this documentation is kept up to date. This requires all relevant staff, including experienced staff, to consider the HEIFES guidance each year and make any necessary changes to their systems.

47. There are, quite reasonably, differences between academic regulations of colleges and the rules relating to the counting of students for funding purposes. It is essential that individuals involved in completing student data fields which are used for funding purposes fully understand the fields they are completing in the student record. For these fields, student activity should be reported with regard to funding rules and not in accordance with the college’s own academic regulations and progression rules. This is discussed in more detail in Annex I.

Incorrect flagging on student record systems

48. Poor flagging on colleges’ student record systems had led to incorrect returns for Skills Funding Agency-funded students, and for franchised students where the colleges concerned were not the lead institution.

49. This highlights the importance of careful data inputting to the student record system and proper flagging of fundable and non-fundable courses to ensure that all eligible – and only eligible – students are included in the return.

Analytical reviews and data reconciliations

50. A reconciliation between HEIFES09 and 2009-10 ILR F05 returns should be made before the ILR data are submitted. Differences should be examined as part of the process for identifying possible data error, and amendments made to ILR data if necessary. This will be useful preparation for the ILR-HEIFES reconciliation exercise if differences are substantial. It should also help to eliminate inconsistencies in students' treatment in the two returns for future reference, and reduce systems problems with the way students are returned in ILR data before submission. In summer 2011 we will give colleges access to a web facility that will be able to generate a re-creation of HEIFES10 from a 2010-11 ILR LR05 return.

Management information

51. The student record system is not only important from the point of view of HEIFES and other statistical returns, it is also a source of management information for the college. But the opportunity to use this resource is being lost at many colleges we visited. Typically, student records are only cleaned up at the time of end-of-year examinations, because academic staff have to rely on the data at that time. The opportunity to use the data throughout the year as a management tool for identifying problem areas or potentially failing students is lost.

52. It is important to encourage use of the main student record system for recording marks within the year if possible, and to the level of detail required to comply with the rules on correctly assessing student completion status. Use of separate databases held locally at departmental, school or faculty level will not help to ensure that the main student record is up to date and hence useful as a management tool.

53. Although most colleges use the data effectively, a growing number have implemented 'data warehouse' solutions to provide key management information from the student records system.

54. Management information is only useful if it is complete, accurate and timely. In turn, complete and accurate data would produce a more accurate HEIFES return.

55. Particularly where colleges are implementing new student record systems, there can be a lack of attention to forthcoming reporting requirements. During audit we do not ask for any reports that could not reasonably be expected to be used in everyday activity. However, some colleges have enormous difficulty in extracting these standard data from the student record system, and indeed many do not even hold the required data. An awareness of reports required for everyday activities should be considered as part of the overall project, and scoping for these should be given priority. Data that cannot be extracted and reported on are of little value.

56. Developing exception reporting and using such reporting to highlight data issues for review and subsequent amendment will help to ensure that high-quality data are returned in the future. Data quality will also be enhanced by data management reviews by those with a good understanding of the data.

57. We encourage colleges to liaise with appropriate HEFCE staff when issues concerning the correct returning of data arise.

Variable practices

58. Although colleges have academic regulations and procedures for managing student data in the student record system, the audit visits picked up many instances of inconsistent practice within colleges.

59. Differential practices did not necessarily mean that procedures were not being followed; in a number of instances it was clear that the procedures were inadequate to cope with the complexity of the area in question. For example,

faculties of health studies often have requirements over and above those of the rest of the college. However, it was clear in other areas that the staff managing the data were not sufficiently trained in the college's requirements.

60. Data quality will be improved if the requirements of all data users are fully understood and taken into account by staff who manage and maintain the student record system. Many instances were found where staff were responsible for completing key fields required for funding purposes but they had no training on the rules governing completion of those fields in accordance with funding rules. In many cases the data required to complete those fields correctly were not recorded on the main student record system, so robust centralised systems could not be implemented, and reliance was placed on inadequately trained staff. All users should also be trained in the data requirements of the college, with reference to differences between academic regulation requirements and funding rule requirements, so that they understand why they are asked to perform particular tasks.

Problems with implementing new student record systems

61. Implementing a new student record system is a major undertaking. It is essential that colleges manage this process carefully to ensure that the system does not fall into disrepute before the process is complete.

62. One problem we found with new systems (even proprietary systems) was the lack of ability to draw out management information and basic reports from the system (see also paragraph 55). As part of the overall implementation project, it is essential to include the requirements both for everyday reports needed by academic and administrative staff and for top-level management reports, and to make arrangements to ensure that they can be delivered. During audit we ask for

quite basic reports that sometimes cannot be provided, or take a long time to produce. These are not specialist reports only for audit, but the kinds of reports that could reasonably be expected to be generally available.

Annex A

HEIFES10: Getting started

1. This annex is aimed at those with responsibility for completing the Higher Education in Further Education: Students (HEIFES) survey. It provides an introduction to the structure of the survey and where guidance and definitions can be found in subsequent annexes, but it does not attempt to summarise the guidance in those other annexes. This annex points to guidance on which students can be counted in HEIFES10, then goes through each table in turn and points to where guidance may be found on each column and row heading. It also points to where guidance may be found on what to do when the HEIFES tables have been completed.

2. Additionally, throughout the annexes are many examples, and also 'audit issue' boxes containing common issues found by our auditors and good practice tips.

3. It is recommended that this annex is read alongside the sample tables in Annex C.

Which students are counted in HEIFES?

4. The guidance in HEIFES defines a student population covered by the return. Within that population, we need to ensure that activity for a given student on a given programme of study is counted once and once only. These are broken down into separate years of programme of study and the guidance in HEIFES defines whether such a year is countable in HEIFES10, or whether it is countable in the return for a different year. HEIFES10 therefore records counts of students aiming for a recognised HE qualification. Further information on recognised HE qualifications is in Annex G.

5. A 'programme of study' may be split into one or more years of programme of study (see Annex H paragraph 2). To be counted in HEIFES10 a year of programme of study must be generated by a student in the HEIFES10 population. Paragraphs 2 to 4 of Annex F define criteria that students must meet for this, relating, for example, to when students are actively pursuing studies, their course aim and whether or not they will be included in other data returns by the same or another institution. These paragraphs also identify particular cases that are excluded from the population. Also, paragraph 6 of

Annex H provides additional criteria that a year of programme of study must meet to be counted in the HEIFES10 population, relating to the need to charge a tuition fee, the minimum amount of activity and the requirement that the student is not writing up a thesis (or similar) for the whole year of programme of study.

6. Some years of programme of study may be generated by students who are in the HEIFES10 population and meet the criteria in paragraph 6 of Annex H, but may instead be counted in a previous or future HEIFES survey rather than HEIFES10. See paragraphs 10 to 43 of Annex H for guidance on how to count years of programme of study.

Things to note

7. Care should be taken if the college is involved in a franchise arrangement with another institution to ensure students are not being double-counted (collaborative arrangements, excluding those solely for validation, are treated as franchises for HEIFES purposes). See paragraphs 5 to 12 of Annex F for guidance on the return of franchised activity in HEIFES.

8. Annex H, paragraph 4, contains guidance on how to treat students who are studying towards two or more independent recognised HE qualifications at the same time.

9. Annex H, paragraphs 44 to 54, explain how to return the following kinds of summer school in HEIFES:

- summer schools for potential HE students
- access provision
- within-course periods of study in vacation time
- foundation degree bridging courses.

How should I return students on Tables 1, 2 and 3?

10. Tables 1, 2 and 3 record counts of full-time, sandwich year-out and part-time students respectively and are mutually exclusive. To determine whether a student should be returned on Table 1, 2 or 3, see Annex M which contains guidance on mode of study.

11. Paragraphs 15 to 31 of this annex consider the column and row headings in Tables 1, 2 and 3 and point to the guidance on assigning students to the appropriate column and row in these tables.

12. Paragraphs 4 to 18 of Annex D contain more detail on how activity should be assigned to Tables 1, 2 and 3 and the columns within them.

Things to note

13. Occasionally a student's mode of study changes, either between years or mid-year. See paragraphs 9 to 11 of Annex M for guidance on how to return such years of programme of study.

14. For the purposes of meeting the attendance definition for a full-time course, full-time study can include learning in the workplace, where this is a course requirement. Paragraphs 12 to 15 of Annex M provide guidance on this.

Column 1 or Column 2?

15. Columns 1 and 2 are mutually exclusive. Whether a student should be recorded in Column 1 or 2 depends on when they become countable and this in turn depends on whether or not the year of programme of study is classed as 'standard' (where all activity that is counted in the year of programme of study is entirely within the academic year 1 August to 31 July) or 'non-standard'. There are different counting rules for these two types of year of programme of study. Paragraphs 10 to 25 of Annex H explain this in more detail.

16. Annex D, paragraphs 6 and 13 to 14, and Annex H, paragraph 26, contain further guidance on what should and should not be returned in Column 2.

Column 3 (students who will not complete their year of programme of study)

17. The main volume measure in our teaching funding method relates to students who complete their year of programme of study. This is because we want to emphasise the importance of students completing their year of study and to encourage institutions to support students through to the completion of all they intended to do during the year, for which they will have paid a tuition fee. Further information about the reason for our approach is on the HEFCE web-site, www.hefce.ac.uk, under

Learning & teaching/Funding/Student completion. Column 3 of Tables 1, 2 and 3 should therefore contain an estimate of the number of students already returned in Column 1 or 2 who will be classed as non-completions. Annex I provides the definition of completion and non-completion. These estimates should be supported by historical data and shown as a negative number.

Column 4 (estimated completions for 2010-11)

18. This is calculated automatically within the workbook as the sum of Columns 1, 2 and 3.

Column 4a (Table 3 only)

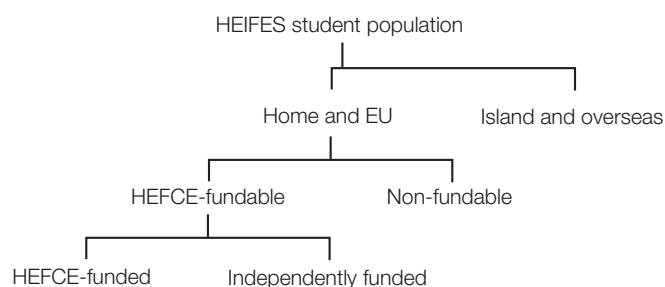
19. Column 4a should contain the estimated FTE for the academic year for part-time students, and reflect the sum of the FTE for the students returned in Column 4. Annex J contains guidance on calculating FTE for part-time students.

Things to note

20. Care should be taken when determining the FTE of a student who has changed their mode of study mid-year, or who is exempt from part of a course due to, for example, accredited prior learning. See paragraphs 6 and 8 of Annex J.

Columns 5 and 5a

21. Column 5 should contain a subset of non-fundable numbers included in Column 4. It will identify estimated completed years of programme of study that are to count towards the delivery of employer co-funded student number targets. Column 5a (in Table 3 only) should contain a subset of non-fundable numbers included in Column 4a of that table. It will identify the estimated FTE for the completed years of programme of study returned in Column 5. See paragraph 9b of Annex K and paragraphs 10 to 12 of Annex D.



Fundability status

22. There are four fundability statuses collected in HEIFES: HEFCE-funded, independently funded, non-fundable and island and overseas. Students in the HEIFES population are disaggregated as follows:

23. Annex K, paragraphs 2 to 5, explain how to distinguish between home and EU students and island and overseas students.

24. Annex K, paragraphs 7 to 10, explain how to determine which home and EU students are HEFCE-fundable, and which are non-fundable. Home and EU students aiming for an equivalent or lower qualification (ELQ) compared to one they already hold are classed as non-fundable (unless they are exempt from this policy). Annex K paragraphs 11 to 34 contain guidance on assessing a student's ELQ status and the exemptions that apply for our funding purposes.

25. Annex K, paragraphs 42 to 44, explain how to determine which HEFCE-fundable students can be classed as independently funded, if the college so chooses. HEFCE-fundable students that the institution chooses not to class as independently funded will be reported as HEFCE-funded.

Things to note

26. Years of programme of study for students funded by another EU public source may need to be reported as non-fundable, depending in part on whether the level of contribution from that other source is at the HEFCE standard rate or higher. Annex K, paragraphs 35 to 41, contain examples of how to determine the number of students supported from other EU public funds (and therefore to be reported as non-fundable), where the available money is not enough to cover HEFCE standard resource for all relevant students. Additionally there is an Excel template on the HEFCE web-site under Questions/HEIFES FAQs which will calculate the number of students who are non-fundable in individual cases.

Price groups

27. There are three price groups that we use for funding purposes (B, C and D) reflecting the broad relative costs of provision in different subject areas (price group A applies to HEIs only). In general,

HEIFES collects information separately on each of these, except that media studies provision is reported separately (for funding purposes we subsequently apportion the numbers returned in media studies between price groups B, C and/or D to reflect the outcome of institutional reviews). In addition, HEIFES also collects information separately on two further price groups relating to provision for which the TDA has funding responsibility: ITT leading to QTS, and INSET for those holding QTS. The price group under which a student is returned depends on the Learndirect codes of the course they are on. See Annex L for further information.

Things to note

28. Annex L contains particular guidance on how to treat education, media studies and sports and leisure studies when assigning activity in these areas to price groups.

Long years of programme of study

29. Years of programme of study are classified as either standard length or long. Full-time years of programme of study are normally treated as long based on the number of weeks' study in the year; for part-time years of programme of study, it depends on the length of each year for an equivalent full-time course. Annex O, paragraphs 2 to 4, define 'long' for full-time courses, and Annex O, paragraph 8, defines 'long' for part-time courses.

Things to note

30. Care should be taken where a year of programme of study includes a period of work-based study – see paragraphs 4 and 5 of Annex O.

Level

31. Annex N describes how to determine whether a student should be classed as an undergraduate or postgraduate. Within the undergraduate classification it also defines foundation degree students.

How should I return students on Table 4?

32. Table 4 collects information about tuition fees for home and EU students included within Columns 1 or 2 of Tables 1, 2 and 3. We use this data to

inform the fee assumptions we make in our main teaching funding method.

33. Paragraphs 35 to 42 of this annex consider the column and row headings in Table 4 and point to the guidance on assigning students to the appropriate column and row.

34. Paragraphs 19 to 23 of Annex D contain more detail on Table 4 and the columns within it.

Column 1 or Column 2?

35. Column 1 and Column 2 in Table 4 are the same as Column 1 and Column 2 in Tables 1, 2 and 3.

Mode of study

36. The full-time, sandwich year-out and part-time column headings are consistent with those in Tables 1, 2 and 3 and are defined in Annex M.

Fundability status

37. HEFCE-fundable is the sum of HEFCE-funded and independently funded. Island and overseas students are not included in Table 4. Annex K contains guidance on how to determine fundability status.

Price group(s)

38. The price groups shown on Tables 1, 2 and 3 are aggregated on Table 4, with the exception of students recorded in the ITT(QTS) price group which are recorded separately on Table 4. Annex L contains guidance on how to assign students to the appropriate price group(s).

Level

39. The levels of study on Table 4 are the same as those on Tables 1, 2 and 3 with the exception of 'FD' (foundation degree) and 'UG (excl. FD)' (undergraduates excluding foundation degree) which are aggregated into a single undergraduate level of study on Table 4, 'UG'. Annex N describes how to determine the level of study for a student.

Fee level

40. Guidance on how to record students in the appropriate fee level category can be found in Annex P.

Things to note

41. In general, fee levels are an attribute of the course, not of the individual student. See paragraph 2 of Annex P.

42. Most postgraduate and part-time undergraduate students should be recorded in the non-regulated fee level on Table 4. For guidance on which postgraduate and part-time undergraduate students can be recorded as being subject to regulated fees, see paragraphs 5 to 7 of Annex P.

How should I return students on Table 5?

43. Table 5 collects information about home and EU students included within Columns 1 or 2 of Tables 1, 2 and 3.

44. Paragraphs 46 to 52 of this annex consider the column and row headings in Table 5 and point to the guidance on assigning students to the appropriate column and row.

45. Paragraphs 24 to 32 of Annex D contain more detail on Table 5 and the columns within it.

Column 1

46. 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.

Column 2

47. Column 2 should contain new entrants, and is a subset of the data contained in Column 1 of Table 5. 'New entrant' is defined in paragraph 32 of Annex D.

Column 3

48. Column 3 should contain counts of students franchised out, and is a subset of the data contained in Column 1 of Table 5. Guidance on what is treated as a franchise for HEIFES purposes is in paragraphs 5 to 12 of Annex F, and guidance on the completion of Column 3 of Table 5 is in paragraphs 28 to 29 of Annex D.

Mode of study

49. The full-time, sandwich year-out and part-time column headings are consistent with those in Tables

1, 2 and 3 and these modes of study are defined in Annex M, but full-time and sandwich year-out are aggregated in Table 5.

