

September 2003/44

## Core funding/operations

### Request for data

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Returns should be uploaded to the secure area of the HEFCE web-site, by Tuesday 9 December 2003

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This document asks institutions to complete the annual survey on full-time equivalent student load on recognised higher education courses. The data will give an early indication of the number of HE students studying in the academic year 2003-04; enable us to monitor the achievement of the funding agreement targets for 2003-04; and, with data supplied to the Higher Education Statistics Agency, inform our allocation of teaching funds for 2004-05.

# HESES03

## Higher Education Students Early Statistics Survey 2003-04

## Alternative formats

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# HESES03

## Higher Education Students Early Statistics Survey 2003-04

To	Heads of HEFCE-funded higher education institutions Heads of universities in Northern Ireland
Of interest to those responsible for	Student data, Funding
Reference	2003/44
Publication date	September 2003
Enquiries to	Joe Clark tel 0117 931 7292 e-mail heses@hefce.ac.uk

### Executive summary

#### Purpose

1. This document asks institutions to complete the annual survey on full-time equivalent student load on recognised higher education (HE) courses.

#### Key points

2. The data will:
  - a. Give an early indication, including for government planning purposes, of the number of HE students studying in the academic year 2003-04.
  - b. Enable us to monitor the achievement of the funding agreement targets for the academic year 2003-04.
  - c. Together with data supplied to the Higher Education Statistics Agency (HESA), inform our allocation of teaching funds for the academic year 2004-05.
3. This document provides:
  - a. Guidance notes for completing the Higher Education Students Early Statistics Survey 2003-04 (HESES03).
  - b. Definitions used in the HESES03 survey.
  - c. Examples of the survey tables, which will be distributed electronically.

4. Information contained in the annexes will help institutions to complete the survey.

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### **Action required**

5. Returns should be uploaded to the secure area of the HEFCE web-site, by **Tuesday 9 December 2003**. Excel workbooks will be available to institutions' HESES contacts in November 2003.

## The HESES03 survey

6. The following sources of data will inform our allocation of funds for 2004-05:

- HESES03
- the HESA/Learning and Skills Council (LSC) July 2003 individualised student record
- Research Activity Survey 2003.

7. HESES03 should be completed by all higher education institutions (HEIs) receiving HEFCE recurrent funds for teaching. The Research Activity Survey 2003 will be issued in October 2003: it should be completed by all institutions that receive HEFCE funding for research in 2003-04, or that expect to receive such funding in 2004-05.

8. Coverage of the HESES03 survey is given in Annexes B and C. Definitions of when activity should be counted are in Annex D. Annexes E to J explain how to record different categories of activity.

9. All activity that meets the criteria set out in Annexes B to D should be reported, even if it will not be used directly to allocate funds. For example, HEFCE will not support students ordinarily resident outside the European Community (EC), but these students should still be included in the 'Island and overseas' column on the tables.

10. For allocation purposes we source various information from the HESA/LSC July 2003 individualised student records. In particular, we expect to use the following fields:

- a. Disabled Students Allowance (to determine whether the student should count towards the calculation of the disability allocation).
- b. Postcode (the home postcode may be used to determine whether the student should count towards the calculation of the allocation for widening access).
- c. Highest qualification on entry (may be used to determine whether the student should count towards the calculation of the allocation for improving retention).
- d. Date of birth (may be used in allocations for widening access and improving retention).
- e. Cost centre (may be used in allocating load to new price groups – see HEFCE 2003/42

'Development of the funding method for teaching from 2004-05: consultation').

- f. The FUNDCOMP field (completion of year of programme of study) from the HESA record (may be used to determine non-completion rates – see HEFCE 2003/42).

Institutions should note that the underlying populations are determined using a wide range of fields, so incomplete records will adversely affect the funding allocations. Full details of these algorithms are in 'Guide to HESES02 re-creation web facility' (HEFCE 2003/39).

11. Directly funded further education colleges (FECs) make a similar return to us on the Higher Education in Further Education: Students Survey 2003-04 (HEIFES03), issued as HEFCE 2003/45.

## Institutional contacts

12. Institutions have sent us details of a contact for the HESES survey. If institutions wish to check or change their HESES contact details, they should speak to or send an e-mail to their HEFCE higher education adviser (HEA). The HEA for each institution can be found on the HEFCE web-site under About us/Contact us.

## Data collection and verification

13. Enquiries about this survey should be addressed to Joe Clark (tel 0117 931 7292, e-mail [heses@hefce.ac.uk](mailto:heses@hefce.ac.uk)). There is a web page giving answers to frequently asked questions and examples of completed HESES returns. The web page will also contain any amendments or clarifications that need to be made after the publication and workbook are available. It can be found on the HEFCE web-site, [www.hefce.ac.uk](http://www.hefce.ac.uk), under Questions/HESES FAQs. The web page is updated regularly and institutions are expected to look here for guidance before and during completion of their HESES return. We will use an e-mail list of HESES contacts to notify institutions of any significant changes or updates. We will not use this simply to notify them of changes to the information on the web.

14. An Excel workbook will be available for download by institutional contacts in November 2003. Notes on the workbook are at Annex O.

15. The workbook contains a number of validation checks, detailed in Annex N, and we will carry out further checks when we receive it. Once we have validated the returned data, institutions will be asked to verify their returns. We may refuse to revise allocations once data have been verified.