Home/other split

50. The home and EU students recorded in Table 5 are split between home students and ‘others entitled to pay home and EU fees’. Guidance on how to disaggregate home and EU students into ‘home’ and ‘other’ is in paragraph 24 of Annex D and depends on the L24 field on the ILR.

Level

51. Annex N describes how to determine the level of study for a student. However, undergraduate students are disaggregated into different groups compared to Tables 1 to 4. Guidance on how to disaggregate undergraduate students in Table 5 is in paragraph 25 of Annex D.

Fundability

52. ‘HEFCE-fundable’ is the sum of HEFCE-funded and independently funded. Island and overseas students are not included in Table 5. Annex K contains guidance on how to determine fundability status.

How should I return students on Table 6?

53. Table 6 collects information to monitor the student number control for 2010-11 and applies to full-time students only (as defined in Annex M). In broad terms, the student number control relates to students starting HEFCE-fundable or employer co-funded full-time undergraduate or PGCE study in the 2010-11 academic year. Paragraphs 27 to 43 of Annex H contain guidance on how to count years of programme of study in Table 6, including the definition of the population that will count towards the student number control limit.

54. Paragraphs 58 to 62 of this annex consider the column and row headings in Table 6 and point to the guidance on assigning years of programme of study to the appropriate column and row.

55. Paragraphs 33 to 36 of Annex D contain more detail on Table 6 and the columns within it.

Things to note

56. Years of programme of study are counted in Table 6 in a different way to Tables 1 to 5. Two cases where treatment differs between Table 6 and the other tables are for students on non-standard years of instance and for some students who withdraw from their year of instance. Guidance on this is provided in paragraphs 27 to 43 of Annex H.

57. Not all students counted in Table 6 will be for ‘entrants’ to the college (as defined in Annex D paragraph 32). This may be the case where, for example, students have previously studied part-time, or on programmes of study that were not funded by HEFCE. Paragraphs 41 to 43 of Annex H provide guidance on this.

Column 1

58. Columns 1(a) and 1(b) should contain years of programme of study starting between 1 August 2010 and 1 November 2010 inclusive, with the disaggregation between them depending on whether and when the student has withdrawn. Paragraph 34 of Annex D contains guidance on how to complete this column.

Column 2

59. Column 2 should contain a forecast of years of programme of study starting after 1 November 2010 and before 1 August 2011. Paragraph 35 of Annex D contains guidance on how to complete this column.

Column 3

60. Column 3 is calculated automatically within the workbook as the sum of Columns 1(a), 1(b) and 2.

Fundability

61. ‘HEFCE-fundable’ is the sum of HEFCE-funded and independently funded, as defined in Annex K. ‘Employer co-funded’ applies to years of programme of study that are non-fundable on the basis that they are to count towards the delivery of HEFCE allocations of student numbers co-funded with employers – see paragraph 9b of Annex K.

Level

62. ‘UG’ should contain undergraduates (including those on foundation degrees) as defined in Annex N. ‘PGCE’ should contain students starting on a

Postgraduate/Professional Graduate Certificate in Education.

What should I do when the tables have been completed?

Validation and credibility checks

63. Validation and credibility checks exist within the workbook to try to ensure that inconsistent and potentially erroneous data are not submitted. Paragraphs 3 to 10 of Annex E explain how validation and credibility checks are shown in the workbook and what to do if they exist within the completed workbook. Appendices 2 and 4 provide detail on each check that is carried out.

Grant adjustment tables and related worksheets

64. There are three worksheets (HBK, STD and F10) that relate to the estimated grant adjustment calculations for 2010-11. Colleges should check the figures shown on these worksheets before uploading the completed workbook to the extranet to ensure that any estimated grant adjustments are not the result of data error. Further information on these worksheets can be found in paragraphs 11 to 12 of Annex E and in Appendix 3.

Data verification

65. When we receive the HEIFES10 returns, we will review the data and explanations for outstanding credibility checks. Further information on this data verification process can be found in paragraphs 17 to 19 of Annex E.

Sign-off of HEIFES10 data

66. By 22 December 2010 the college's principal should sign off its HEIFES10 data. Further guidance on the sign-off of HEIFES10 data can be found in paragraph 34 of the main guidance and paragraph 20 of Annex E.

Annex B

Summary of changes and clarifications since HEIFES09

Changes

1. 'Advance notification of changes to HESES and HEIFES for 2010-11 and later years' (HEFCE Circular letter 10/2010) notified institutions of a number of changes intended for implementation in HEIFES10. The changes to be implemented in HEIFES10 are:

- a. The introduction of a new Table 6, which will collect information to monitor the student number control for 2010-11, and the removal of Column 3 in Table 4 (see paragraphs 5 to 7 and Annex A of Circular letter 10/2010, paragraphs 33 to 36 of Annex D and paragraphs 27 to 43 of Annex H of this document).
- b. The introduction of new columns in Tables 1, 2 and 3 to collect information on employer co-funded provision (see paragraphs 8 to 10 of Circular letter 10/2010 and paragraphs 10 and 11 of Annex D of this document).
- c. An amendment to the definition of student completion. We have removed the requirement that, where completion depends on attendance at a final examination, it should in general be judged by attendance at the first presentation of the examination. This is replaced by a requirement that, where completion depends on undergoing a final assessment, this must be done within 13 months of the start of the student's year of programme of study (see paragraphs 11 to 13 of Circular letter 10/2010 and Annex I of this document).

Circular letter 10/2010 gave notice of one further change intended for HEIFES10 relating to the file format of the HEIFES10 workbook. We are not able to implement this change for HEIFES10, but will instead aim to introduce it for HEIFES11. See paragraph 10 of this annex for further information.

2. In previous HEIFES surveys, years of programme of study that were classified as non-completions on or before the census date were not countable. This guidance has been modified to instead say that students who withdraw from their programme of study on or before the census date are not countable. This means that a student who non-completes on or before the census date, but does

not withdraw from their programme of study, may be returned on HEIFES10. Previously such a student would not be returned. We have introduced this change for greater consistency with Table 6 and the HEIFES10 re-creation. See paragraphs 5 and 7 of Annex D for further information.

3. The Lisbon Treaty provides that the European Community (EC) ceases to exist, therefore removing the long-standing distinction between the EC and the European Union (EU). As a consequence, references to the EC in the HEIFES guidance have been replaced with EU. This is a change to terminology that does not (in itself) affect the HEIFES definitions.

4. The Department for Business, Innovation and Skills has signalled its intention that students starting part-time ITT courses from 1 September 2010 should no longer be subject to regulated fees. Information about this is on the Student Finance England practitioners' web-site, <http://practitioners.studentfinanceengland.co.uk>, under Practitioner Resources/Student Support Information Notes/SSIN 04/10 – Support for Initial Teacher Training Courses for 2010/11. Further guidance on which part-time students should be recorded as being subject to regulated fees in Table 4 of HEIFES10 is in paragraphs 5 and 6 of Annex P.

Clarifications

5. We have clarified that, with the exception of Table 6, where a full-time student changes mode within a year of programme of study to become part-time, the year of programme of study should generally be recorded as part-time only. We also give details of the information that should be maintained (as part of an audit trail) where a student switches their mode of study within the year of programme of study. See paragraphs 10 and 11 of Annex M for further guidance.

6. The difference between validation arrangements and franchise arrangements has been clarified. See paragraph 5 of Annex F for further guidance.

7. New student places for 2010-11 awarded through the University Modernisation Fund should be treated in HEIFES in the usual way, that is, following the guidance given in Annexes D to P.

8. We have clarified that where a student's qualifications achieved are not known then they should be treated as if they are aiming for an ELQ. Additionally we have clarified that the ELQ policy applies regardless of where a student's previous qualifications were obtained, or how they were financed. See paragraphs 11 and 12 of Annex K for further information.

9. We have clarified that where a fee is not charged in the current year because a fee for the activity has already been paid in a previous year then this should not be treated as a fee waiver. See paragraph 7 of Annex H.

Process changes

10. Circular letter 10/2010 gave notice of our intention to create the Excel workbook containing the HEIFES10 tables for completion in Excel 2007 (file extension .xlsx). We are not able to make this change at this time, therefore the HEIFES10 workbook will be created in Excel 2003 (file extension .xls). Full instructions of how to download the blank HEIFES10 workbook from the HEFCE extranet, and how to upload a completed workbook to the HEFCE extranet will be available in November 2010. We do however intend to create future survey workbooks (including HEIFES11) in Excel 2007 format (file extension .xlsx).

11. Following feedback received from colleges about the layout and content of the HEIFES09 publication, in particular with regard to people who are new to the HEIFES return, we have made the following changes to the layout and content of the publication:

- a. The introductory section of the guidance contains more information about teaching funding, what is collected in HEIFES and the data verification and assurance processes.
- b. The layout of Annex A (HEIFES10: Getting started) has changed from previous years. Although it is still intended as an introduction for those who are new to the HEIFES return or unsure as to where to find a particular definition or piece of guidance, it has been re-designed so that it guides the reader through each part of the tables and describes where further guidance on each area can be found.

- c. To improve navigation around the guidance, especially for those who are new to the HEIFES return, the beginning of each annex now contains a short summary of what can be found in that annex.
- d. Annex L (Table descriptions) and Annex M (Descriptions of columns in tables) of the HEIFES09 guidance have been combined into one annex in HEIFES10 (Annex D: Table and column descriptions). Guidance on the fee categories in Table 4 can now be found in Annex P (Fee categories in Table 4).
- e. The guidance on whether or not a year of programme of study should be classed as a completion is now in a separate annex, Annex I (Completion and non-completion).
- f. A new annex (Annex E: When the tables have been completed) has been introduced to the guidance. This annex covers the data checks that a college must make before uploading its completed HEIFES10 workbook to the HEFCE extranet, and also the data checks that HEFCE staff will carry out once we have received the completed workbook.

These changes mean that many annexes in the HEIFES10 guidance are in a different position compared to the HEIFES09 guidance. Those who have been involved in the completion of previous HEIFES surveys will need to take this into account.

Annex C

Sample tables (Excel files)

This annex contains samples of the tables which must be completed by colleges. The workbook containing the actual versions of the tables which must be completed will be made available via the HEFCE extranet in November 2010.

This annex is available to download as an Excel file at www.hefce.ac.uk/pubs with this document.

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.
3. The HEIFES10 workbook contains six tables for completion and are described in more detail in this annex:

Name of worksheet	HEIFES10 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 2010-11 student number control

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 students countable between 1 August 2010 and 1 November 2010 inclusive. If the student has withdrawn from their year of programme of study on or before 1 November 2010, their year of programme of study should not be returned.
6. Column 2: Number of students expected to become countable between 2 November 2010 and

31 July 2011 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. Students on non-standard years of programme of study should not be shown here. Column 2 should only include those students expected to become countable after 2 November 2010 but who will complete by 31 July 2011. In general we would not expect many full-time students to be recorded in Column 2. Guidance on when students 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 2010 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 2010, should also still be included in Column 1 and should not be reported as 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. 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 only of the criterion in sub-paragraph 9b of Annex K. Any employer co-funded students 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-funded data, are used in our resource calculations. Column 4 of Tables 1 and 2 and Column 4a of Table 3, HEFCE fundable data, are used in monitoring against the FTE targets for funding conditional upon delivery of growth. Column 5 of Tables 1 and 2 and Column 5a of Table 3 may be used in monitoring achievement of employer co-funded student number targets.

Audit issues

Forecast of countable years (Column 2)

13. The audits found that there was some confusion about what should be included in Column 2. Mistakes included filling in Columns 1 and 2 with the same students and returning students on non-standard years of programme of study in Column 2.

14. Students should be reported in Tables 1 to 5 of HEIFES as set out in Annex H, paragraphs 10 to 25. Errors arose in reporting students whose year of programme of study spans two academic years. The example below shows how such students should be reported.

Example 1

15. Each year of a two-year course runs from January to December. Students continuing their course who started in January 2009 (now in their second year) and January 2010 (in their first year) should be included in HEIFES10, in Column 1. Those starting in January 2011 should not be shown as forecasts in Column 2 of HEIFES10, but instead should be counted in Column 1 of HEIFES11.

16. 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.

17. 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

18. 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

19. 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. Table 4 contains the number of students for all modes, split between those countable on or before 1 November 2010, and those expected to become countable between 2 November 2010 and 31 July 2011, for home and EU students only. Island and overseas students should not be returned in Table 4.

20. Further information on how to record students in the appropriate fee level category can be found in Annex P.

What should be included in each column in Table 4?

21. Column 1: Number of home and EU students countable between 1 August 2010 and 1 November 2010 inclusive. The column is broken down by mode of study as defined in Annex M.

22. Column 2: Forecast of number of home and EU students expected to become countable between 2 November 2010 and 31 July 2011 inclusive. The

column is broken down by mode of study as defined in Annex M.

23. Data returned in Table 4 are used in the assumed resource calculations.

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

24. 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 L24 field on the ILR student record (that is, codes XF, XG, XH and XI for England, Wales, Scotland and Northern Ireland 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 or 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.

25. 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?

26. Column 1: Students countable between 1 August 2010 and 31 July 2011 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 24 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.

27. Column 2: New entrants included in Column 1 of this table, defined as the first countable year for the programme of study (see paragraph 32 of this annex). These data are split by mode, then between home students and others entitled to pay home and EU fees.

28. 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.

29. 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.

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

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

New entrants

32. 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 transfer between 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 2010-11 student number control

33. Table 6 should contain all full-time years of programme of study that are counted towards the 2010-11 student number control. The information collected on this table is for a subset of the years of programmes of study in the HEIFES10 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 28 of Annex H count towards the student number control that we have set for 2010-11 and should be included in Table 6.

What should be included in each column in Table 6?

34. Column 1: Number of years of programme of study meeting the definition in paragraph 27 of Annex H, where these commenced between 1 August 2010 and 1 November 2010 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 withdraws on or before 1 November 2010 (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 2010. 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.

35. Column 2: Number of years of programme of study meeting the definition in paragraph 27 of Annex H, where these are forecast to commence between 2 November 2010 and 31 July 2011 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.

36. Data returned in Table 6 will be used to monitor the student number control for 2010-11.

Annex E

When the tables have been completed

1. Completed workbooks must be uploaded to the HEFCE extranet no later than **noon on Wednesday 17 November 2010**. We will not give extensions to this deadline.

2. This annex explains data checks that the college must undertake before uploading the completed workbook to the HEFCE extranet, and also data checks that HEFCE staff will carry out as part of the data verification process once we have received the completed workbook.

Validation checks on Tables 1 to 6

3. Each worksheet contains a number of validation checks which ensure that incorrect data are not submitted. If an error or inconsistency is detected in a completed worksheet, a message reading **Validation: Failure** (see below table) will appear above the column in the table in which there is a validation failure, and the values in the cells which are causing the error will turn red. Below the table, the error will be described in more detail. These errors **must be corrected** before submitting the completed workbook: we will not accept workbooks containing validation failures. If the source of the error cannot be identified, colleges should e-mail us for advice at heifes@hefce.ac.uk. The validation checks themselves are described in more detail in Appendix 2.

Credibility checks

4. The data submitted in HEIFES10 will be used to determine grant adjustments for 2010-11 and provisional grant allocations for 2011-12. As such it is important that the data submitted are accurate and suitable for this purpose.

5. The automatic checks that are included in the workbook are not exhaustive. Colleges are expected to conduct their own credibility checks to ensure the data are reasonable prior to submission.

6. The HEIFES10 workbook contains a series of credibility checks in the form of first stage credibility warnings on Tables 1 to 6 and automatic check highlighting on the comparison tables to help colleges check data credibility prior to submission to HEFCE. Where first stage credibility warnings or automatic check highlighting are shown, colleges

should check that the data they have entered are correct and meet the guidance and definitions set out in the relevant section of the HEIFES10 publication.

7. Once the data have been submitted, these checks and tables will be used by HEFCE staff to check the data are reasonable. Colleges will be asked to explain any apparent anomalies, or correct data, before verifying the data are correct. This data verification process is described in more detail in paragraphs 17 to 19 of this annex.

First stage credibility warnings on Tables 1 to 6

8. Each worksheet contains a number of first stage credibility warnings. These checks are intended to warn colleges that they have entered data which may be (but are not necessarily) erroneous. If potentially erroneous data are detected in a completed worksheet, a message reading **First stage credibility: Warnings** (see below table) will appear above the column in the table in which there are potentially erroneous data. Below the table, the warning will be described in more detail. Completed workbooks that have first stage credibility warnings may be submitted; however, colleges must inform us of the reason(s) why the data are credible as described in paragraph 17 of this annex. If the source of the warning cannot be identified, colleges should e-mail us for advice at heifes@hefce.ac.uk. The first stage credibility warnings are described in more detail in Appendix 4.

Automatic check highlighting on the comparison tables

9. The workbook also incorporates a series of comparison tables within the COM1 and COM2 worksheets. These tables contain comparisons of the data submitted in HEIFES10 with data submitted in HEIFES09 and other sources. This information is provided to allow identification of any material changes in data which may indicate errors in the submission.

10. Automatic check highlighting will highlight (in yellow) data which may be (but are not necessarily) anomalous or represent a significant year-on-year change. Completed workbooks that have automatic

check highlighting present may be submitted; however, colleges must inform us of the reason(s) why the data are credible as described in paragraph 17 of this annex. If the source of the highlighting cannot be identified, colleges should e-mail us for advice at heifes@hefce.ac.uk. The automatic check highlighting and the comparison tables themselves are described in more detail in Appendix 4.

Grant adjustment tables and related worksheets

11. In addition to the tables which must be completed in the HEIFES10 workbook (Tables 1 to 6, as described in Annex D), there are three worksheets that relate to the estimated grant adjustment calculations for 2010-11:

Name of worksheet	Content
HBK	Estimated grant adjustments for 2010-11
STD	Recalculation of standard resource for 2010-11
F10	Recalculation of assumed fee income for 2010-11

12. Colleges should check the figures shown on these worksheets before uploading the completed workbook to the extranet. Any queries about estimated grant adjustments should be addressed to the relevant HEFCE HEPA in the first instance (contact details for HEPAs, searchable by college, are at www.hefce.ac.uk under About us/Contact us). These three worksheets are described in more detail in Appendix 3.

Check list

13. In November 2010, heads of colleges and HEIFES contacts will be sent a check list for use before submission of the completed workbook. This check list will contain a series of self-check questions to which a college must be able to answer 'yes' to before uploading the completed workbook to the extranet.

Uploading the workbook to the extranet

14. Heads of colleges and HEIFES contacts will be issued with an organisation key (unique to their college) and a HEIFES10 group key (unique to the HEIFES10 survey) in November 2010 to enable access to the HEIFES10 workbook via the HEFCE extranet. Colleges will need to upload the completed workbook to the same web-site no later than **noon on Wednesday 17 November 2010**. In addition to the organisation and group keys, heads of colleges and HEIFES contacts will be issued with guidance on how to use the extranet.

15. The data do not need to be formally signed off by the principal of the college at this stage. However, it is good practice for a senior member of the college to agree the return prior to submission.

16. Where a college fails to return data on time, or the returned data are not credible, we may base the allocation of funds on our own estimate of student activity. Colleges that do not submit credible data on time are more likely to be audited.

Data verification

17. Where credibility checks are present in the submitted workbook (either in the form of first stage credibility warnings on Tables 1 to 6 or automatic check highlighting on the comparison tables as described in paragraphs 8 to 10 of this annex) colleges must inform us of the reason(s) why the data are credible. An e-mail detailing why the data are credible should be sent to dataverification@hefce.ac.uk by 17 November 2010. Such explanations will inform the subsequent data verification process as detailed below.

18. When we receive the HEIFES10 returns, we will review the data and e-mailed explanations for outstanding credibility checks. During November and December, we will write to colleges, attaching their HEIFES data and the comparison and grant adjustment reports generated from them. Colleges will be asked to:

- verify that the data are accurate, or make corrections

- answer any questions we may have about the data, and the explanations already provided
- submit any appeals against formulaic grant adjustments, such as holdback.

The timetable for this is tight: if corrections to data are made, we then reissue the data for re-verification by colleges. We expect colleges to answer any questions about data within five working days. We may refuse to revise allocations once data have been verified.

19. Verification checks will be carried out by a small team of data verification specialists at HEFCE. Any questions throughout the data verification process should be e-mailed to dataverification@hefce.ac.uk. This e-mail box will be checked by the data verification team so e-mailing this address will ensure queries are dealt with as quickly as possible. To discuss the queries we raise, or the college's data, please ring the contact named in the initial letter we will send detailing our queries.

Sign-off of data

20. By 22 December 2010, all colleges must have signed off their HEIFES data as being correct as at 1 November 2010. The data must be signed off by the principal of the college, and they should have an understanding of our data collection requirements, to ensure that the college has systems capable of producing an accurate, complete return and that the preparer of the return has compiled it competently. If it is anticipated that the principal will be unavailable to sign off the data during the data verification period, colleges should e-mail dataverification@hefce.ac.uk to agree interim arrangements. We will expect the principal of the college to sign off the data on their return. If a college fails to meet the deadline for signing off data, or we believe the data to be inaccurate, we reserve the right to use our own estimates of data to inform funding allocations (see paragraph 12 of the 2010-11 funding agreement with further education colleges, available at www.hefce.ac.uk under Finance & assurance/Grant announcement/Notification to institutions). We cannot guarantee that any amendments to data after 22 December 2010 will be taken into account.

Annex F

The HEIFES10 student population

1. This annex explains which students should, or should not, be included in the HEIFES10 student population (Annex H contains guidance on how to count students in the HEIFES10 population). This annex also explains how to treat provision delivered through a collaborative arrangement in HEIFES.

2. HEIFES10 records counts of students (regardless of age and whether or not the year of programme of study is being repeated) aiming for recognised HE qualifications (defined in Annex G). These students are called the HEIFES10 student population, and this includes students who are repeating a year of programme of study. Paragraphs 3 and 4 of this annex define which students should be included in the HEIFES10 student population. Some students within this population may not be countable within HEIFES10, as their activity will be counted in a previous or future HEIFES survey (see Annex H for when to count activity). All students counted in HEIFES10 must be in this population. How and when students are counted varies between Table 6 and the other tables (see Annex H).

3. Students meeting **all** the following criteria should be included in the HEIFES10 student population:

- a. They are actively pursuing studies with the college for at least part of the academic year 1 August 2010 to 31 July 2011. This includes outgoing, but not incoming, exchange students.
- b. They are studying towards a recognised HE qualification, as defined in Annex G.
- c. They have an individual record returned on the ILR.
- d. They are not being returned on any other institution's HEIFES or HESES return for that year of programme of study.

4. Students in **any** of the following categories should **not** be included in the HEIFES10 student population:

- a. Students not studying towards a recognised HE qualification as defined in Annex G.
- b. Students whose sole qualification aim is a National Vocational Qualification (NVQ). However, students should be included if their programme of study leads to both a recognised HE qualification and an NVQ.

c. Students who will not be included in the ILR for the college. All students included in the HEIFES10 student population must be included in the college's ILR.

d. Incoming exchange students.

e. Students franchised in from another institution. See paragraphs 5 to 12 of this annex.

f. Students spending more than half of their active study time for the whole programme of study 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.

Sandwich students working abroad and language year-abroad students should normally be included in the HEIFES10 student population, as the year abroad will not constitute most of their programme of study.

g. Students who do not actively pursue studies with the college in the academic year 2010-11.

h. Students who are on School-Centred Initial Teacher Training (SCITT) programmes.

i. Students who are being returned on any other institution's HEIFES or HESES return, for that programme of study.

Students taught under partnership, collaborative or similar arrangements

5. Many students are taught under a variety of collaborative arrangements. For the purposes of HEIFES10, years of programme of study that are taught under a partnership arrangement by a college 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 (HEI) 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 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. 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. 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 Edexcel. Industrial placements, work experience and language years abroad should not normally be regarded as franchised out for the purposes of HEIFES.
6. Colleges must ensure that no student is included on more than one institution's return to HEFCE for a single year of programme of study. Where a partnership arrangement (other than a validation arrangement) includes an HEI, the students are usually returned to us by the HEI. Such students should also be returned on the HESA return of the HEI and not on the college's ILR returns. Where a franchise involves two FECs only the college that returns the student on its HEIFES return should include the student on its ILR return.
7. Paragraphs 8 to 12 of this annex explain who should return franchised activity to us. The 'HEFCE survey' referred to will be either:
- HEIFES10 for FECs or
 - HESES10 for HEIs.
8. Where one institution collects a tuition fee 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.

9. 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.
10. If two institutions receive a fee from a student for a given year of a programme of study of a course, 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.
11. 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, then this should be treated as if the fee had been transferred.
12. In all the above cases, the student is a student of the franchiser. Where a college includes the student in its HEIFES10 student population it must also return a record on the ILR, and its quality assessments will take account of activity relating to that student as appropriate.

Audit issues

Collaborative arrangements

13. Many colleges are involved in collaborative arrangements with other institutions, such as franchise arrangements. It is essential that exchanges of information and communications among 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 non-completing students. This may require clear

protocols among partner institutions regarding the exchange of information.

14. 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 they return, including that relating to activity at their partner institutions.

15. It is also important that students are returned on the HEFCE survey 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 HEIFES, and that an audit trail to such students is available.

16. Use of the registering institution's standard forms by partner colleges 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 college. 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 enrolled

17. Students who have not fully registered, and for whom there is no evidence of activity by the census date, should not be included in Column 1 of Tables 1 to 3 of 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 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.

Completion of enrolment forms and agreements by students to pay tuition fees

18. At present it is standard practice for colleges to have enrolment forms and agreements to pay tuition fees, either included within the enrolment form or separately. While this remains the standard basis for the contract between the college and the student, it is important to have accurate and completed forms for all students, signed by the student and preferably also by a representative of the college. This means that a document signed by both parties is available, should a dispute develop in the future. As technology develops, this may not be the method used in future years, but in the main this is the usual practice at the current time.

Annex G

Recognised HE courses

1. HEFCE is currently responsible for funding only some HE qualifications in FECs. These qualifications are defined as ‘recognised’ in this document. Only students studying on recognised HE courses should be included in the HEIFES10 student population (see paragraphs 2 to 4 of Annex F). This annex contains further information on what can be classed as a recognised HE course.

2. Within HEIFES10, recognised HE courses are those where, on successful completion, the student is awarded by a relevant recognised body, one of the following qualifications:

- higher degree, including PhD, MPhil, MSc, MA, MBA
- postgraduate diploma
- PGCE
- first degree, including foundation degree, BSc, BA, BEd
- foundation degree bridging course, where these are integrated into the final year(s) of a first degree
- HND
- DipHE
- HNC
- DTLLS
- CertEd.

3. Relevant recognised bodies are:

- any UK HEI with the power to award degrees
- for foundation degrees (but not for foundation degree bridging courses), any FEC in England with the power to award such degrees
- for HNDs and HNCs, Edexcel and the Scottish Qualifications Authority.

4. The Data Service’s Learning Aims Database (LAD), at <http://providers.lsc.gov.uk> under Learning Aims Database, returns the awarding body and qualification type for a particular learner aim. If colleges believe that a qualification has been incorrectly classified in the LAD, they should e-mail heifes@hefce.ac.uk as soon as possible (ideally as soon as the course has been added to the LAD)

providing us with the learning aim reference, learning aim title, awarding body and learning aim type as displayed on the LAD and the suggested amendments. We shall then liaise with the Data Service on the college’s behalf.

5. Professional or similar qualifications will not normally be recognised. For example, a Certificate in Management awarded by the Institute of Management is not a recognised HE qualification for the purposes of HEIFES. However, if these courses also meet the definition given in paragraph 2 of this annex, they will be recognised.

6. Foundation years, and other provision commonly referred to as ‘Level 0’, are recognised HE courses only if they are an integrated part of a recognised HE qualification. Such provision will only be considered integrated if students are already registered for the recognised HE qualification and there is guaranteed progression to the recognised HE qualification, subject to satisfactory completion of the foundation year. Free-standing foundation years and other free-standing Level 0 provision are not recognised HE courses. From HEIFES11, for such provision to be classed as integrated we will also require that the student is registered at the same institution for this provision and the HE-level course.

Annex H

Counting student activity

1. This annex gives the definition of a year of programme of study and explains how to count them in HEIFES, which differs between Tables 1 to 5 and Table 6. This includes the criteria for being able to count a year of programme of study in HEIFES, the definition of standard and non-standard years of programme of study and guidance on counting some short courses that are sometimes known as ‘summer schools’.

What is a year of programme of study?

2. Students study towards qualifications over a period of time. This period can be split into one or more years of programme of study. 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).

3. A student may only be returned on HEIFES once for each year of programme of study they undertake. This is referred to as counting years of programme of study. When a student becomes countable on HEIFES depends on how their activity falls within each year of programme of study.

Further notes on years of programme of study

4. Exceptionally, a student may be on two courses aiming for two independent recognised HE qualifications at the same time. If this is the case, the student should be treated as if they were two students, each aiming for one of the qualifications.

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 programme of study. See paragraphs 53 to 54 of this annex.

Counting years of programme of study

6. To be counted, a student within the HEIFES10 student population must also meet all the following criteria:

a. A tuition fee is charged for the year of programme of study. 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 programme of study 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 programme of study. 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.
7. 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.

Audit issue

Written evidence of fee waivers

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

Students incorrectly recorded more than once on the HEIFES return

9. 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.

How to count years of programme of study in Tables 1 to 5

10. The guidance in paragraphs 11 to 26 of this annex applies to Tables 1 to 5 only. For guidance on how to count years of programme of study in Table 6, see paragraphs 27 to 43 of this annex.

11. If the student has withdrawn from their year of programme of study on or before 1 November 2010, their year of programme of study should not be returned.

12. For students within the HEIFES10 student population, exactly when a year of programme of study becomes countable in Tables 1 to 5 depends on the type of year of programme of study. There are two types of year of programme of study: standard and non-standard.

- a. A standard year is one where all activity for the year of programme of study is entirely within one academic year (1 August to 31 July). Mostly all undergraduate students are on standard years of programme of study.
- b. A non-standard year is one where all activity for the year of programme of study is not entirely within one academic year – that is, the activity for the year of programme of study crosses from one academic year into the next.

13. Some students who would normally be considered as following a standard academic year are actually on non-standard years of programme of study. The most common examples are MSc students who study for a full year between September and September. This is all one year of programme of study, yet has activity in two academic years and is therefore non-standard. All students on full-year courses which span two academic years are on non-standard years of programme of study.

14. Diagrams which illustrate how to count years of programme of study in Tables 1 to 5 of HEIFES for the first six examples below can be found at www.hefce.ac.uk under Questions/HEIFES FAQs.

Standard years of programme of study

15. For students studying on standard years of programme of study, the student will become countable at the start of each year of programme of

study. The FTE returned should be the FTE for the whole year of programme of study, which will be the same as the FTE for the academic year.

16. Occasionally students join a programme of study at a date different to the usual start date. Such students may be treated as if they had joined with the rest of the cohort if:

- a. Having caught up with the rest of the cohort, they will subsequently follow an identical pattern of study, and
- b. Activity for all years of programme of study for the cohort falls within the academic year.

If this is not the case, the student should be treated as being on a non-standard year of programme of study.

Example 1

17. A student starts a degree programme on 21 September 2010, with each year of the course finishing at the end of June. Because all activity for each year of programme of study is contained within the period 1 August to 31 July, all years of programme of study are standard. Thus the student becomes countable on 21 September 2010 and, depending on when the activity for the year starts, on or around the anniversary of this date each year.

Example 2

18. A student starts a programme on 4 January 2011 which comprises two years of programme of study, each one with activity running from January to June. Because all activity for each year of programme of study is contained within the period 1 August to 31 July, all years of programme of study are standard. Thus the student becomes countable on 4 January 2011 and again on or around 4 January 2012. The first year of programme of study is recorded in Column 2 of HEIFES10, and the second year of programme of study is recorded in Column 2 of HEIFES11.

Example 3

19. A full-time HND course starts on 1 October 2010 and runs from 1 October to 31 July each year, so the course has standard years of programme of study. A student starts the HND programme late, on 5 November 2010, but intends to catch up with the rest of the students on the course and follow the same pattern of activity as them. The student should be treated as if they had started at the same time as the other students, that is, on 1 October 2010 and therefore their first year of programme of study would be counted in Column 1 of HEIFES10.

Example 4

20. A full-time student starts in September 2010 intending to study eight modules before June 2011. At the end of the first semester in February 2011 they interrupt the course having completed four modules and return 12 months later to complete the remaining four modules by June 2012. The first year of programme of study is standard and becomes countable in September 2010 and is therefore returned in Column 1 of Table 1 of HEIFES10. The data entered in Column 3 of Table 1 of HEIFES10 should reflect a forecast of such students entered in Column 1 or 2 who will intermit (and therefore non-complete) after 1 November 2010. The second year of programme of study is also standard and becomes countable at the start of the year of programme of study in September 2011 (and not in February 2012 when the student returns) and is therefore returned in Column 1 of Table 3 (as the activity in this second year of programme of study does not meet the criteria to be classed as full-time as set out in paragraph 2 of Annex M) of HEIFES11.

Non-standard years of programme of study

21. For students on non-standard years of programme of study, the student becomes countable on 1 August of each academic year in which they

are active, apart from the first. The FTE returned each time the student becomes countable should be the FTE for the entire year of programme of study. This will not necessarily be the same FTE as the academic year.

Example 5

22. A full-time student starts a degree programme in January 2011 and the first year of the course finishes in November 2011. The student is on a non-standard year of programme of study in the first year because the activity spans two academic years. This student would not be included in Tables 1 to 5 of HEIFES10, but instead in HEIFES11 for their first year of programme of study. However, a similar student who started in the previous year, in January 2010, would be included in Column 1 of Table 1 of HEIFES10 for their first year of programme of study. The treatment of such students will differ for Table 6 (see paragraphs 33 to 38 of this annex).