## Outline timetable and process for the 2004-05 funding round

16. Institutions are required to return their HESES03 survey by Tuesday 9 December 2003. Once we receive the data, we carry out a number of validation and credibility checks, and calculate whether institutions have met their funding agreement targets for 2003-04. The data do not need to be formally signed off by the vice-chancellor or principal at this stage. However, it is good practice for a senior member of the institution to have agreed the return prior to submission.

17. During December, HEAs will write to institutions, enclosing a printout of their HESES data and the comparison and grant adjustment reports generated from them. Institutions will be asked to:

- verify that the data are accurate, or make corrections

- answer any questions we may have on the data
- submit any appeals against adjustments to grant made by formula, such as holdback.

18. By 13 January 2004, all institutions must have signed off their HESES data as being correct as at the census date of 1 December 2003. The data should be signed off by the vice-chancellor or principal of the institution, or their most appropriate deputy, on the institution's behalf. This person should be different from, and preferably senior to, the preparer of the return, and should assess the return for accuracy and completeness before signing it off. The timetable for this is tight: if corrections to data are made, we then reissue the data for re-verification by institutions. We will normally expect institutions to answer any questions about data within five working days.

19. During January we will consider any appeals against grant adjustments made by formula. Institutions will be notified of the outcomes of their appeals in February. We will announce provisional allocations of recurrent grant for 2004-05 on 3 March 2004.

20. The timetable is summarised below:

November 2003	HESES workbooks available to institutions
December 2003	<ul style="list-style-type: none"> <li>• 9 December – deadline to return HESES data</li> <li>• Mid-December – validation and credibility checks by HEFCE</li> <li>• Mid-December – HEAs write to institutions, asking them to verify the data, answer any questions about the data and submit any appeals. Institutions will normally have five working days to answer questions about data</li> </ul>
January 2004	<ul style="list-style-type: none"> <li>• 13 January – institutions must have authorised and signed off their HESES data as being correct at 1 December 2003</li> <li>• 13 January – deadline for submission of appeals</li> </ul>
February 2004	Institutions notified of outcome of appeals
3 March 2004	Institutions notified of provisional allocations of recurrent grant for 2004-05
14 May 2004	Deadline for institutions to request amendments to provisional allocations
Late July 2004	Institutions receive their funding agreements, including final grant allocations, for 2004-05

21. There are two grant announcements in the year – in March and July. To be reflected in the March grant announcement, we need to have received all HESES data amendments by 13 January. To be reflected in the July grant announcement, we will need to have received any further HESES data amendments by 14 May. However, because our total budget is limited, we cannot guarantee to provide additional funding arising from amendments received after 13 January. 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 June so that they can be included in the July funding announcement.

22. In January 2005, we will compare HESES03 data with the July 2004 HESA student record and the July 2004 LSC individualised learner record (ILR). Where we find – through audit, comparison with HESA data, or otherwise – that an institution has received higher allocations than it should have done, we will reduce grant accordingly.

## Returns

23. Returns should be uploaded to the secure web-site no later than **Tuesday 9 December 2003** (see Annex O for details).

24. We will not accept any requests for late submission of data. Where an institution 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. Institutions that do not submit credible data on time are more likely to be audited.

## Audit

25. We will audit HESES03 data. Institutions should therefore keep an adequate audit trail recording how the data were derived. This is especially important where institutions are including estimates or making judgements; for example, the basis for forecasting non-completions should be recorded. 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 HESES return, where appropriate.

26. As part of our audit process we will compare HESES03 data with a variety of other data, most notably individualised HESA data as these become available. Where we find – through audit, comparison with HESA data, or otherwise – that an institution has received higher allocations than it should have done, we will reduce grant accordingly. Details of how we will compare data are given in ‘Guide to HESES02 re-creation web facility’ (HEFCE 2003/39), and in Annex M. We will also compare data returned on HESES03 and data returned on the Research Activity Survey 2003. We may refuse to accept data where there are significant differences.

### Audit of HESES02 (see Annex R for full details)

27. For HESES02 we are auditing 21 institutions and following up previous audits at a further three institutions. At the time of preparing this publication not all the audits had been undertaken. The completed audits highlighted areas in which some institutions were incorrectly interpreting the HESES guidance, or where internal institutional systems and practices did not facilitate the production of the HESES return. The findings included:

- lack of robustness in the estimation of non-completions
- lack of robustness in the estimation of forecast countable years
- incorrect assignment of departments to cost centres
- incorrect apportionment of student load to cost centres, where a course is in more than one cost centre
- incorrect calculation of part-time load factors
- incorrect fundability status
- poor communication within collaborative arrangements
- inadequate audit trail between the student record system and the HESES return

- inappropriate authorisation of the HESES return
- lack of knowledge management
- poor use of student record data as management information
- variable practices in faculties, schools and departments producing inconsistent data
- students studying outside the UK being incorrectly included in the HESES return
- students incorrectly recorded more than once in the HESES return.