Example 6

23. A student starts a full-time MSc programme on 7 September 2010, and is actively pursuing studies for 12 months. The student is on a non-standard year of programme of study because the activity spans two academic years. This student would not be included in HEIFES10, but instead in Column 1 of Table 1 of HEIFES11.

Two countable years of programme of study in one HEIFES return

24. Some students may generate two countable years for the same programme of study in a particular HEIFES return. This can happen where the student completes a non-standard year of programme of study and then intends to complete a second year of programme of study within the academic year – that is, there is a short period of activity after the anniversary of the commencement date which is completed before the end of the academic year, with no activity for the programme

of study occurring between 1 August and the anniversary of the commencement date in the next academic year. In this case, the first year of programme of study should be returned as countable on 1 August. The second year should be returned as countable on or before 1 November if it starts on or before 1 November, and as countable after 1 November otherwise. Under such circumstances this activity should be returned as a standard year (H13 = 1) on the ILR for the academic year in which the activity is counted on HEIFES.

Example 7

25. A full-time student started a 15-month course in January 2010 which ends in April 2011. They would not have been counted on HEIFES09. The student would be counted in HEIFES10 on 1 August 2010 for the first year of programme of study, and again as a student expected to become countable on the anniversary of the start date, in January 2011, for the second year of programme of study. The first year of programme of study would be returned in Column 1 of the full-time table, Table 1. The second year of programme of study would be returned in Column 2 of the part-time table, Table 3, because it starts after 1 November but finishes within the academic year and in this case does not meet the criteria to be full-time.

Audit issues

Reporting of non-standard years of programme of study and forecast Column 2 students

26. Audits are finding that there is a misunderstanding of the rules for the reporting of students on non-standard years of programme of study. Students are incorrectly being reported by some colleges as forecasts in Column 2 and not in accordance with the rules set out above. Generally, Column 2 will

contain only students who are expected both to commence and to finish their studies for their year of programme of study between 2 November and 31 July of the academic year.

How to count years of programme of study in Table 6

27. The guidance in paragraphs 28 to 43 of this annex applies to Table 6 only. For guidance on how to count years of programme of study in Tables 1 to 5, see paragraphs 10 to 26 of this annex.

28. Table 6 collects information on a subset of the years of programmes of study in the HEIFES10 population (as described in Annex F paragraphs 2 to 4). The subset counted in Table 6 differs from the subset counted in Tables 1 to 5. Years of programme of study meeting the following criteria count towards the student number control that we have set for 2010-11, 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 2010 to 31 July 2011.

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 2008 and 31 July 2010) as students of the same institution. These categories include students who have not completed their year of programme of study or who started on a non-standard year of programme of study between 1 August 2010 and 31 July 2011, and who would not be included in Tables 1 to 5 in HEIFES10 but nevertheless meet the criteria in HEIFES10 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 a programme of study in the academic year 1 August 2010 to 31 July 2011.

- b. The students have not withdrawn from their programme of study within two weeks of starting; that is, they have undertaken sufficient activity to be required to be included in the ILR.

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

- a. **Employer co-funded:** This applies to years of programme of study 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 paragraph 9b of Annex K). This may include years of programme of study 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 34.
- 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 up to 2009-10. All LLNs are reverting 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 in 2010-11; but some students at LLNs may have counted towards 'model 2' allocations in the preceding two academic years.
- c. **Students who have not been full-time undergraduates in the two preceding academic years:** students who, during each academic year 2008-09 and 2009-10, have not undertaken full-time undergraduate study; or if they have, withdrew (on each occasion) within two weeks of starting the programme of study; 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 Data Service ILR. Where teaching has been franchised out, the associated (year of) programme of study is attributable to the franchiser, not the franchisee.

Example 8

30. A HEFCE-fundable student studied full-time for a foundation degree at an FEC in the academic years 2008-09 and 2009-10 and then topped up to a full-time bachelors degree at an HEI in 2010-11.

- 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 2008-09 to 2010-11: they should not be included in Table 6 in either the HEI's HESES10 return, or the FEC's HEIFES10 return.
- 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 2008-09 and 2009-10 and the HEI in 2010-11: because the study is not at the same institution, the top-up to the bachelors degree in 2010-11 should be included in Table 6 in the HEI's HESES10 return, but not the FEC's HEIFES10 return. To the extent that these top-ups occurred in 2008-09, the limits that we have set for 2010-11 include them and therefore allow them to continue.

Example 9

31. A student commenced a HEFCE-fundable full-time undergraduate course in September 2010, having never been

registered at the college 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 programme of study (where the student withdrew) **will count** 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 be included in Table 6 of HEIFES10.
- b. The second year of programme of study **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 HEIFES11.

Example 10

32. A student commenced a HEFCE-fundable, full-time, undergraduate bachelors degree course in September 2007 which concluded in June 2010. The student then commences a HEFCE-fundable, full-time, PGCE at the same institution in September 2010. The year of programme of study commencing in September 2010 **will count** towards the 2010-11 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 academic year 1 August 2010 to 31 July 2011, and should therefore be returned in Table 6 of HEIFES10.

counted on the other HEIFES tables. The two cases where treatment differs between Table 6 and the other tables are:

- for students on non-standard years of programme of study
- for some students who withdraw from their year of programme of study.

34. Years of programme of study that meet the definition in paragraph 28 of this annex will be counted towards the 2010-11 student number control limit. Where these are non-standard years of programme of study, they will not be counted on Tables 1 to 5 of HEIFES10 but will instead be counted on these tables in HEIFES11, provided the student does not withdraw from the year of programme of study on or before 1 November 2011. Equally, standard years of programme of study that meet the definition in paragraph 28 of this annex but where the student has withdrawn on or before 1 November 2010 will be included in Table 6 but not in Tables 1 to 5.

Years of programme of study counted on Table 6 can differ to other tables

33. Table 6 counts years of programme of study differently to Tables 1 to 5. This means that some years of programme of study counted in Table 6 in HEIFES10 may not be counted on the other tables until HEIFES11, and in some cases may never be

Example 11

35. A HEFCE-fundable, full-time, undergraduate student who starts their programme of study in 2010-11, is not previously registered full-time at the college and has not withdrawn within two weeks of starting, would be recorded in HEIFES10, and HEIFES11, in respect of their first year of programme of study, depending on their type of year of programme of study and their completion status as set out in the table below.

Type of year of programme of study	Completion status	Inclusion in HEIFES10		Inclusion in HEIFES11	
		Tables 1 to 5	Table 6	Tables 1 to 5	Table 6
Standard	Completion	✓	✓	✗	✗
	Withdraw on or before 1 November 2010	✗	✓	✗	✗
	Withdraw after 1 November 2010	✓	✓	✗	✗
Non-standard	Completion	✗	✓	✓	✗
	Withdraw on or before 1 November 2011	✗	✓	✗	✗
	Withdraw after 1 November 2011	✗	✓	✓	✗

Example 12

36. A student commences a HEFCE-fundable, full-time, undergraduate course in January 2011 and their years of programme of study are non-standard. The first year of programme of study (commencing in January 2011) becomes countable for HEIFES Tables 1, 4 and 5 on 1 August 2011, and would thus be included in the 2011 (rather than 2010) HEIFES survey Tables 1, 4 and 5. However, that first year of programme of study **will count** towards the 2010-11 student number control limit, provided the student has not been full-time, undergraduate, HEFCE fundable in the previous two academic years, because the student is active from January to July 2011 and therefore the year of programme of study should be included in Table 6 of the 2010 (rather than 2011) HEIFES survey.

Example 13

37. A student commenced a HEFCE-fundable full-time undergraduate course in February 2010 and their years of programme of study are non-standard. The first year of programme of study (commencing in February 2010) becomes

countable for HEIFES Tables 1, 4 and 5 on 1 August 2010 and would thus be included in the 2010 HEIFES survey. However, that first year of programme of study **will not count** towards the 2010-11 student number control limit, because the student was active as a full-time HEFCE-fundable undergraduate from February to July 2010 (that is, they were active in one of the two academic years preceding 2010-11) and they should therefore be excluded from Table 6 of HEIFES10.

Example 14

38. A student commences a full-time, one-year, PGCE course in January 2011 and their year of programme of study is non-standard. This becomes countable for HEIFES Tables 1, 4 and 5 on 1 August 2011 and would thus be included in the 2011 (rather than 2010) HEIFES survey. However, because the start of the programme of study falls within the 2010-11 academic year, the year of programme of study **will count** towards the 2010-11 student number control limit and therefore the year of programme of study should be included in Table 6 of HEIFES10.

39. If a student commences a year of programme of study that meets the criteria to be included in Table 6 of HEIFES10 (as set out in paragraph 28 of this annex) but switches to part-time study during this year of programme of study then, unless the mode switch occurred within two weeks of their year of programme of study's commencement, this year of programme of study **will count** towards the 2010-11 student number control limit and therefore it should be included in Table 6 of HEIFES10.

40. If instead a student commences a part-time year of programme of study that, if it were full-time, would meet the criteria to be included in Table 6 of HEIFES10 (as set out in paragraph 28 of this annex) and the student switches to full-time study during this year of programme of study, then:

- a. If the switch to full-time study has not occurred early enough in the year for the whole year of programme of study to meet the definition of full-time (as per the definition in Annex M), this year of programme of study **will not count** towards the 2010-11 student number control limit and therefore it should be excluded from Table 6 of HEIFES10. However, if the student continues their full-time study into 2011-12, they would then count towards the 2011-12 student number control limit and be included in Table 6 of HEIFES11 (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 programme of study for it to be instead classed as full-time for the entire year of programme of study (as per the definition in Annex M), this year of programme of study **will count** towards the 2010-11 student number control limit and therefore it should be included in Table 6 of HEIFES10.

41. Not all students included in the limit will be 'entrants' to the college (as defined in Annex D paragraph 32). This will include: students who have previously studied part-time; students on programmes of study that were not funded by HEFCE, such as those funded by the NHS or the TDA; students who have previously studied full-time but have taken two or more years out.

Example 15

42. A student commenced a HEFCE-fundable full-time undergraduate bachelors degree course in September 2009, having never been registered at the college before. For the first year of programme of study, 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 programme of study in September 2010 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 programme of study **will count** towards the 2010-11 student number control limit because the student was not classed as HEFCE-fundable in the 2009-10 academic year, and therefore it should be included in Table 6 of HEIFES10.

Example 16

43. A student commenced a HEFCE-fundable part-time undergraduate course in September 2009, having never been registered at the college before. However at the beginning of the second year of programme of study in September 2010 they switched to studying this course full-time. The second year of programme of study **will count** towards the 2010-11 student number control limit because the student was not studying full-time in the 2009-10 academic year and therefore it should be included in Table 6 of HEIFES10.

Summer schools

44. 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

45. These are intended for potential HE students to experience a short period of study in an HE

environment in the summer vacation. Such students are not included in the HEIFES population because the provision is not HE level.

Access provision

46. 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 HEIFES population. It will only be considered integral if successful completion of the access provision guarantees seamless continuation onto the HE-level course, and the student has enrolled for both the access provision and the HE-level qualification on entry to the access course. The short access course and the first year of the HE course will typically count as one year of programme of study. This may result in the year of programme of study being counted as long, as defined in Annex O.

47. From HEIFES11, for the access course to be integrated we will require that the student is registered at the same college for the access course and HE-level course.

48. If the access provision is not an integral part of the HE-level course, it is not HE level and the students are not part of the HEIFES population.

Within-course periods of study in vacation time

49. 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 programme of study but within a course. They are counted as part of the preceding year of programme of study and may result in that year of programme of study being counted as long, as defined in Annex O.

50. Where the short period of study occurs during the summer vacation, this may cause students who would normally be following standard years of programme of study 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 programme of study.

Example 17

51. A student studies full-time for a degree over three years, with activity for each year of programme of study 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 programme of study counts as a standard year of programme of study. The year of programme of study would only be counted as long if it fitted the criteria to be long, given in Annex O.

52. Such short periods of study should be returned on the ILR in the same way they are returned on HEIFES. That is, they should be included as part of the year of programme of study preceding the short period of study.

Foundation degree bridging courses

53. 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 HEIFES, such a course is counted as a separate year of programme of study 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.

54. Any foundation degree bridging courses should be returned as a separate record in the ILR 2010-11 return with:

- student load returned as 30 (H17 = 030.0), except where the course spans two academic years, when the load should be proportionally split between them
- mode returned as part-time (H14 = 03)

- a link to a learner aim on the Data Service's LAD with a learner aim type code of 9113, institutional undergraduate credit (it may be necessary to request a specific learner aim for the bridging course)
- a learner aim with appropriate Learndirect information on the Data Service's LAD
- a separate student instance (H09).

Annex I

Completion and non-completion

1. This annex explains how to determine the completion status of a year of programme of study. It includes a number of examples and issues found by our auditors.

2. Completion is defined in terms of modular programmes of study. It applies to all colleges, including those that may not consider their programmes to be modular. For HEIFES purposes a module is taken to mean a discrete component within a programme of study, sometimes referred to as a unit, course or option. Where a student is studying a number of modules that can all count towards the same qualification, this should be treated as a single programme of study.

3. Where a student has a clear intention of completing a specified activity within the year of programme of study, completion is measured against this intention. Therefore colleges should collect information on students' study intentions for the year so that completion status can be assessed appropriately. A student who fails to complete any module counted in the year of programme of study is to be returned as a non-completion for all activity in that year. Thus, if a student starts the year intending to follow a certain pattern of activity but does not complete all of it, then that student would be a non-completion. If the pattern of activity within the year is not specified, then, provided that the student completes all activity countable in the year, they would be considered as completing. An exception is allowed for full-time students where the module is in addition to the standard requirements for full-time study. In this case, a student who completes the number of modules normally required in the year for full-time study may be treated as a completion for the year of programme of study, even if they fail to complete other modules in the year that are in addition to the standard requirement. Within overall study intentions students may substitute modules without affecting their completion status. In order to be counted as substitute modules:

a. The total number of credit points in the substituted module(s) would need to be greater than or equal to that of the original module(s) and

b. Either the fees charged will need to remain the same (this will commonly be the case for full-time students), or the entire fee for the original module(s) would need to be refunded and a separate fee charged for the substitute module(s).

4. In order to be counted as a completion (and thus be included in Column 4 of Tables 1, 2 or 3), a student must complete all the modules they intended to complete in the year of programme of study within 13 calendar months of the start of the year of programme of study: that is to say within 13 calendar months of the anniversary of their commencement date that defines the start of the year of programme of study. In order to complete a module, the student must either:

a. Undergo the final assessment of the module (this refers to the activity of the student in sitting an exam or submitting coursework rather than the activity of an assessment board in assessing the achievement of the student)

or

b. Pass the module, where this can be achieved without undergoing the final assessment because they already have enough marks in that module to be awarded credit for it. In some cases institutional regulations allow credit to be given because of the level attained in other modules; this would not be treated as completion for funding purposes, even though the college may allow the student to progress.

Example 1

5. A standard year of programme of study commences on 28 September 2010. Final assessment (which may be either an examination or submission of a final piece of coursework) for a particular module counted within the year of programme of study takes place in June 2011, with an opportunity to resit/resubmit in September 2011. The student does not take the assessment in June 2011 (for whatever reason and without necessarily agreeing this in advance), but does so for the first time at the resit/resubmission

opportunity in September 2011. The module would be treated as completed, because the assessment was taken within 13 calendar months of the 28 September 2010 start of the year of programme of study.

Example 2

6. A standard year of programme of study commences on 28 September 2010. Final assessment for a particular module counted within the year of programme of study takes place only in June each year. The student does not take the assessment in June 2011 (for whatever reason) and has not otherwise passed the module, but does take the assessment at the next opportunity in June 2012. The module would be treated as not completed, because the assessment was not taken within 13 calendar months of 28 September 2010, the start of the year of programme of study. This would be the case whether or not the student had been given permission to defer their assessment for a year.

Example 3

7. A student studies for eight modules in a year of programme of study. They undergo the final assessments in seven modules, but do not undergo the final assessment in one, on the basis that they know that they have already passed the module, based on the marks already achieved in that module. In this case, the student would be treated as a completion, because they underwent the final assessments in seven modules and passed the remaining module, where it was possible to pass without undergoing the final assessment.

Example 4

8. A student studies for eight modules in a year of programme of study. They undergo the final assessments for all modules, but in one module their performance is insufficient to meet the academic standards required to pass that module. Nevertheless the college's academic regulations relating to progression allow credit to be awarded for the one failed module on the basis of the student's overall performance across

all modules studied in the year. In this case, the student would be treated as a completion, because they underwent the final assessments in all modules. The fact that credit was awarded for a module that was failed is not relevant in determining the student's completion status.