# Annex A

## Summary of changes and clarifications since HESES02

1. Students from countries joining the European Community (EC) during the 2003-04 academic year should be returned as 'Island and overseas' in HESES03. We will use 2002-03 HESA data to determine any adjustments in funding calculations arising from enlargement of the EC.
2. Column 6 (c) on Tables 1a, 2 and 3 is hidden for all institutions that do not lead a HEFCE-recognised funding consortium. See Annex B paragraphs 4-15 for details.
3. As last year, institutions will download their blank workbooks from a secure web-site. This year, however, completed workbooks will be uploaded to the same web-site instead of being returned to us by e-mail. See Annex O for details.
4. Students from Gibraltar should be treated in the same way as students from countries in the European Economic Area but not the EC. See Annex F, paragraph 2 for details.
5. Our definition of completion has changed to take into account students that pass a module without sitting the final assessment of that module. See Annex D, paragraphs 14-21 for details.
6. The title and column headings on Table 7 have changed to recognise the fact that students can be domiciled outside the EC but still eligible for home and EC fees. The table now correctly splits students into 'home' and 'other students eligible for home and EC fees'.
7. Home and EC students are those meeting the definition of eligible students in the Education (Fees and Awards) Regulations 1997, as amended.
8. Undergraduate clinical dental students are now those on the final four years (instead of final three and a third) of a registrable dental qualification.

# Annex B

## The HESES03 student population

1. HESES03 records counts of years of programme of study for students aiming for a recognised HE qualification. The students that generate these years of programme of study are called the HESES03 student population. Paragraphs 2 and 3 below define which students should be included in the HESES03 student population. Some students within this population may generate years of programme of study which are counted in a previous or future HESES survey, but not generate any years included in HESES03 (see Annex D for when to count activity). All years of programme of study counted in HESES03 must relate to a student within this population.

2. Students meeting **all** of the following criteria should be included in the HESES03 student population:

- a. At least part of a year of programme of study in which they are actively pursuing studies with the institution falls within the academic year 2003-04. This includes outgoing exchange students.
- b. They are studying towards a recognised HE qualification aim, or a credit that can be counted towards such a qualification, as defined in Annex C.
- c. They have an individual student record returned to HESA or on the LSC ILR.
- d. They are not being returned on any other institution's HESES or HEIFES return.

3. Students in **any** of the following categories should **not** be included in the HESES03 student population:

- a. Students not studying towards a recognised HE qualification aim, or a credit that can be counted towards such a qualification. Students whose sole qualification aim is an NVQ should not be included. Students should be included if they gain both a recognised HE qualification and an NVQ as the result of a programme of study.
- b. Students who will not be included in the individualised student record for the institution at which the student is registered. All students included in the HESES03 student population must be included on the registering institution's

individualised student record, even if this is not normally compulsory under the coverage of the record.

- c. Incoming exchange students.
- d. Students franchised-in from another institution, or who are part of a HEFCE-recognised funding consortium where the institution is not the lead institution (see paragraphs 4-15 below).
- e. Students spending most of their 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 benefit 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 HESES03 student population, as the year abroad will not constitute most of their programme of study.

- f. Students for whom no year of programme of study in which they are actively pursuing studies falls at least partly within the academic year 2003-04. For students following standard academic years this means the student is not actively pursuing any studies within the year. This includes students who are writing-up for the whole of the academic year.
- g. Students registered for research qualifications awarded primarily on the basis of published works should not be included in the student population unless they undertake a significant amount of research at the institution.
- h. Students who are on school-centred initial teacher training (SCITT) programmes.
- i. Students who are being returned on any other institution's HESES or HEIFES return.

## **Students taught under partnership, collaborative or similar arrangements**

4. Institutions should note that a student is considered to be 'registered' on the HESA student record at the institution that collects the fee for the student.

5. Many students are taught under a variety of collaborative arrangements. For the purposes of HESES03, there are two broad types:

a. Franchises. This applies to virtually all collaborative arrangements, including many that institutions may refer to as consortia, such as those for the delivery of foundation degrees.

b. HEFCE-recognised funding consortia.

6. The features of these two broad types of collaborative arrangement are described below. Institutions that are the lead or franchiser in such collaborative arrangements are asked to identify the student numbers involved separately in HESES. However, only the institutions that are the lead in a HEFCE-recognised funding consortium will be able to input data in the cells relating to such consortia in Tables 1a, 2 and 3.

### **Collaborative arrangements treated as franchises for HESES purposes**

7. Unless the student is being taught through a HEFCE-recognised funding consortium, all provision that is delivered through a collaborative arrangement is regarded as being a franchise for the purposes of HESES03. Industrial placements, work experience and language years abroad should not normally be regarded as franchised-out for the purposes of HESES.

8. The following paragraphs explain who should return franchised activity to us. The 'HEFCE survey' referred to below will be either:

- HESES03 for FECs or
- HESES03 for HEIs.

9. Where one institution enrolls a student and collects a fee for tuition or supervision of research for that student, but the student undertakes all or part of their study at another institution, only the institution that receives the fee should include the

student in its HEFCE survey student population. Such a student is regarded as franchised-out by the institution collecting the fee.

10. If a course is run jointly by more than one institution, only the institution that receives the fee should include the student in its HEFCE survey student population.

11. If two institutions receive a fee from a student for a given year of 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 includes the student in its HEFCE survey student population.

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

13. In all the above cases, the student is recognised as a student of the franchiser. The institution that includes the student in its HESES03 student population must also return a record to HESA, and its performance indicators and quality assessments will take account of activity relating to that student as appropriate. The HESA record of such a student must clearly identify the nature and extent of the franchise.

### **HEFCE-recognised funding consortia**

14. A HEFCE-recognised funding consortium is a mechanism for distributing grant to a group of institutions through a single lead institution. Consortia are only 'HEFCE-recognised funding consortia' if we have notified the institutions concerned in writing. As with a franchise, the lead institution will return all data relating to the consortium in its HESES return, while the individual consortium members will not report the provision in any aggregate student number returns they may make to us.

15. However, such an arrangement differs from a franchise in that the student is recognised as a student of the appropriate consortium member, rather than of the lead institution. This means that the students will be reported in either the HESA or LSC individualised returns of the appropriate consortium member, rather than those of the lead institution. Likewise, the students will be reflected in the performance indicators and quality assessments of the member institution, rather than the lead. Apart from for HEFCE funding purposes, the students will in all other respects be treated as students of the consortium member.

# Annex C

## Recognised courses of HE

1. Recognised courses of HE are those defined in paragraph 1 of Schedule 6 of the Education Reform Act 1988. This includes any postgraduate or undergraduate degree, accredited HE diploma or certificate. Other courses leading to professional or vocational qualifications may be included if they are generally recognised as HE qualifications; this does not include NVQs.

2. Students who are not studying towards a recognised HE qualification, or a credit that can be counted towards one, are excluded from the HESES03 student population.

3. Foundation years, and other provision commonly referred to as 'level 0', are recognised courses of HE only if they are an integrated part of a recognised HE qualification. Free-standing foundation years and other free-standing 'level 0' provision are not recognised courses of HE.

# Annex D

## Countable years of programme of study

1. Students study towards qualification aims 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 aim; the second and subsequent years start on or near the anniversary of this date.

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

3. Exceptionally, a student may study towards two or more independent qualifications concurrently. Each programme of study would then generate its own year of programme of study which would be countable. Thus, a student studying towards a PhD and an unrelated undergraduate professional qualification would generate two years of programme of study each year. However, a student studying for several institutional credits that can count towards the same final qualification would generate only one year of programme of study each year. Usually, independent qualification aims would have different qualification aim codes on the HESA student record. This might not be the case if the qualification aim code were sufficiently general, for example 'professional qualifications'.

4. Students on Ufi courses who are also registered for an HE qualification should only be returned using their main qualification aim. The two qualifications should not be treated as independent, so the student would only generate one year of programme of study.

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 30 and 31 below.

6. In all cases, where a student is studying for two or more separate and independent qualification aims, each should be returned with its own HIN identifier (see Glossary, Annex S) on the HESA student record. Guidance on the HIN can be found in the HESA student record coding manual under NUMHUS (field 151/136); additional notes on

linking and target lists for the HIN are in Appendix 11 of the same publication.

7. For students within the HESES03 student population, exactly when a year of programme of study becomes countable depends on how its FTE is reported to HESA. There are four types of HESA record:

### For standard academic years

- a. All activity for a year of programme of study is within one academic year. Students following standard academic years will fall into this category. Most HESA records are of this type.

### For non-standard academic years

- b. Activity for a year of programme of study spans two academic years, and the whole of the FTE is reported in the academic year in which the year of programme of study begins.
  - c. Activity for a year of programme of study spans two academic years, and the whole of the FTE is reported in the academic year in which the year of programme of study ends.
  - d. Activity for a year of programme of study spans two academic years, and the FTE is split proportionally across them.
8. To be counted, years of programme of study must be generated by a student in the HESES03 student population, and meet **all** the following criteria:
- a. A fee is charged for tuition or supervision of research. This fee may be waived.
  - 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 still receive a small amount of supervision, and they may still have access to other facilities at the institution. However, such students should still be treated as writing-up.

9. Years of programme of study within cases (a) and (b) above will be counted on their commencement date and its anniversary.



10. For students falling into case (b) above, the final academic year during which the student is active will not usually generate a countable year of programme of study. It will do so, however, if a student undertakes a short period of activity after the anniversary of their commencement date and that activity ends in the same academic year. If the short period of activity starts and is completed before 1 December, the student should still be returned in Column 1 of the HESES tables.

11. Years of programme of study within cases (c) and (d) above will be counted in HESES on 1 August in each academic year in which activity occurs, except the first. Where, exceptionally, all activity for the final year of programme of study falls entirely within an academic year, the student will generate two countable years of programme of study: one on 1 August and a second when the final year of programme of study begins.

12. For students within case (d), it is not possible to identify a year of programme of study from the July HESA student record. Institutions should, where possible, avoid making an approximation of activity for the year of programme of study. For monitoring purposes, where a student is active for the whole academic year we will assume that the load for the year of programme of study is broadly comparable to the load for the academic year. Where the student is not active for the whole year we will make an approximation based on the current year and the first year in which the student was active. Full details of this process can be found in paragraphs 45-57 of Annex D of the 'Guide to HESES02 re-creation web facility' (HEFCE 2003/39).

13. Occasionally some students may 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 on a non-standard programme of study.

## Non-completions

14. Non-completion is defined in terms of modular programmes of study. It applies to all institutions, including those that may not consider their programmes to be modular. For HESES 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 may all count towards the same qualification then this should be treated as a single programme of study. We have changed the definition with effect from 2003-04 to recognise that some students may choose not to undergo final assessment on the basis that they have already met the academic criteria to pass the module.