Example 5

9. A student studies for eight modules in a year of programme of study. They undergo the final assessments for seven modules, but do not undergo the final assessment in one, with the consequence that they do not have enough marks in that module to be awarded credit for it. Whether or not the college's academic regulations relating to progression allow credit to be awarded for the one incomplete module on the basis of the student's overall performance across all modules studied in the year, the student would be treated as a non-completion for funding purposes for all activity in the year, because they did not undergo the final assessment in a module. The fact that credit was awarded for the module under the college's academic regulations on the basis of the student's overall performance across the year of programme of study is not sufficient to meet the completion definition.

Example 6

10. A full-time student has a clear intention of studying for eight modules in a year of programme of study. Their intention initially was to include one particular module (A), but although they started the module they decide to switch to a different module (B) of equal value. The completion status for the year of programme of study then depends on completion of module B (rather than module A), together with the other seven modules taken by the student.

Example 7

11. A full-time student starts in September intending to study eight modules within a year of programme of study. At the end of the first semester they interrupt the course having completed four modules and return 12 months

later to complete the remaining four modules. The student would be a full-time non-completion for the first year of programme of study, because they did not complete four of the modules that they intended to take within the year of programme of study. They will be a completion for the second year of programme of study although this will normally be part-time because they will not normally meet the attendance requirements to be full-time.

12. For the purposes of determining completion, the final assessment is the one that has its first occurrence on the latest normal due date: that is, the timing of re-sits and coursework extensions should be disregarded. Whether an assessment is considered the final assessment does not depend on the weight associated with it. For example, if a module is assessed by an exam which accounts for 90 per cent of the marks and the remainder via coursework, with the coursework due after the exam (and not solely by virtue of an extension having been granted), completion should be determined by submission of the coursework rather than attendance at the exam. Where two assessments fall due on the same day and these are the last assessments for the module, undergoing either would constitute completion.

13. In some cases, a year of programme of study which counts towards a qualification taken over several years may not contain any formal assessment, for example where assessment will take place at the end of a later year. In this case, where there is no such assessment opportunity within 13 calendar months of the start of the year of programme of study, then continued attendance throughout the year of programme of study would constitute completion. Colleges should therefore ensure that adequate evidence of attendance exists, such as class registers.

14. In some cases a student may undertake a module more than once within a year of programme of study. In determining completion status, colleges must ensure that the module is counted only once. Where the module has been completed on one or

more occasions and has also been non-completed, the completion should be counted for determining completion and FTE, and the non-completion of the module ignored. Exceptionally a student may take a module in two years of programme of study and complete the module for the second year of programme of study within 13 months of the start of the first year of programme of study. In this case the college may count the module in either but not both of the years.

Example 8

15. A part-time student on a standard year of programme of study begins a module in October, but withdraws from it after undertaking some activity and before completing the final assessment. The following February (within the same year of programme of study) the student retakes the module and completes it. The first attempt at the module from October would not be reported at all in HEIFES and should be disregarded in determining the completion status for the year of programme of study.

Example 9

16. A full-time student on a standard year of programme of study has a clear intention of completing eight modules within the year. One particular module that they start in the first semester is not completed, but the student retakes the module again in the second semester in place of another one, and completes it. Overall, in the first semester, the student completed three modules and began a fourth, which was not completed, and would not be reported in HEIFES and which is disregarded for the purposes of determining completion status; in the second semester, the student completed four modules, one of which was a second attempt at the module that was not completed in the first semester. In this case, the year of programme of study would be a non-completion, because the student completed only seven modules, rather than their overall study intention of eight.

17. In completing the ILR, some students may still have opportunities after 31 July to submit to the final exam within the 13 months from the start of their year of programme of study. Wherever possible, colleges should seek to update their ILR to reflect the latest known completion status of the student. In doing so, colleges will need to have due regard to the Data Service's data collection timescales and the need to ensure high-quality returns. We may seek further information from colleges that have high numbers of students with undetermined completion status. Students should only be recorded with undetermined completion status where an opportunity still exists for the student to undergo the final assessment within 13 months. They should not be treated as undetermined completion status simply because the 13 months has not fully elapsed.

Partial completion weighting

18. Where students are reported as non-completions their activity may still count towards the partial completion weighting in our funding method if it amounts to at least one-sixth of an FTE.

Estimates of non-completions and historical data

19. Colleges should ensure that estimates of non-completion are supported by historical data. Any historical data used in this way should not be skewed by exceptional circumstances such as industrial action affecting exams. Where such exceptional circumstances occur, colleges should ensure that the completion status of students on the ILR accurately reflects their actual completion status.

Audit issues

Estimation of non-completions

20. The audits identified a common misconception that withdrawals notified from an academic department are the sole source of data for that department's non-completion estimate. Estimates of the number of non-completions should normally be based on the non-completion rate for the previous year for

the particular course, taking into account the change in definition for HEIFES10. Where this is not the case, there should be a clear rationale for any alternative methods used or adjustments made. Where the non-completion rate used in the return differs significantly from past data, there should be a clear rationale for the change. We found cases where colleges were using rates significantly lower than evidence from both their own data and audit, with no reasoning behind this.

21. In some colleges, the continued recording of a student as current on the student record system at an arbitrary date, for example, 1 May or 31 July, is being taken as a proxy for assessing the student completion status of the year. This is not a correct approach.

22. Another misconception is that the completion status of a student should be determined by the college's individual academic regulations and rules on student progression, and not in accordance with the funding rules for assessment of a student's completion status. Incorrect application of the ILR field H16 has produced incorrect data on which subsequent HEIFES return forecasts have been based.

23. In using the previous year's non-completion rate for a course as the basis of the current year estimate, it is important to make sure that the non-completion rate for the previous year is accurately known but reflecting the definition used in HEIFES10. We found examples where this has not been the case. Non-completion status should be recorded in the year of programme of study. Continuation of study to the following year should not be taken as evidence of, or a proxy for, completion in the previous year. In addition, simply because a student has not formally withdrawn from the college by the year-end does not make the student a completion. Completion must be assessed by reference to submission of the final assessment in, or otherwise passing, all

modules the student intended to complete at the outset of their year of study.

24. Colleges may also find it useful to demonstrate the validity of their non-completion estimates by analysing the non-completion rates for different courses over, say, three to five years. This would help to identify trends, and years where the result is atypical compared with the trend.

25. A review of the outturn compared with the estimate should be made at the year-end, and reasons sought for any discrepancies. This knowledge can then be used to inform the estimate for the following year.

26. Non-completions should be reported in a timely fashion, and the student record system updated to reflect the student's change in status. Systems should be in place throughout the year to enable identification of students who are missing from or struggling with the course, and steps taken to try to retain them at the college. It is common for registers to be maintained to assist with this. The information obtained from

these registers should be used to follow up missing students. Reconciliations should be made with the student record system to ensure that it is up to date and accurately reflects what is being reported in the registers. We found examples where additional students were on registers but not on the student record system. There were also cases where students had clearly withdrawn, but their records had not been amended on the student record system.

27. Sufficient data should be recorded at the module level on the main student record system to allow accurate assessment of a student's completion status. This should include, but not necessarily be limited to, identification of the final assessment and the student's submission to it, and the overall outcome for the module. Coding should distinguish between non-submission to an assessment and a very low mark for poor academic performance or misconduct. This level of detail should be readily available to ensure accurate reporting of a student's completion status.

Annex J

Full-time equivalence for part-time students

1. This annex explains how full-time equivalence for part-time students should be calculated. This includes guidance on how to treat students who are exempt from part of a course and full-time students who change mode within the year of programme of study to become part-time students.

2. FTE for part-time students is defined with reference to an equivalent full-time course. For the purposes of determining FTE, the number of guided learning hours the student undertakes is irrelevant. In general the comparison with an equivalent full-time course should be based on the number of years or terms taken to achieve the qualification compared with a student studying full-time. Where such a full-time course does not exist, a reasonable academic judgement of FTE should be made through comparison with other qualifications in a similar subject and at the same level. In this case, evidence of the courses used and the reasoning behind the judgement should be kept by the college for audit purposes.

3. The table below shows the FTE per year for most recognised HE courses, depending on the number of years over which the course is taken. It also shows the total FTE for the course. For a part-time course, the FTE summed over the whole course should be equal to that shown in the table below.

4. The FTE for a foundation degree bridging course, as defined in Annex H paragraphs 53 to 54, is 0.3.

5. The table below may not be appropriate where the qualification offered differs significantly from

the norm for qualifications with that title. This is particularly true for DipHE and CertEd, where the practice varies across colleges. Where colleges believe that the FTE should be different to that listed above, they may return a different FTE, but must keep a record of how it has been derived. In cases of difficulty, colleges are advised to contact us for guidance. If colleges wish to use an FTE different to those listed in the table below, with the exception of CertEd and DipHE, they must contact us before doing so. In particular, we would not expect the FTE for a part-time degree to be calculated with reference to a four-year programme.

6. Where a student repeats a year or enters the second, or later, year of the course directly, the total FTE returned for that student should be increased or decreased to reflect this (see examples 2 and 3 (paragraphs 10 and 11) in this annex).

7. Where a student does not complete a year of programme of study, the FTE should not be recorded on HEIFES. This is not consistent with the FTE returned on the ILR student record. When comparing the ILR student record with HEIFES, we will make adjustments to the FTE returned on the ILR to reflect years not completed.

8. Where students change mode within the year of programme of study to become part-time students (see Annex M, paragraph 10), their FTE should be calculated in the usual way, by comparison with the equivalent full-time course.

Qualification aim	Total FTE	Duration in years									
		1	2	3	4	5	6	7	8	9	10
Degree	3			1.00	0.75	0.60	0.50	0.43	0.38	0.33	0.30
Foundation degree	2		1.00	0.67	0.50	0.40	0.33	0.29	0.25	0.22	0.20
HND	2		1.00	0.67	0.50	0.40	0.33	0.29	0.25	0.22	0.20
DipHE	2		1.00	0.67	0.50	0.40	0.33	0.29	0.25	0.22	0.20
HNC	1	1.00	0.50	0.33	0.25	0.20	0.17	0.14	0.13	0.11	0.10
CertEd/DTLLS	1	1.00	0.50	0.33	0.25	0.20	0.17	0.14	0.13	0.11	0.10
Taught masters	1	1.00	0.50	0.33	0.25	0.20	0.17	0.14	0.13	0.11	0.10
HNC to HND top-up	1	1.00	0.50	0.33	0.25	0.20	0.17	0.14	0.13	0.11	0.10

Example 1

9. A student studies for a degree over five years. The FTE returned each time the student becomes countable is 0.60; the student becomes countable five times, so the total FTE returned over all years is $5 \times 0.60 = 3$.

Example 2

10. As in example 1, but the student resits year two. The FTE returned each time the student becomes countable is still 0.60; the student becomes countable six times, so the total FTE returned over all years is $6 \times 0.60 = 3.6$.

Example 3

11. As in example 1, but the student has accredited prior learning and enters directly onto year two. The FTE returned each time the student becomes countable is still 0.60; the student becomes countable four times, so the total FTE returned over all years is $4 \times 0.60 = 2.4$.

Example 4

12. A student who starts off as full-time but changes to part-time in the second term of the year of programme of study, studying at the same rate as a part-time student with an FTE of 0.5 per year of programme of study, should be returned in the part time table with an FTE of 0.67. This is made up of 0.33 for the first term and $0.5 \div 3 = 0.17$ for each of the second and third terms, totalling 0.67 for the year of programme of study.

Audit issue

Incorrect returning of student FTE

13. The table above containing FTE per year should be used to determine the FTE of a part-time course. The sum of the total FTE allocated to a part-time student should be equivalent, over the duration of the course, to that allocated to a full-time student. We found examples where this was not the case, as a result of many factors, including a lack of understanding of what FTE is meant to represent and incorrect calculations of part-time FTE.

Annex K

Residential and funding status

1. This annex provides guidance on identifying the residential and fundability status of a student. It includes guidance on which students should be classified as home and EU and which are island and overseas. There is guidance on how to determine the fundability status of students aiming for an ELQ and of those students supported from other EU public sources or non-public sources. It also provides guidance on the attribution of home and EU students between the fundability categories of HEFCE-funded, independently funded and non-fundable.

Home and EU students

2. Students are classified as home and EU if they can be regarded as eligible students as defined in Schedule 1 of the Education (Fees and Awards) (England) Regulations 2007 (SI 2007 No. 779), as amended. The Education (Fees and Awards) Regulations can be found on the Office of Public Sector Information (OPSI) web-site at www.opsi.gov.uk under Legislation/Original/UK/Statutory Instruments. Students from specified overseas territories may be classified as home and EU if they meet the criteria set out in those regulations. A list of these overseas territories and countries belonging to the EU is on the HEFCE web-site, www.hefce.ac.uk, under Questions/HEIFES FAQs. Students from Gibraltar should be treated as if they were from a country in the EU. Turkish Cypriots who are recognised by the Government of the Republic of Cyprus as being Cypriot nationals will be eligible to be treated as EU nationals irrespective of where they live in Cyprus. Therefore, providing they hold a Republic of Cyprus passport and meet the residency requirements, they will be considered as home and EU students.

3. Students from countries that are in the European Economic Area (EEA) but not the EU (Iceland, Liechtenstein and Norway) will only be considered in the same way as home and EU students if they meet the criteria laid down in the above regulations. Students from Switzerland should be treated as if they were from a country that is in the EEA but not the EU.

4. Student Finance England provides a student support helpline to provide advice and guidance on the fees and awards regulations (including eligibility). Where colleges are unsure whether an

individual student meets the eligibility requirements as set out in paragraphs 2 and 3 of this annex, they should contact the student support helpline on 0845 602 0583. If Student Finance England says that the student is eligible, this means that the student is also regarded as 'home and EU' for HEIFES purposes.

Island and overseas students

5. All students who fall outside the definition of home and EU in paragraphs 2 and 3 of this annex should be recorded as 'island and overseas'. This will include students usually resident in the Channel Islands and the Isle of Man.

Audit issue

Incorrect recording of overseas students

6. Overseas students should be clearly identified on the student record system by the census date, and returned in the 'island and overseas' columns. We found a number of examples where overseas students were returned in the HEFCE-funded columns of the return.

HEFCE-fundable students

7. Home and EU students are eligible for HEFCE recurrent funds for teaching (HEFCE fundable) if they are in the HEIFES population, as defined in Annex F, and they are not excluded by virtue of paragraphs 9 to 30 of this annex.

8. Where a source other than an EU public source is paying the fee, the level of the fee paid does not affect the eligibility of the student to count as HEFCE fundable.

9. Home and EU students meeting any of the following criteria should be recorded as HEFCE non-fundable:

- a. Students on courses which would otherwise be HEFCE-fundable, but whose places are funded at the standard HEFCE rate, or higher, from another EU public source, such as the European Social Fund, Department of Health, NHS,

Apprenticeship scheme or the Home Office. In some cases an EU public source may provide funding that is in addition to the mandatory or recommended fees, pro rata for part-time students, but the funding falls significantly short of the HEFCE standard rate per student. In this situation, the total funds received in addition to the fees should be used to calculate the number of students who (for funding purposes) are assumed to be fully supported from other EU public sources. The remaining students are then eligible for HEFCE recurrent funding (see paragraph 35 of this annex for more details).

- b. Students whose activity is not funded through mainstream HEFCE recurrent funds for teaching, but whose funding has been separately agreed and notified by us. This includes those who are to count towards the delivery of funding or student number targets relating to student numbers co-funded with employers. It also includes courses where we distribute funds on behalf of other government departments.
- c. Postgraduate research students. These are students whose qualification aim is a research-based higher degree, such as a PhD or MPhil. A research degree is a postgraduate programme comprising a research component (including a requirement to produce original work) which is larger than any accompanying taught component when measured by student effort.
- d. Students on ITT courses leading to QTS, and all students holding QTS who are on an INSET course. This will include students transferring from courses where funding has been provided by the TDA for the whole year.
- e. Students on pre-registration nursing or midwifery courses, and courses (including postgraduate courses) leading to a recognised professional qualification in dietetics, speech and language therapy, chiropody/podiatry or prosthetics and orthotics.
- f. Students on programmes franchised to an institution that is neither:
 - an HEI supported from public funds, nor
 - an FEC supported from public funds

except where specific approval has been given. Colleges must ensure that all franchises to any other organisation have been specifically approved by HEFCE before students are returned as HEFCE-fundable on HEIFES. A form for completion by those seeking such approval can be found on the HEFCE web-site, www.hefce.ac.uk, under Questions/HEIFES FAQs. Colleges should reapply if there is a material change in the arrangement.

- g. Students on closed courses. These are courses that are restricted to certain groups of people and are not generally available to any suitably qualified candidate. For example, where a course is only available to employees of particular companies, that course is closed. A list of factors which we use in determining whether a course is open or closed can be found on the HEFCE web-site under Questions/HEIFES FAQs.
- h. Students who are aiming for an ELQ, unless they are exempt from the ELQ policy, as defined in paragraphs 11 to 30 of this annex.

HEFCE non-fundable students

10. These are students who are home and EU, as defined in paragraphs 2 and 3 of this annex, but whose place is not considered eligible for recurrent funding for teaching as defined in paragraphs 7 to 9 of this annex.

Students aiming for ELQs

11. Students are considered to be aiming for an ELQ where they are aiming for a qualification that is no higher than one they have already achieved. Therefore, the two key considerations in determining whether a student is aiming for an ELQ are: the academic levels of the qualifications already awarded to the student; and the academic level(s) of the qualification(s) that the student has stated they are aiming for. If the qualifications already achieved are not known the student should be treated as if aiming for an ELQ. As explained in Annex N, where students have currently stated multiple higher education qualification aims as part of the same programme of study, they should be recorded against the lower aim. Where the student's currently

stated qualification aim for that programme of study is at a higher level than their highest existing HE qualification, then none of the study for the year of programme of study should be treated as study towards an ELQ. Study for a given year of programme of study which is at the same or lower level than a qualification already achieved, but which is being pursued solely as an integral part of a qualification aim that is higher than the one already achieved, should not be treated as study towards an ELQ.

12. The ELQ policy applies to qualifications irrespective of how and when they were attained.

Example 1

13. A student with a stated aim of both an HND and a degree as part of the same programme of study should be treated as aiming for an HND for ELQ purposes.

Example 2

14. A student aiming for a first degree has an HNC as their highest HE qualification already achieved. The student will be awarded an undergraduate certificate if they successfully complete their first year, but this is not a stated aim of the student. The student should not be treated as aiming for an ELQ for any of their years of programme of study (including the first), because the undergraduate certificate that they will acquire is not a stated qualification aim of the student.

Example 3

15. A student enters with a foundation degree as their highest qualification already achieved and has a stated qualification aim of an honours degree. The student should not be treated as aiming for an ELQ. This would apply both where the student is aiming for the honours degree through, for example, a one-year top-up from the foundation degree, or where the honours degree involves three years of full-time study.

16. In some instances, a student may not be formally awarded a qualification which they have stated as their aim and to which they are entitled, having completed all of the necessary work for that qualification. This may occur, for example, because, while the student has been assessed as eligible for the award, they have not completed the formal process of receiving it. In such cases, the student should be treated for ELQ purposes as if they had been awarded the qualification. The achievement and award of credit should not be treated as a qualification for these purposes.

Students exempt from ELQ policy for HEFCE funding purposes

17. Students falling into one of the following categories are exempt from the ELQ policy:

- a. They are in receipt of the Disabled Students' Allowance (DSA) for at least some of their year of programme of study reported in the HEIFES return. Colleges should make estimates for HEIFES purposes of the numbers of students whose receipt of the DSA for the year of programme of study will be confirmed after 1 November 2010.
- b. They have stated that their qualification aim is a foundation degree.
- c. They are on a course of initial or in-service teacher training (in any mode or level of study). In-service teacher training courses are defined as courses for which the primary (but not necessarily the only) purpose is to improve the effectiveness of teachers, lecturers or trainers.
- d. They are on a year of course (in any mode or level of study) for which an NHS bursary is payable. More information on NHS bursaries can be found at www.hefce.ac.uk under Questions/HEIFES FAQs.
- e. They are on an undergraduate course (in any mode of study) which leads to a first registerable qualification with:
 - i. General Medical Council
 - ii. General Dental Council
 - iii. Nursing and Midwifery Council

- iv. Health Professions Council (HPC) for the professions of:
 - chiropodist/podiatrist
 - dietician
 - occupational therapist
 - orthoptist
 - paramedic
 - physiotherapist
 - prosthetist or orthotist
 - radiographer
 - speech and language therapist
 - v. General Social Care Council
 - vi. Scottish Social Services Council
 - vii. Care Council for Wales
 - viii. Northern Ireland Social Care Council
 - ix. Royal College of Veterinary Surgeons.
- f. They are on an undergraduate course (in any mode of study) which is a course for which the primary (but not necessarily the only) purpose is to improve the effectiveness of practitioners registered with one of the professional bodies listed in paragraph 17e. In the case of the HPC, this must additionally relate to practitioners in the professions listed in paragraph 17e.iv.
- g. They are on an undergraduate course (in any mode of study) which leads to a professional qualification that has been professionally validated by the National Youth Agency or the Youth Council for Northern Ireland. These are courses leading to qualification to practise as a youth and community worker.
- h. They are on an undergraduate course (in any mode of study) which is a course for which the primary (but not necessarily the only) purpose is to improve the effectiveness of professionally qualified youth and community workers.
- i. They are on a full-time undergraduate course which leads on successful completion towards registration with the Architects Registration Board.

18. Home and EU students who are aiming for an ELQ in a strategically important and vulnerable subject (SIVS) should be reported as HEFCE non-fundable unless they are exempt from the ELQ policy by virtue of paragraphs 17a to 17i of this annex. The targeted allocation that we are providing for SIVS, following the introduction of the ELQ policy, is outside the mainstream teaching grant and does not in itself give exemption to students aiming for an ELQ in a SIVS.

Example 4

19. A student enters with an honours degree and intends to study for a foundation degree over two years and then top up to an honours degree in one year. If they have a stated qualification aim of both a foundation degree and an honours degree as part of the same programme of study then the student would be exempt from the ELQ policy in the first two years when studying for the foundation degree. However for the final year when topping up to an honours degree the student would be treated as aiming for an ELQ.

Determining level of qualification

20. It is not possible for HEFCE to provide a full hierarchical list of the qualifications that are awarded in the UK or, indeed, elsewhere. In most cases, whether or not a student will be aiming for an ELQ will be clear. However, in a minority of cases, institutions will need to make a reasonable academic judgement about whether or not a student's qualification aim is at a higher level than their existing highest qualification achieved. Institutions should bear in mind the guidance in paragraphs 21 to 34 of this annex.

Frameworks for HE qualifications

21. The Framework for Higher Education Qualifications in England, Wales and Northern Ireland (second edition published in August 2008) and the Framework for Higher Education Qualifications in Scotland (both available at www.qaa.ac.uk under Academic

Infrastructure/Framework for higher education qualifications) should generally be used to determine a basic hierarchy of qualifications. Any revisions to those frameworks should be reflected as they are introduced. Further guidance on use of those frameworks is provided below.

22. In general, institutions should treat qualifications that fall within the same level within these frameworks as being equivalent. However, it may be appropriate in particular circumstances to consider a hierarchy of qualifications within a single level, particularly where students are progressing through a succession of qualifications. In particular:

- a. Within Level 7 of the Framework for Higher Education Qualifications in England, Wales and Northern Ireland, it may be appropriate to consider a masters qualification to be at a higher level than a postgraduate diploma, which in turn may be at a higher level than a postgraduate certificate. However, this may not apply in all cases and will depend on the nomenclature adopted by different awarding bodies.
- b. Within Level 6 of the Framework for Higher Education Qualifications in England, Wales and Northern Ireland, it will normally be appropriate to consider a bachelors degree with honours to be at a higher level than a bachelors degree without honours.
- c. Within Level 5 of the Framework for Higher Education Qualifications in England, Wales and Northern Ireland, it will normally be appropriate to consider a foundation degree bridging course (which gives access to the final year of an honours degree) to be at a higher level than a foundation degree.

23. For a student who already holds an honours degree, their classification in HEIFES as either undergraduate or postgraduate should not, alone, determine whether or not they are aiming for an ELQ. The ELQ policy is about the academic level of qualifications, so it is the level of the final qualification for which the student is aiming that will determine their ELQ status. By contrast, whether or not a student is recorded as postgraduate in HEIFES is determined by whether or not a degree is a normal entry requirement and is

not necessarily an indication of the academic level of their study or final qualification aim. In particular, this means that, for a student whose highest qualification already achieved is an honours degree:

- a. Where they are undertaking a graduate conversion course, they should be recorded as postgraduate taught, but they should also be considered as aiming for an ELQ. In this context, a graduate conversion course is a course for which a normal condition on entry is an honours degree, but whose academic level is no higher than Level 6 of the Framework for Higher Education Qualifications in England, Wales and Northern Ireland. Some such courses may be designed to give access to postgraduate courses for those whose first degree was in a different subject area.
- b. Where they are undertaking an integrated masters programme (such as a four-year MEng, MPhys or MChem), they should be recorded as at undergraduate level in HEIFES, because a degree is not a normal entry requirement for such study. However, with the exception of the MPharm (see paragraph 25), they should not be treated as aiming for an ELQ, because the academic level of the final qualification of the integrated masters programme is at Level 7 of the Framework for Higher Education Qualifications in England, Wales and Northern Ireland. This also means (again with the exception of students who hold an MPharm) that a student who holds an integrated masters qualification and who wishes to enrol on a one- or two-year taught postgraduate masters qualification (such as an MA or MBA) should be treated as aiming for an ELQ.

24. As is stated in the Framework for Higher Education Qualifications in England, Wales and Northern Ireland, MAs granted by the universities of Oxford and Cambridge are not academic qualifications. Students holding such awards should be treated as holding a Level 6 qualification, reflecting also whether they are with honours for the purpose of the guidance at paragraph 22b of this annex. A number of universities in Scotland also have a tradition of awarding 'MAs' as opposed

to ‘BAs’ at undergraduate degree level. These should also be treated in the same way as bachelors degrees, reflecting also whether they are with honours.

Exemptions to the framework for HE qualifications

25. The MPharm should be treated as a Level 6 qualification for ELQ purposes. This means that:

- a. A student whose highest qualification already achieved is a bachelors degree with honours and who is studying for an MPharm should be treated as aiming for an ELQ.
- b. A student who holds an MPharm as their highest qualification already achieved and who is now studying for a one- or two-year taught postgraduate masters qualification at Level 7 (such as an MA or MBA), should not be treated as aiming for an ELQ.

26. All PGCEs (whether Postgraduate Certificates in Education or Professional Graduate Certificates in Education) should be treated, for the purpose of the ELQ policy only, as being equivalent to Level 6. This means that a student whose highest qualification already achieved is a PGCE, and who has no other postgraduate qualification, would not be treated as aiming for an ELQ if they enrolled on a postgraduate masters qualification. (Students aiming for a PGCE of either type are exempt from the ELQ policy, as explained in paragraph 17c of this annex).

27. Institutions may wish to take advice from UK NARIC (www.naric.org.uk) about the relative level of professional qualifications and those awarded abroad. UK NARIC is the national agency responsible for providing information, advice and expert opinion on vocational, academic and professional skills and qualifications from over 180 countries worldwide. There may be cases where UK NARIC advises, for example, that the academic level of a degree awarded by another country is below that of a degree in the UK. Where this is the case, it is acceptable to treat a student whose highest HE qualification is a degree from that other country, and who is studying for a degree in the UK, as not aiming for an ELQ. Other sources of

information that may help in determining the academic level of qualifications can be found at www.hefce.ac.uk/learning/datacoll/heifes.

Reviewing ELQ status

28. In general, whether or not a student is aiming for an ELQ should be reviewed annually, at the start of each year of programme of study. This is necessary in order to take account of changing student circumstances, such as where a student:

- a. Following two separate programmes of study receives a qualification for one before the other is complete.
- b. Changes their qualification aim.
- c. Begins to receive the DSA.

In general, we would not expect institutions to change the ELQ status of their students within a year of programme of study.

Example 5

29. A student with no previous HE qualifications is concurrently aiming for a first degree and a part-time two-year HNC. The student completes the degree when they are mid-way through the first year of the HNC. In this example, the student should not be treated as aiming for an ELQ for the first year of the HNC: although they will be awarded a degree partway through the year, they did not have this qualification when they commenced the first year of programme of study for the HNC. However, the student should be treated as aiming for an ELQ for their second year of programme of study for the HNC, because their ELQ status should be reviewed annually to take account of any newly achieved HE qualifications.

Relationship to fee regulations

30. The Student Fees (Qualifying Courses and Persons) (England) Regulations (statutory instrument 2007 No. 778, as amended in particular by statutory instrument 2008 No. 1640) define which categories

of students and courses are covered by the regulated undergraduate fee regime – that is, those for whom institutions cannot charge a fee that exceeds prescribed limits, including those stated in their access agreement with the Office for Fair Access. The Education (Student Support) Regulations 2009 (statutory instrument 2009 No. 1555) define entitlements to student support for 2010-11. This statutory instrument contains definitions of ELQs. It should be noted, however, that there may be some differences in the treatment of students between whether they may be recorded as HEFCE-fundable following the guidance in HEIFES; and whether or not they are liable to regulated tuition fees or are eligible for student support. In particular, there may be cases where a student can be treated as exempt from the ELQ policy for HEFCE funding purposes, but where they are not covered by the Student Fees (Qualifying Courses and Persons) Regulations – that is, they can, if the institution chooses, be charged a non-regulated tuition fee. We do not, however, expect there to be cases where a student is non-fundable by HEFCE because of their ELQ status, but where the institution is still restricted to charging a regulated tuition fee. Any questions about these statutory instruments should be raised with the Student Finance England helpline on 0845 602 0583.

Audit issues

Collecting qualification data from students

31. Colleges should ask students to confirm annually that they have not achieved any new qualifications since they last enrolled.

32. Colleges should ensure that their data protection notices allow them, the Government or their respective agents to check the accuracy of personal information provided by students against external data sources. For example, they should permit the college to test whether the student has been reported on earlier HESA or ILR returns of other institutions and to

contact those other institutions for confirmation of any qualifications obtained.

Keeping records of how students aiming for ELQs have been identified

33. In all cases, colleges should keep records for audit purposes of how they are identifying students as aiming for an ELQ. This should set out the broad approach adopted by the college. Where, for individual students, there may be uncertainty as to whether they are aiming for an ELQ, colleges should also keep a record of how they have determined these students' ELQ status.

34. Colleges should take reasonable steps to test the accuracy of the qualifications achieved reported by their students, reflecting the availability of other sources of information, such as data from HESA, ILR, UCAS or the Student Loans Company (SLC). This does not require a college to test the qualifications achieved of all its students. However, we recommend that colleges use a random sample to test the overall accuracy of their data on qualifications achieved plus selective samples, as necessary, where doubts may exist about the entry qualifications reported by individual students.

Determining the number of students supported from other EU public funds

35. The public funding should first be used to offset any shortfall between the fees charged and the assumed fees. Once this offset has taken place, any remaining public funding should be divided by the standard funding per student and rounded up to the nearest whole number to find how many students are non-fundable; the remainder are then fundable. The standard funding per student is calculated as the standard resource minus the assumed fee, then reduced by 1.09 per cent¹ to take

¹ The figure of 1.09 per cent, wherever it occurs in this document in reference to a pro rata saving applied for 2010-11, has been rounded, but in adjusting figures in the actual calculations we used an unrounded figure of 1.08868 per cent.

account of the £52 million pro rata saving applied for 2010-11. 'Standard resource' is explained in paragraphs 45 to 51 of this annex. In the following examples, the assumed fee per FTE for part-time undergraduates is £1,310.

36. There is an Excel template at www.hefce.ac.uk/learning/datacoll/heifes which will calculate the number of students who are non-fundable in individual cases.

Example 6

37. There are 10 full-time undergraduate students supported by £13,100 from a public source. The students are not charged a fee and there is no other income. The assumed fees are £1,310 per student, so the public money only covers the fees and all students are fundable.

Example 7

38. There are 10 full-time undergraduates, all in price group C. The fees for each year are £1,310 paid by the SLC, the student, or a mixture of the two. In addition, a public source puts in £1,000 per student. The assumed fees are fully met by the fees charged, so there is no offset.

Standard resource per student		
$1.0 \times 1.3 \times \text{£}3,951$	=	£5,136
Assumed fee per student		
$1.0 \times \text{£}1,310$	=	£1,310
Standard funding per student (adjusted for efficiency saving)		
$= 0.9864 \times (\text{£}5,136 - \text{£}1,310)$	=	£3,784
Remaining public money		
$= 10 \times \text{£}1,000$	=	£10,000
Non-fundable students		
$= \text{£}10,000 \div \text{£}3,784$	=	2.6

Therefore three students are non-fundable, and the remaining seven are fundable.

Example 8

39. There are 50 part-time undergraduate students in price group C, each with an FTE of 0.5, who pay £100 a year tuition fee, and there is £30,000 from a public source.

Standard resource per student		
$0.5 \times 1.3 \times \text{£}3,951$	=	£2,568
Assumed fee per student		
$0.5 \times \text{£}1,310$	=	£655
Standard funding per student (adjusted for efficiency saving)		
$= 0.9891 \times (\text{£}2,568 - \text{£}655)$	=	£1,892
Shortfall between fees charged and assumed fees		
$\text{£}655 - \text{£}100$	=	£555
Remaining public money		
$= \text{£}30,000 - (50 \times \text{£}555)$	=	£2,250
Non-fundable students		
$= \text{£}2,250 \div \text{£}1,892$	=	1.2

Therefore two students are non-fundable, and 48 are fundable.

Example 9

40. As in example 3, but the fees are £655 a year, all paid by the student. Each student pays a tuition fee which is equal to the assumed fee, so there are no tuition fees to make up using the public money. There is £30,000 public money and the standard funding per student (adjusted for the efficiency saving) is £1,892. Therefore 16 students ($\text{£}30,000 \div \text{£}1,892 = 15.9$) are non-fundable, and 34 are fundable.