15. A student who fails to complete (that is undergo the final assessment of, or pass) any module within the year of programme of study is to be returned as a non-completion for all activity in that year. However, an exception is allowed for full-time students where the module is in addition to the standard requirements for full-time study.

16. Where there is no final exam, or the final exam does not constitute the final assessment for the module, for example where a dissertation is submitted after exams, completion would be measured against submission of the final coursework or dissertation for the module, or passing the module.

17. Exceptionally, a year of programme of study that 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, continued attendance throughout the year of programme of study would constitute completion. Institutions should therefore ensure adequate evidence of attendance exists, such as class registers.

18. Where assessment is optional (for example on open programmes, including continuing education provision) students should only be treated as completions where they undergo formal assessment such that if they pass the assessment they will be awarded credits.

19. Where a part-time student has a clear intention of completing a specified activity within the year of

programme of study, completion is measured against this. Thus, if a student starts the year intending to follow a certain pattern of activity but does not complete it, then that student would be a non-completion for all activity for the year. If the programme of study did not specify the pattern of activity within the year, then, provided that the student completed all activity started in the year, he or she would be considered as completing.

20. In some cases the final assessment for a module may fall outside the academic year in which it is counted, or exceptionally outside the year of programme of study. In either case, completion of the module is still measured against attendance at the final exam or submission of final coursework relating to the module, or passing that module. For example, if a student studies on a standard academic year but the examinations are held in August, completion will be determined by attendance at the August examination, or by passing the module.

21. Institutions should ensure that estimates of non-completion are supported by historical data – see Annex R for details about common errors discovered as part of our audit of HESES02.

## **New entrants**

22. New entrants are defined as students registered for the first (or only) year of a course leading to a recognised HE qualification. Note that:

- a. Students re-taking the first year of a course should be included as new entrants.
- b. Students transferring between courses are to be included only if they are registered as first-year students on their new course.
- c. Students entering directly on to the second or subsequent year of a course should not be counted as new entrants.
- d. Students whose course includes an integrated foundation year (at 'level 0') should be counted as new entrants only during their foundation year. In this case the student should not be counted as a new entrant during year one of the course.

## **Summer schools**

23. There are four types of short course that are sometimes referred to as summer schools. These are described in more detail below.

### **Summer schools for potential HE students**

24. These are intended for potential HE students to experience a short period of study in an HE environment in the summer vacation. Students are not included in the HESES population as the course is not HE level.

### **Access provision**

25. In some cases, institutions offer short preparatory or access courses for individual students to facilitate progression on to an initial HE qualification. These are taken immediately before the start of their HE qualification. Where this is an integral part of an HE level course, then it is included in the HESES population. It will only be considered integral if successful completion of the access provision guarantees seamless continuation on to 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 J.

26. 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 HESES population.

### **Within-course periods of study in vacation time**

27. These are within-course short periods of study which generally take place in the vacation periods and are normally for students to catch up with others on the course. They are usually between 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 J.

28. 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 which includes the short period. However, for data collection purposes, they should be treated as standard academic years.

#### Example

29. 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 academic year. The year of programme of study would only be counted as long if it fitted the criteria to be long, in Annex J.

#### Foundation degree bridging courses

30. 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 they are bridging from. Progression is assured from successful completion of a foundation degree bridging course to the final year of an honours degree. For the purposes of HESES, they are counted as a separate year of programme of study and are 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.

31. Where a student is studying a foundation degree bridging course, the FTE recorded in field 74, STULOAD, on the HESA student record should be increased to reflect this. Where the bridging course spans academic years, the load should all be returned in the second academic year; this may differ from the method used for other non-standard academic years. Institutions should also indicate in field 52, SPPRG, that the student has studied a foundation degree bridging course in the year in which the FTE is increased. It may be that the inclusion of a foundation degree bridging course means that the year of programme of study

becomes non-standard. However, where the year would otherwise have been recorded as a standard academic year, it should still be recorded as such.

#### Example

32. A student completes a foundation degree in June 2004, then undertakes a bridging course from July to September and then joins the final year of a degree which they complete in June 2005.

Field	July 2004	July 2005
QUALAIM	28	21
STULOAD	100	130
TYPEYR	1	1
SPPRG	N/A	08

33. Where a student's only activity during the academic year is a foundation degree bridging course, they should be returned with a value of 61, 'Institutional undergraduate credit which may be counted towards qualifications within codes 01 to 52' in field 41, QUALAIM. (That is, when a student withdraws during or following completion of the course, or where they transfer in from another institution before starting the course.)

34. Where a student undertakes a foundation degree and starts a bridging course in the same academic year, but the bridging course is counted in the next academic year, then field 155, FUNDCOMP, should reflect whether the student completed the foundation degree and will therefore usually be returned with a value of 1. If the bridging course does not continue into the next academic year then field 52, SPPRG, should be coded as 08, and field 155, FUNDCOMP, should reflect whether the student completed the bridging course. Similarly where the student progresses to a degree after completion of the bridging course, FUNDCOMP should reflect the completion status of the year of programme of study of the degree.

# Annex E

## Full-time equivalence for part-time years of programme of study

1. Student load recorded on HESES03 should relate to the years of programme of study being counted. In some cases this may not be consistent with the load returned on the HESA student record. However, it should be consistent with HESA data when summed over the programme of study.