Example 10

41. There are 10 full-time postgraduate students entirely in price group C. The fees for the year are £4,000; a public body pays half of the fee and the student pays the other half. The assumed fees are £3,951, which leaves £49 (£4,000 - £3,951) of public money per student.

Standard resource per student
 $1.0 \times 1.3 \times \text{£}3,951 = \text{£}5,136$

Assumed fee per student
 $1.0 \times \text{£}3,951 = \text{£}3,951$

Standard funding per student
(adjusted for efficiency saving)
 $= 0.9891 \times (\text{£}5,136 - \text{£}3,951) = \text{£}1,172$

Remaining public money
 $10 \times (\text{£}4,000 - \text{£}3,951) = \text{£}490$

Non-fundable students
 $= \text{£}490 \div \text{£}1,172 = 0.4$

Therefore one student is non-fundable, and the remaining nine are fundable.

HEFCE-funded and independently funded students

42. All fundable students should be recorded as HEFCE-funded, unless the college receives enough resources from other sources (other than EU public sources) for the year of programme of study to cover the HEFCE standard resource for its provision. Colleges should assume a 1.09 per cent reduction in standard resource to account for the £52 million pro rata saving applied for 2010-11. In such cases the college may choose to record the students as independently funded. Independently funded students are not included in our resource calculations, but do count towards the 2010-11 student number control and funding conditional upon delivery of growth targets relating to additional student numbers (ASNs). In general, the declaration of eligible students as independently funded will only benefit colleges that are currently under-resourced from public funds (below the ± 5 per cent tolerance band around standard resource), as an aid to migration to within the band.

We expect very few students at FECs to meet the eligibility criteria for inclusion as independently funded. Colleges which record such students may be asked to provide evidence that they meet the criteria. Independently funded students are not counted in the volume measure for targeted allocations in the following year, including for widening participation and teaching enhancement and student success.

Example 11

43. There are 20 HEFCE-fundable full-time postgraduate students, in price group C. Each student pays £5,500 tuition fees. The standard resource (adjusted for the efficiency saving) is $(0.9891 \times 1.3 \times \text{£}3,951) = \text{£}5,080$. Therefore the standard resource is fully covered by the fee paid by the student. In this case, the institution can choose to record the students either as HEFCE-funded or as independently funded.

Example 12

44. There are 20 HEFCE-fundable part-time postgraduate students, 0.6 FTE, in price group B. Each student pays £3,000 tuition fees. The assumed fee for each student is $0.6 \times \text{£}3,951 = \text{£}2,371$, which leaves £629 per student.

Standard resource per student
 $0.6 \times 1.7 \times \text{£}3,951 = \text{£}4,030$

Assumed fee per student
 $0.6 \times \text{£}3,951 = \text{£}2,371$

Standard funding per student
(adjusted for efficiency saving)
 $= 0.9891 \times (\text{£}4,030 - \text{£}2,371) = \text{£}1,641$

Remaining money from fees
paid by the students
 $= 20 \times (\text{£}3,000 - \text{£}2,371) = \text{£}12,600$

Independently funded students
 $= \text{£}12,600 \div \text{£}1,641 = 7.7$

Therefore, the institution can choose to return up to seven students as independently funded, with the remaining students returned as HEFCE-funded.

Calculation of standard resource

45. The 2010-11 standard resource for a student is calculated by multiplying the total weighted FTE by £3,951 – the base level of resource for price group D. The weighted FTE is the sum of price group-weighted FTE, London-weighted FTE and partial completion measure FTE.

46. The price group weights are shown below.

Price group	Weight
B (Laboratory-based science, engineering and technology)	1.7
C (Other high-cost subjects with a studio, laboratory or fieldwork element)	1.3
D (All other subjects)	1.0
Media studies*	1.0, 1.3, 1.7

* Proportions in each price group weight are notified in Table G of the funding agreement for each institution.

47. Standard resource should be increased to reflect both the London weighting (where applicable) and the partial completion weighting.

48. London weighting varies depending on the college's location. Generally, colleges in inner London receive a weighting of 8 per cent, those in outer London 5 per cent. Each college also receives a partial completion weighting. We notified colleges of their weightings in Table G of their funding agreement. These weightings are applied to student FTEs weighted by price group. Examples of the calculations are given in paragraphs 49 to 51 of this annex.

Example 13

49. The standard resource for a part-time student (0.4 FTE) in price group C is £2,052:

$$\begin{aligned} \text{Price group weighted FTE} \\ 0.4 \times 1.3 &= 0.52 \\ \\ \text{Standard resource} \\ = 0.52 \times \text{£3,951} &= \text{£2,055} \end{aligned}$$

Example 14

50. The standard resource per FTE in price group B for a student at an institution receiving the inner London premium and a partial completion weighting of 0.4 per cent is £7,281:

$$\begin{aligned} \text{Price group weighted FTE} \\ 1.0 \times 1.7 &= 1.700 \\ \\ \text{London weighted FTE} \\ 1.0 \times 1.7 \times 0.08 &= 0.136 \\ \\ \text{Partial completion weighted} \\ \text{FTE} \\ 1.0 \times 1.7 \times 0.004 &= 0.0068 \\ \\ \text{Total weighted FTE} \\ 1.7 + 0.136 + 0.0068 &= 1.8428 \\ \\ \text{Standard resource} \\ = 1.8428 \times \text{£3,951} &= \text{£7,281} \end{aligned}$$

Example 15

51. The standard resource for a full-time student who undertakes 60 per cent of their work in price group B and 40 per cent in price group D at an institution who receives a partial completion weighting of 0.8 per cent is £5,655 as shown in the table below:

	(a)	(b)	(c)	(d)	
Price group	FTE	Price group weighting	Price group weighted FTE = (a) x (b)	Partial completion weighted FTE = (c) x 0.008	Total weighted FTE = (c) + (d)
B	0.6	1.7	1.02	0.00816	1.02816
D	0.4	1.0	0.40	0.0032	0.4032
					1.43136

Therefore standard resource = $1.43136 \times \pounds 3,951 = \pounds 5,655$.

Annex L

Price groups

1. This annex explains how years of programmes of study should be mapped to price groups, including guidance on special cases such as education, and sports science and leisure studies.

2. We fund similar activity at similar rates. For HEIs, the department(s) in which a student undertakes activity defines the cost of the activity. This means, for example, that a student on a science degree who is taught by both the science and

business studies departments would be funded at a composite rate somewhere between the science and business studies rates. The rate depends on the balance of activity in each department. Data at this level are not available for FECs. For FECs, we use the mapping between Learndirect subject codes and price groups shown in the tables below. A full list of Learndirect codes and associated subject descriptions is available at www.hefce.ac.uk/learning/datacoll/heifes.

Learndirect subject codes (including all sub-levels of the hierarchy)	Price group
A	D
B	D
C (except CE, CY.3, CY.4, CY.6, CY.7, CY.8, CY.9, CZ)	C
CE, CY.3, CY.4, CY.6, CY.7, CY.8, CY.9, CZ	Media studies
D (except DC)	D
DC	C
E	D
F (except FN.3, FN.4, FN.5, FN.6, FN.7, FN.9)	D
FN.3, FN.4, FN.5, FN.6, FN.7, FN.9	C
G†	C or D
H	D
J (except JA.11, JA.22, JA.23, JA.32, JA.33, JA.34, JA.5, JA.7, JA.8, JD, JE)	C
JA.11, JA.22, JA.23, JA.32, JA.33, JA.34, JA.5, JA.7, JA.8, JD, JE	D
K (except KB, KC)	Media studies
KB, KC	D
L (except LF, LG)	C
LF, LG	D
M‡	B, C or D
N (except NG, NK, NL‡, NM‡, NN)	C
NG, NK, NN	D
NL‡, NM‡	B, C or D
P (except PA, PB, PC.1, PC.5, PE.6, PE.7, PF.1, PF.2, PG.1, PG.2)	C
PB, PC.1, PC.5, PE.6, PE.7, PF.1, PF.2, PG.1, PG.2	B
PA	D
Q (except QA.3, QB, QH, QJ)	C

Learndirect subject codes (including all sub-levels of the hierarchy)	Price group
QA.3, QH.6	B
QB, QH.1, QH.2, QH.3, QH.4, QH.5, QH.7, QH.8, QH.9, QJ	D
R (except RA.3, RA.5, RA.6, RB, RF.4, RG)	B
RA.3, RA.5, RA.6, RB, RF.4, RG	C
S (except SE, SF, SJ.5, SJ.61, SM, SN.4, SP, SQ)	B
SE.1, SN.4, SQ	C
SE.2, SE.3, SE.4, SE.5, SE.7, SE.8, SE.9, SF, SJ.5, SJ.61, SM, SP	D
T (except TC.44, TC.5, TC.6, TF, TL, TM)	C
TL, TM	B
TC.44, TC.5, TC.6, TF	D
U	D
V (except VE, VF.1, VF.2, VF.3, VF.4, VF.5, VF.6, VG)	D
VE, VF.4, VG	B
VF.1, VF.2, VF.3, VF.5, VF.6	C
W (except WA, WC.1, WC.2, WC.3, WC.4, WE)	C
WA, WC.1, WC.2, WC.3, WC.4, WE	B
X (except XA, XD, XE, XF, XN, XS, XQ.45)	B
XA, XD, XE, XF, XN, XS	C
XQ.45	D
Y (except YA, YB, YD.3)	B
YA, YB, YD.3	C
Z (except ZX.3, ZX.4, ZX.5)	C
ZX.3, ZX.4, ZX.5	D

† Learndirect code G (education) can be in either price group C or price group D depending on the course (see paragraphs 7 to 10 of this annex).

‡ Learndirect codes M, NL and NM (sports science and leisure studies) can be in price group B, C or D (see paragraph 11 of this annex).

Price group	Learndirect subject codes (including all sub-levels of the hierarchy)
B (Laboratory-based science, engineering and technology)	M†, NL‡, NM‡, PB, PC.1, PC.5, PE.6, PE.7, PF.1, PF.2, PG.1, PG.2, QA.3, QH.6, R (except RA.3, RA.5, RA.6, RB, RF.4, RG), S (except SE, SF, SJ.5, SJ.61, SM, SN.4, SP, SQ), TL, TM, VE, VF.4, VG, WA, WC.1, WC.2, WC.3, WC.4, WE, X (except XA, XD, XE, XF, XN, XS, XQ.45), Y (except YA, YB, YD.3)
C (Other high-cost subjects with a studio, laboratory or fieldwork element)	C (except CE, CY.3, CY.4, CY.6, CY.7, CY.8, CY.9, CZ), DC, FN.3, FN.4, FN.5, FN.6, FN.7, FN.9, G†, J (except JA.11, JA.22, JA.23, JA.32, JA.33, JA.34, JA.5, JA.7, JA.8, JD, JE), L (except LF, LG), M†, N‡ (except NG, NK, NN), P (except PA, PB, PC.1, PC.5, PE.6, PE.7, PF.1, PF.2, PG.1, PG.2), Q (except QA.3, QB, QH, QJ), RA.3, RA.5, RA.6, RB, RF.4, RG, SE.1, SN.4, SQ, T (except TC.44, TC.5, TC.6, TF, TL, TM), VF.1, VF.2, VF.3, VF.5, VF.6, W (except WA, WC.1, WC.2, WC.3, WC.4, WE), XA, XD, XE, XF, XN, XS, YA, YB, YD.3, Z (except ZX.3, ZX.4, ZX.5)
D (All other subjects)	A, B, D (except DC), E, F (except FN.3, FN.4, FN.5, FN.6, FN.7, FN.9), G†, H, JA.11, JA.22, JA.23, JA.32, JA.33, JA.34, JA.5, JA.7, JA.8, JD, JE, KB, KC, LF, LG, M†, NG, NK, NL‡, NM‡, NN, PA, QB, QH.1, QH.2, QH.3, QH.4, QH.5, QH.7, QH.8, QH.9, QJ, SE.2, SE.3, SE.4, SE.5, SE.7, SE.8, SE.9, SF, SJ.5, SJ.61, SM, SP, TC.44, TC.5, TC.6, TF, U, V (except VE, VF.1, VF.2, VF.3, VF.4, VF.5, VF.6, VG), XQ.45, ZX.3, ZX.4, ZX.5
Media studies	CE, CY.3, CY.4, CY.6, CY.7, CY.8, CY.9, CZ, K (except KB, KC)
ITT (QTS)	Students on ITT courses leading to QTS
INSET (QTS)	Students who hold QTS on INSET courses

† Learndirect code G (education) can be in either price group C or price group D depending on the course (see paragraphs 7 to 10 of this annex).

‡ Learndirect codes M, NL and NM (sports science and leisure studies) can be in price group B, C or D (see paragraph 11 of this annex).

3. The Data Service's LAD (at <http://providers.lsc.gov.uk> under Learning Aims Database) returns up to three Learndirect codes under the Shared Annual Values section for a particular learner aim. If there is no Learndirect code for a particular course, or the college thinks that the wrong Learndirect code has been assigned, the college should e-mail heifes@hefce.ac.uk as soon as possible (ideally as soon as the course has been added to the LAD), providing us with the learning aim reference, learning aim title, awarding body, Learndirect codes as displayed on the LAD (where present) and up to three main subject areas of the course in question. We shall then liaise with the Data Service on the college's behalf.

4. Some qualifications contain study in two distinct subject areas, for example, a chemistry and business course. Where the qualification has more than one Learndirect code on the LAD, the student should be

split between the relevant price groups in proportion to the split between each subject for the course as a whole.

5. Media studies activity should be recorded in the media studies price group only. A review panel has determined the attribution of media studies students to price groups for funding purposes. Any split between subject weights for this provision will be carried out in the funding model.

6. Students on a sandwich year-out should be recorded in price group C, regardless of the Learndirect code of the course.

ITT, INSET and other education students

7. Students on ITT courses leading to QTS should be entirely attributed to the ITT (QTS) price group, irrespective of the subject of qualification aim.

Students on ITT courses that do not lead to QTS, such as DTLLS, should be entirely attributed to price group C, irrespective of the subject of qualification aim.

8. INSET courses are defined as courses for which the primary (but not necessarily the only) purpose is to improve the effectiveness of teachers, lecturers or trainers. Students holding QTS and INSET courses should be entirely attributed to the INSET (QTS) price group, irrespective of the subject of qualification aim and whether or not the TDA is funding their provision. Students who do not hold QTS but are studying a PGCE for the post-compulsory education sector, CertEd or DTLLS as an INSET course should be recorded in price group C. Other students on INSET courses who do not hold QTS should be attributed to a price group according to the subject of qualification aim.

9. Students studying for a foundation degree to become a teaching assistant, whose course has been awarded as part of an ASN exercise, should be returned in price group C. Where students are studying for such a course and it has a high classroom-based element, but has not been awarded as part of an ASN exercise, colleges should seek our permission before recording them in price group C. All colleges seeking this permission should send details of the relevant course to heifes@hefce.ac.uk. Colleges should re-apply if there is a material change in the provision.

10. All other activity with Learndirect code G should be returned in price group D.

Sports science and leisure studies – Learndirect codes MA to MJ, NL and NM

11. Students on sports science courses with Learndirect codes MA to MJ, NL and NM should be allocated to price groups B, C or D according to the outcome of the HEFCE review carried out in 2004-05 or as subsequently agreed by HEFCE.

Audit issue

Media studies and sports science provision

12. As stated in paragraph 5 of this annex, media studies provision should be returned in the media studies price group only. Recent audits found examples where colleges had incorrectly returned media studies provision in price group B or C.

13. Examples were also found where colleges had returned sports science provision in incorrect price groups. Such provision should be recorded to reflect the outcome for the college of the HEFCE review, as noted in paragraph 11 of this annex. Where colleges submitted to the review in 2004-05, they were notified of the outcome in Derek Hicks's letter of 23 February 2005. Where colleges did not submit to the review, sports science students should be returned in price group D as a default.

Annex M

Mode of study

1. This annex explains how to determine the mode of study for a year of programme of study (full-time, sandwich year-out or part-time), including guidance on how to treat learning in the workplace and work experience when determining mode of study.

Full-time

2. A year of programme of study is counted as full-time if it meets all of the following criteria:

- a. The student is normally required to attend the college, or elsewhere, for periods amounting to at least 24 weeks within the year of programme of study; and during that time they are normally expected to undertake periods of study, tuition, learning in the workplace or sandwich work placement that does not meet the criteria to be sandwich year-out, which amount to an average of at least 21 hours per week; and
- b. Full-time fees are chargeable for the course for the year. These include:

For 'current system students':

- i. Regulated fees of up to £3,290 for undergraduates and students registered for a PGCE.
- ii. Regulated fees of up to £1,640 for undergraduates on courses provided in conjunction with overseas institutions that are not Erasmus exchanges, where study at the college is for less than 10 weeks.
- iii. Regulated £0 for undergraduates who are on full-year outgoing Erasmus exchanges.