2. The FTE for a part-time course is calculated by comparison with an equivalent full-time course, where such a course exists. If an equivalent full-time course does not exist, a reasonable academic judgement should be made of the load relative to a full-time student. Where such a judgement is made, the methodology should be recorded for audit purposes.

3. Calculation of the FTE can be based on either:

- a. Duration of the course or
- b. Credit points studied.

In both cases, when viewed as a whole, the total FTE for a part-time course should equal the total FTE of the equivalent full-time course. Where method (a) is used, the calculation should be based on the number of years of programme of study. However, where a student is exempt from part of a course, for example as the result of accredited prior learning (APL), the total FTE of the full-time course should be reduced accordingly.

4. The FTE for a foundation degree bridging course, as defined in Annex D, paragraphs 30 and 31, is 0.3.

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

6. Where it is already known that full-time students have changed or will 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. Their FTE should be calculated in the usual way, by comparison with the equivalent full-time course.

### Example 1

7. Duration of the course: a full-time course is studied over three years. The equivalent part-time course is studied over six years, and so would have an FTE of 0.5 in each year.

### Example 2

8. Credit points: a full-time course is studied over three years with 120 credits taken each year. The equivalent part-time course lasts six years. Ninety credits are studied in each of the first three years and 30 credits in each of the final three. The FTE would be 0.75 in each of the first three years and 0.25 in each of the final three.

### Example 3

9. A student with APL enters directly on to the second year of a degree course and completes the final two years of the degree in four years. The final two years of a degree if completed full-time would have a total FTE of 2. Therefore, the total FTE for the student is 2 and the FTE in each year is  $2 \div 4 = 0.5$ .

### Example 4

10. A student who starts off as full-time but is known to be changing 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 on 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 = 0.67 in total for the year of programme of study.

# Annex F

## Residential and funding status

### Home and EC students

1. Students are classified as home and EC if they can be regarded as eligible students as defined in the Schedule of the Education (Fees and Awards) Regulations 1997 (SI 1997 No. 1972), as amended. The Education (Fees and Awards) Regulations can be found on the HMSO web-site –

www.hmso.gov.uk under Legislation/United Kingdom/Statutory Instruments. A list of countries belonging to the EC is on the HEFCE web-site under Questions/HESES FAQs.

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

3. Students from countries joining the EC during the 2003-04 academic year should be returned as 'Island and overseas' in HESES03. We will use HESA data as necessary to derive assumed numbers of students from these countries.

### HEFCE-fundable students

4. Home and EC students are eligible for HEFCE recurrent funds for teaching (HEFCE-fundable) if they satisfy **all** of the following conditions:

- a. They are on courses of recognised HE, as defined in Annex C.
- b. The course is open to any suitably qualified candidate.
- c. The course is not being supported from any other EC public source. Where the fee plus income from a public source is insufficient to cover the HEFCE standard resource, then a proportion of the students on the course can be returned as HEFCE-fundable (see paragraph 6a).

5. Where a student is not subject to the regulated fees and the fee is being paid by a source other than an EC public source, the eligibility for funding does not depend on the level of fee charged.

6. The following students are **not** eligible for HEFCE recurrent funding for teaching (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 EC public source, such as the Department of Health, NHS, or the Home Office. In some cases an EC 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 for the student. In this case, the total funds received in addition to the fees should be used to calculate the number of students which (for funding purposes) are assumed to be fully supported from other EC public sources, with the remaining students being eligible for HEFCE recurrent funding. A template is available on the HEFCE web-site under Questions/HESES FAQs to help determine fundability status in these cases.
- b. Students registered on courses that are not funded through HEFCE recurrent funds for teaching, but whose funding has been separately agreed and notified by us. This includes some prototype foundation degrees (see the description of the fundability status of prototype foundation degrees in paragraphs 7 and 8 below), and courses where we distribute funds on behalf of other government departments.
- c. Students on initial teacher training (ITT) courses which lead to qualified teacher status (QTS); and all students holding QTS who are on an in-service education of teachers (INSET) course. This will include students transferring from courses where funding has been provided by the Teacher Training Agency (TTA) for the whole year.
- d. Students on pre-registration nursing or midwifery degrees and courses (including postgraduate courses) leading to a recognised professional qualification in dietetics, speech and language therapy, chiropody/podiatry, or prosthetics and orthotics.
- e. Students franchised to an institution that is not either:
  - an HEI supported from public funds, or
  - an FEC supported from public funds

except where specific approval has been given. Institutions must ensure that all franchises to any other organisation have been specifically approved by HEFCE before students are returned as HEFCE-fundable on HESES. Institutions should reapply if there is a material change in the arrangement.

- f. 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.

### Foundation degrees

7. Some home and EC students on foundation degrees should be returned as HEFCE-fundable, while others need to be reported as non-fundable. All should be separately identified on Table 6. A more detailed definition of a foundation degree can be found in Annex K, paragraph 13. Foundation degrees which fit the criteria in paragraph 4 above are HEFCE-fundable unless they fit **all** of the following criteria:

- a. They are prototype foundation degree programmes which were awarded development funds in December 2000 and were listed in HEFCE 01/40 'Foundation degrees: report on funded projects', Annex B 'Summaries of prototypes'.
  - b. Their funding has been agreed separately, is in addition to the development funds and is shown in the grant tables in Table B, as issued on 30 July 2003 or as amended, against 'Funding for prototype foundation degree places'.
8. If they fit the criteria in (a) and (b) above, students should be returned as non-fundable. Where the funding provided (as shown in Table B of the grant tables under total recurrent funding for prototype foundation degrees) is insufficient to cover funding for all students, some students should be returned as fundable. There is a template on the HEFCE web-site – under Questions/HESES FAQs – which will calculate the funding associated with the students to help determine how many, if any, of the excess students should be returned as HEFCE-fundable.