For 'old system students':

- iv. Regulated fees of £1,310 for undergraduates and students registered for a PGCE.
- v. Regulated fees of £650 for undergraduates on courses provided in conjunction with overseas institutions that are not Erasmus exchanges, where study at the college is for less than 10 weeks.
- vi. Regulated £0 for undergraduates who are on full-year outgoing Erasmus exchanges.

In the above examples, 'current system students' and 'old system students' mean those defined in the Education (Student Support) Regulations 2009 (SI 2009 No. 1555), as amended. Exceptionally, all or part of the fee may be waived for individual students based on their particular personal rather than course-related circumstances. This does not include cases where fees are reduced because students are studying less intensively than is normally expected for a full-time student. It should not be waived for all students on a course, and the criteria that determine whether fees may be waived should not be tantamount to waiving the fee for all students.

3. Guided learning hours should not be used in isolation to determine how many hours each week a student spends studying. All guided learning hours count towards this total, but it is expected that HE students will spend a significant amount of time each week in self-led individual learning, and an estimate of this time should also be included.

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

Sandwich year-out

5. A year of programme of study is counted as sandwich year-out if the programme of study includes a period of work-based experience and it meets both of the following criteria:

- a. The course falls within the definition of 'sandwich' in Regulation 2 (10) of the Education (Student Support) Regulations 2009 (SI 2009 No. 1555), as amended. This includes language year-abroad courses where the year abroad is spent working.
- b. The overall maximum fees are, for qualifying students, those described in Regulation 5 of the Student Fees (Amounts) (England) Regulations (SI 2004 No. 1932), as amended by Regulation 2(b) of the Student Fees (Amounts) (England) (Amendment) Regulations 2009 (SI 2009 No. 3113), or up to approximately half of the fees that would be chargeable if the student were full-time.

- c. Exceptionally, all or part of the fee may be waived for individual students based on their particular personal rather than course-related circumstances. This does not include cases where fees are reduced because students are studying less intensively than is normally expected for a full-time student. It should not be waived for all students on a course, and the criteria that determine whether fees may be waived should not be tantamount to waiving the fee for all students.
6. Students spending a full year abroad working who are eligible for the regulated £0 fee under the Erasmus scheme should be returned as sandwich year-out. This includes students under the British Council's Language Assistant scheme.

Part-time

7. A student is counted as part-time if the year of programme of study does not meet the requirements to be either full-time or sandwich year-out. This includes HNC students who are expected to complete in one year, but whose course is not subject to regulated fees.
8. In general, all students on a given course with a broadly similar pattern of activity for a given year of programme of study should be recorded as having the same mode.
9. In some cases a student's mode of study changes between years. For example, the mode of a student on a full-time 18-month course would change from full-time in year one to part-time in year two, where the second year does not have 24 weeks of study.

Students who change from full-time to part-time within a year of programme of study

10. Where full-time students change mode within the year of programme of study to become part-time students, the year of programme of study should be recorded as part-time only. This applies only where the student continues to study actively on their year of programme of study, where there is a formal process for agreeing the change in mode, including confirmation by the student and a recalculation of their tuition fee to reflect their part-time status. It may also result in the student losing

entitlement to full student support. Their FTE should be calculated in the usual way, by comparison with the equivalent full-time course. Students should not be excluded from Table 6 solely on the basis that they have changed from full-time to part-time (see Annex H, paragraph 39).

Example 1

11. A student who starts off as full-time but changes to part-time in the second term of the year of programme of study, studying at the same rate as a part-time student with an FTE of 0.5 per year of programme of study. They should be returned in the part-time table with an FTE of 0.67. This is made up of 0.33 for the first term and $0.5 \div 3 = 0.17$ for each of the second and third terms, equalling 0.67 in total for the year of programme of study. More guidance on assigning FTE for part-time years of programme of study is given in Annex J.

Treatment of learning in the workplace and work experience for the purposes of determining mode of study

12. For the purposes of meeting the attendance definition for a full-time course, full-time study can include learning in the workplace, where this is a course requirement. Such learning is frequently a feature of foundation degrees and may also occur in other programmes. Learning in the workplace is a structured academic programme, controlled by the higher or further education institution, and delivered in the workplace by academic staff of the college, staff of the employer, or both.

13. Unlike work experience, which is one element of a course such as a sandwich placement (whether for the whole or part of a year), learning in the workplace is at the heart of a student's learning programme and must be subject to the same level of academic supervision and rigour as any other form of assessed learning. It includes:

- the imparting of relevant knowledge and skills to students

- opportunities for students to discuss knowledge and skills with their tutors
- assessment of students' acquisition of knowledge and skills by the institution's academic staff, and perhaps jointly with an employer.

14. Learning in the workplace should be regarded as substituting for learning that under other circumstances would normally take place within the institution. The inclusion of an element of learning in the workplace should, therefore, not extend the normal duration of a course.

15. Institutions should note paragraph 4 of Annex O, which states that if the year of programme of study is 45 weeks or more in length because of a period of work-based study, then the year of programme of study is not counted as long. This applies to both learning in the workplace and work experience. Sandwich years-out cannot therefore be recorded as long, and we would also not generally expect foundation degrees to be recorded as long.

Audit issue

Recording the incorrect mode of attendance if a student is only active for part of a year

16. Where a student plans to study at a full-time rate for a portion of the year, for example only for semester one, they must be returned as part-time, even though they are 'full-time' for that period of study. The mode of attendance must be established with reference to the activity for the whole year of programme of study.

Annex N

Level of study

1. This annex explains how to determine a student's level of study (foundation degree, other undergraduate or postgraduate). It also explains how the undergraduate data on Table 5 are split.

Undergraduate

2. Undergraduates are students studying towards a first degree (including foundation degree), foundation degree bridging course, HND, HNC, DipHE, CertEd or DTLLS. In Tables 1, 2 and 3, undergraduate data are split between 'FD' (foundation degree) and 'UG (excl. FD)' (undergraduate excluding foundation degree). A foundation degree is a two-year, full-time higher education course, or the part-time equivalent, which has been validated as a 'foundation degree' and which is expected to incorporate the core features set out in the foundation degree prospectus, HEFCE 00/27. Foundation degree bridging courses should be returned as 'UG (excl. FD)' in Table 3.

3. The undergraduate data in Table 5 are split between:

- students on HND courses
- students on sub-degree level courses excluding HND (those aiming for an HNC, DipHE, CertEd or DTLLS)
- students on foundation degree courses
- students on another undergraduate degree (excluding foundation degrees but including foundation degree bridging courses).

4. Where students have stated multiple qualification aims as part of the same programme of study, they should be recorded against the lower aim. For example, a student registered for an HND and a degree should be recorded as HND.

Postgraduate

5. Postgraduate students are registered for courses where a normal condition of entry is that entrants are already qualified to degree level: that is they are already qualified at Level 6 of the Framework for Higher Education Qualifications in England, Wales and Northern Ireland, published by the Quality Assurance Agency for Higher Education.

6. Postgraduates include those on graduate conversion courses and all PGCEs (whether Postgraduate or Professional Graduate Certificate in Education).

Annex O

Long years of programme of study

1. This annex explains how to determine if a year of programme of study should be classed as 'long', both for full-time and part-time years of programme of study. It also contains guidance on how to treat learning in the workplace and work experience when determining the length of a year of programme of study, as well as examples on how to treat mixed-length courses.

Full-time students

2. For full-time courses, students will be classified as being on 'long' years of programme of study if:

- a. They are normally required to attend for 45 weeks or more within the year of programme of study, or
- b. The year of programme of study includes a within-course short period of study, awarded as a summer school through a bidding exercise for ASNs and explicitly notified by HEFCE.

3. When determining length, students are deemed to be attending the college if they are actively pursuing full-time studies towards the qualification. Years of programme of study that are not long are referred to as standard length.

4. If the year of programme of study is 45 weeks or more in length because of a period of work-based study, then the year of programme of study is not counted as long. This applies to both learning in the workplace and work experience. Sandwich years-out cannot therefore be recorded as long, and we would also not generally expect foundation degrees to be recorded as long.

Example 1

5. A full-time student on a foundation degree studies for 47 weeks in the year of programme of study, but 10 of these weeks are work-based study. The year of programme of study is not counted as long, because without the work-based study the number of weeks studied within the year of programme of study is 37. Similarly a full-time student on a foundation degree studies for 47 weeks in the year of programme of study entirely in the workplace. The year of programme of study is not counted as long.

6. For undergraduate students, long courses will typically be accelerated programmes where the qualification is achieved in a much shorter period than is normal for that qualification. The number of credit points studied in the year is not a criterion in the definition of a long year of study.

7. For postgraduate students, most long courses will be for higher degrees.

Part-time students

8. For part-time courses, the distinction will depend on the length of each year for an equivalent full-time course. The number of weeks attended within the year of programme of study for part-time students is irrelevant in determining whether the year of programme of study is long. The equivalent full-time course used should be the same as that used in calculating the FTE.

Example 2

9. A full-time, one-year course has a 30-week year of programme of study; the equivalent part-time course lasts for two years, each with a 45 week year of programme of study. The part-time course would not be long. Conversely, if each year of the part-time course lasts for 30 weeks, but the year of programme of study for the full-time course is 45 weeks, then the part-time course is classified as long. The FTE for the part-time course would be 0.5 in both cases.

Example 3

10. A student completes a two-year, full-time foundation degree, then chooses to undertake a foundation degree bridging course over the summer in order to enrol full-time on the third year of an honours degree. In this case both years of the foundation degree and the third year of the honours degree should be recorded as standard length, and the foundation degree bridging course should be recorded separately as a standalone, part-time course with an FTE of 0.3.

Mixed-length courses

11. In some cases a full-time course may have one or more years of programme of study which are long, with one or more standard-length years. When determining which FTE to return as long for the equivalent part-time course, the following two principles should be applied:

- a. The FTE over the entire course should be identical to that of the full-time course.
- b. The proportion of the FTE recorded as long should be the same on both the full-time and part-time programmes.

Example 4

12. A two-year, full-time course has year one long and year two standard length. The equivalent part-time course runs over four years. The first two years of the part-time course should be recorded as long, with the remaining two recorded as standard length. The FTE would be 0.5 in each of the four years.

Annex P

Fee categories in Table 4

1. This annex provides further guidance on how to assign students to the appropriate fee level category in Table 4.

2. Table 4 collects information about tuition fees for home and EU students included within Columns 1 or 2 of Tables 1, 2 and 3 (see Annex D). In general, fee levels are an attribute of the course, not of the individual student. This means, for example, that a student who is on a course designated for student support purposes, but who is not personally eligible for a grant or loan for fees payable by the SLC, should still be returned against the appropriate regulated fees category. This will include, for example, many undergraduate students who are aiming for an ELQ. Students on courses for which an NHS bursary is payable, those on an outgoing Erasmus full-year abroad, and students on foundation degree bridging courses should be identified separately.

3. Regulated fees are those that apply to qualifying courses as defined in the Student Fees (Qualifying Courses and Persons) (England) Regulations 2007 (SI 2007 No. 778) as amended (including by the Student Fees (Qualifying Courses and Persons) (England) (Amendment) Regulations 2008 (SI 2008 No. 1640)). The fees are subject to overall limits set out in the Student Fees (Amounts) (England) (Amendment) Regulations 2009 (SI 2009 No. 3113), which amended the Student Fees (Amounts) (England) Regulations 2004 (SI 2004 No. 1932). These regulations can be found on the OPSI web-site, www.opsi.gov.uk, under Legislation/Original/UK/Statutory Instruments. In general, the fees are:

- a. Regulated full fee – full-time and sandwich undergraduate courses (where the student is not on their year-out) and full-time PGCE courses. The overall maximum fees for qualifying students on such courses are those described in Regulation 2a of the Student Fees (Amounts) (England) (Amendment) Regulations 2009 (SI 2009 No. 3113).
- b. Regulated half fee – undergraduates following sandwich courses who are on their sandwich year-out, students on a non-Erasmus, study related year abroad, students continuing on part-

time ITT courses that commenced prior to 1 September 2010 and students on the final year of a full-time undergraduate programme which is normally required to be completed after less than 15 weeks' attendance. The overall maximum fees for qualifying students on such courses are those described in Regulation 2b of the Student Fees (Amounts) (England) (Amendment) Regulations 2008 (SI 2009 No. 3113).

- c. Regulated £0 – outgoing Erasmus full-year abroad students only.

Also identified separately in Table 4:

- d. NHS-bursaried years of courses – students on years of courses for which an NHS bursary is payable, even if the individual student does not receive the bursary. More information on NHS bursaries can be found at www.hefce.ac.uk/learning/datacoll/heifes.
 - e. Foundation degree bridging courses – students on a foundation degree bridging course.
4. Students should be returned under the fee level 'Non-regulated' where the course the student is studying for is not prescribed under Regulation 4 of the Student Fees (Qualifying Courses and Persons) (England) Regulations 2007 (SI 2007 No. 778) as amended.

Part-time undergraduate students subject to regulated fees

5. The Department for Business, Innovation and Skills has signalled its intention that students starting part-time ITT courses from 1 September 2010 should no longer be subject to regulated fees. Information about this is on the Student Finance England practitioners' web-site (<http://practitioners.studentfinanceengland.co.uk/>) under Practitioner Resources/Student Support Information Notes/SSIN 04/10 – Support for Initial Teacher Training Courses for 2010/11. This means that, in general, the only part-time undergraduate students who should be recorded as being subject to regulated fees are those:

- a. Continuing on part-time ITT courses that commenced prior to 1 September 2010, such as first degrees leading to QTS, CertEds and DTLLS.

- b. Attending the final year of a designated full-time course which is ordinarily completed in less than 15 weeks.
- c. Attending the final year of a designated full-time course which is ordinarily completed in 15 weeks or more, but less than 24 weeks.

In cases a and b, the students should be recorded as subject to regulated half fees; in case c they should be recorded as subject to regulated full fees. There may also be other cases of undergraduate programmes of study that are treated as part-time for HEIFES purposes because they do not meet the attendance requirement to be full-time, but which are nevertheless still subject to full-time regulated fees. This may include, for example, students who have intermitted for a semester, such that their year of programme of study does not involve attendance of 24 weeks or more; or students on a full-time course who are repeating part of it on a part-time basis for a year of instance and are still claiming full-time student support.

6. Part 10 of the Education (Student Support) Regulations 2009 (SI 2009 No. 1555), makes provision for the support of students undertaking a designated full-time distance learning course. Part 11 of those regulations makes provision for students undertaking a designated part-time course, through grants for help with fees and a £265 grant for help with other course costs. Such students should still be returned under 'non-regulated' fees, because these courses are not explicitly designated under the Student Fees (Qualifying Courses and Persons) (England) Regulations 2007 (SI 2007 No. 778) as amended.

Postgraduate students subject to regulated fees

7. The only postgraduate students who should be recorded as being subject to regulated fees are those on a full-time PGCE, or continuing on a part-time PGCE commenced prior to 1 September 2010. Such students should be recorded as subject to the regulated full or regulated half fees, respectively.

Annex Q

List of abbreviations

ASNs	Additional student numbers
CertEd	Certificate in Education
DipHE	Diploma of Higher Education
DSA	Disabled Students' Allowance
DTLLS	Diploma in Teaching in the Lifelong Learning Sector
EEA	European Economic Area: all EU countries plus Iceland, Liechtenstein and Norway. Students from Switzerland are treated in the same way as those from the EEA
ELQ	Equivalent or lower qualification
Erasmus	European Community action scheme for the mobility of university students. This is part of the European Commission's Lifelong Learning Programme
EU	European Union
FAQ	Frequently asked question
FD	Foundation degree
FEC	Further education college
FTE	Full-time equivalent or full-time equivalence depending on context
HE	Higher education
HEFCE	Higher Education Funding Council for England
HEI	Higher education institution
HEIFES	Higher Education in Further Education: Students survey
HEPA	HEFCE higher education policy adviser
HESA	Higher Education Statistics Agency
HESES	Higher Education Students Early Statistics survey
HNC	Higher National Certificate
HND	Higher National Diploma
HPC	Health Professions Council
ILR	The Data Service's individualised learner record
INSET	In-service Education and Training
ITT	Initial Teacher Training
LAD	Learning Aims Database
LLN	Lifelong Learning Network
NVQ	National Vocational Qualification
OPSI	Office of Public Sector Information
PG	Postgraduate
PGCE	Postgraduate (or Professional Graduate) Certificate in Education
QTS	Qualified teacher status

SCITT	School-Centred Initial Teacher Training
SIVS	Strategically important and vulnerable subject(s)
SLC	Student Loans Company
TDA	Training and Development Agency for Schools
UG	Undergraduate
UG (excl. FD)	An undergraduate course that is not a foundation degree

Annex R

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**Higher Education Funding Council for England
Northavon House
Coldharbour Lane
BRISTOL
BS16 1QD**

**tel 0117 931 7317
fax 0117 931 7203
www.hefce.ac.uk**