### Postgraduate research students

9. Postgraduate research students are returned on both HESES03 and the Research Activity Survey. In their first year (first and second year for part-time students), postgraduate research students who are fundable should be returned as such on HESES03. Fundable postgraduate research students in the second (third for part-time) and subsequent years of programme of study are not funded under our teaching funding method and should therefore be recorded as non-fundable on HESES03. However, these students should continue to be returned as fundable on the HESA record and included on the Research Activity Survey.

10. For the purposes of HESES03, research students cannot retake years. Where a student initially registers for an intermediate qualification such as an MPhil and then converts to a PhD, without being awarded the initial qualification, the year of programme of study should not be reset.

### Determining the number of students supported from other EC public funds

11. 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. Standard resource is explained in paragraphs 23-25 below. Note that, in the examples, the assumed fee per FTE for part-time undergraduates is £830.

12. There is an Excel template on the HEFCE web-site under Questions/HESES FAQs, which will calculate the number of students who are non-fundable in individual cases.

#### Example 1

13. There are 10 full-time undergraduate students supported by £11,250 from a public source. The students are not charged a fee and there is no other income. The assumed fees are £1,125 per student, so the public money only covers the fees and all students are fundable.

### Example 2

14. There are 10 full-time undergraduates, all in price group C. The fees for each year are £1,125 paid by either the Student Loans Company (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. The standard funding per student is the standard resource ( $1.5 \times £2,808 = £4,212$ ) – assumed fee (£1,125) = £3,087. There is £10,000 additional public money ( $10 \times £1,000$ ). Therefore four students ( $£10,000 \div £3,087 = 3.2$ ) are non-fundable, and the remaining six are fundable.

### Example 3

15. 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. The assumed fee for each student is  $0.5 \times £830 = £415$ . There is £315 ( $£415 - £100$ ) per student in tuition fees to make up using the public money, which uses  $50 \times £315 = £15,750$ . This leaves £14,250 of the public money. The standard funding per student is the standard resource ( $0.5 \times 1.5 \times £2,808 = £2,106$ ) – assumed fee (£415) = £1,691. Therefore nine students ( $£14,250 \div £1,691 = 8.4$ ) are non-fundable, and 41 are fundable.

### Example 4

16. As in example 3, but the fees are £500 a year all paid by the student. Each student pays a tuition fee which is greater than 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 is £1,691. Therefore 18 students ( $£30,000 \div £1,691 = 17.7$ ) are non-fundable, and 32 are fundable.

### Example 5

17. There are 10 full-time postgraduate students entirely in price group C. The fees for the year are £3,000; a public body pays half of the fee and the student pays the other half. The assumed fees are £2,940, which leaves £60 ( $£3,000 - £2,940$ ) of

public money per student. The standard funding per student is the standard resource ( $1.5 \times £2,808 = £4,212$ ) – assumed fee (£2,940) = £1,272. There is £600 additional public money ( $10 \times £60$ ). Therefore one student ( $£600 \div £1,272 = 0.5$ ) is non-fundable, and the remaining nine are fundable.

## HEFCE-funded and independently-funded students

18. All fundable students should be recorded as HEFCE-funded, unless the institution receives enough resources from other sources (other than EC public sources), for the year of programme of study, to cover the HEFCE standard resource for their provision. In such cases the institution may choose to record the student as independently-funded. Independently-funded students are not included in our resource calculations but may count towards student number targets.

### Example 1

19. There are 20 HEFCE-fundable full-time postgraduate students, in price group C. Each student pays £4,500 tuition fees. The standard resource is ( $1.5 \times £2,808$ ) = £4,212. 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 2

20. 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  $0.6 \times £2,808 = £1,684.80$ , which leaves £1,315.20 per student. The standard funding per student is the standard resource ( $0.6 \times 2 \times £2,808$ ) – assumed fee (£1,684.80) = £1,684.80. There is  $20 \times £1,315.20 = £26,304$  remaining from the fees paid by the students. Therefore, the college can choose to return up to 15 students ( $£26,304 \div £1,684.80 = 15.6$ ) as independently-funded, with the remaining students returned as HEFCE-funded.



## HEFCE non-fundable students

21. These are students who are home and EC, as defined in paragraphs 1-3, but whose place is not considered eligible for recurrent funding for teaching as defined in paragraphs 4-12 above.

## Island and overseas students

22. All students who fall outside the definition of home and EC in paragraphs 1-3 should be recorded as 'Island and overseas'. This will include students usually resident in the Channel Islands and Isle of Man, and those students from countries expected to join the EC in the 2003-04 academic year.

## Calculation of standard resource

23. If a student attracts a premium under the teaching funding method, the standard resource should be increased to reflect this. We notified institutions of these premiums in Table F of their funding agreement. For the current year, 2003-04, there is one student-related premium (long courses), and five institution-related premiums (London weighting, pensions, and variable premiums for specialist institutions, small institutions, and old and historic buildings). The total weighted student FTE is the sum of the subject-weighted FTE and the additional FTE from all premiums. Examples of the calculations are given in paragraphs 26-29 below.

Factor	Premium	Applied to
Long course (not price group A)	25%	Subject-weighted FTE
London (inner)	8%	Subject-weighted FTE
London (outer)	5%	Subject-weighted FTE
Pensions	1.5%	Subject-weighted FTE
Specialist institutions	Variable	Subject-weighted FTE
Small institutions	Variable	Unweighted FTE
Old and historic buildings	Variable	Unweighted FTE

24. The subject weights are shown below.

Price group	Subject weight
A (Clinical)	4.5
B (Laboratory-based science, engineering and technology)	2.0
C (Other high cost subjects with a studio, laboratory or fieldwork element)	1.5
D (All other subjects)	1.0
Psychology*	1.0 or 2.0
Media studies*	1.0, 1.5 or 2.0

\* Proportions in each subject weight are notified in Table F of the funding agreement for each institution.

25. The 2003-04 standard resource for a student is calculated by multiplying the total weighted FTE by £2,808 (the base level of resource for price group D).

### Example 1

26. The standard resource for a part-time student (0.4 FTE) in price group C is £1,684.80:

Subject weight	0.4 x 1.5	= 0.60
Resource		= 0.60 x £2,808
		= £1,684.80

### Example 2

27. The standard resource for a part-time student (0.3 FTE) on a long course in price group C is £1,579.50:

Subject weight	0.3 x 1.5	= 0.4500
Long course premium	0.3 x 1.5 x 25%	= 0.1125
Resource		= 0.5625 x £2,808
		= £1,579.50

### Example 3

28. The standard resource per FTE in price group B for a student at an institution receiving the inner London premium is £6,065.28:

Subject weight	$1.0 \times 2.0$	$= 2.00$
Inner London premium	$1.0 \times 2.0 \times 8\%$	$= 0.16$
Resource		$= 2.16 \times \text{£}2,808$ $= \text{£}6,065.28$

### Example 4

29. The standard resource of a full-time student who undertakes 60 per cent of their work in price group B and 40 per cent in price group D is £4,492.80:

Subject weight (price group B)	$1.0 \times 60\% \times 2.0$	$= 1.20$
Subject weight (price group D)	$1.0 \times 40\% \times 1.0$	$= 0.40$
Resource		$= 1.6 \times \text{£}2,808$ $= \text{£}4,492.80$

# Annex G

## Price groups

1. Price groups are defined in terms of academic cost centres. Full details of how to assign departments to cost centres are in the forthcoming circular letter 'Assigning departments to academic cost centres: 2003-04'.

Cost centre	Price group(s)	Cost centre	Price group(s)
01 Clinical medicine	A, B	22 Other technologies	Not used
02 Clinical dentistry	A, B	23 Architecture, built environment and planning	C
03 Veterinary science	A	24 Mathematics	C
04 Anatomy and physiology	B	25 Information technology and systems sciences	C
05 Nursing and paramedical studies	C	26 Catering and hospitality management	C
06 Health and community studies	C	27 Business and management studies	D
07 Psychology and behavioural sciences	Psychology	28 Geography	C
08 Pharmacy	B	29 Social studies	D
09 Pharmacology	B	30 Librarianship, communication and media studies	Media studies
10 Biosciences	B	31 Language based studies	D
11 Chemistry	B	32 Humanities	D
12 Physics	B	33 Design and creative arts	C
13 Agriculture and forestry	B	34 Education	C, D
14 Earth, marine and environmental sciences	B	35 French, Spanish and German modern languages	C
15 General sciences	Not used	36 Other modern languages	C
16 General engineering	B	37 Archaeology	C
17 Chemical engineering	B	38 Sports science and leisure studies	C, D
18 Mineral, metallurgy and materials engineering	B	39 Computer software engineering	B
19 Civil engineering	B	41 Continuing education	D
20 Electrical, electronic and computer engineering	B	99 Outside reporting institution	D
21 Mechanical, aero and production engineering	B		

Price group	Cost centres
A	01*, 02*, 03
B	01*, 02*, 04, 08, 09, 10, 11, 12, 13, 14, 16, 17, 18, 19, 20, 21, 39
C	05, 06, 23, 24, 25, 26, 28, 33, 34*, 35, 36, 37, 38*
D	27, 29, 31, 32, 34*, 38*, 41, 99
Psychology	07
Media studies	30
ITT (QTS)	Courses of ITT leading to QTS (TTCID=1) <sup>1</sup>
INSET (QTS)	Courses for teachers (TTCID=3), where the student has QTS

\* For definitions see below.

<sup>1</sup> Teacher training course identifier on the HESA student record



## **Cost centres in more than one price group**

### **Clinical medicine and clinical dentistry – cost centres 01 and 02**

2. Undergraduate years of programme of study recorded in price group A must be generated by clinical medical or clinical dental students. Years of programme of study for clinical medical or clinical dental undergraduate students should be entirely attributed to price group A, irrespective of any activity in academic cost centres. All other undergraduate load in cost centres 01 and 02 should be returned in price group B.

3. An undergraduate clinical medical student is any student on the final three years of a first registrable medical qualification taken:

- a. After the pre-clinical part of the course.
- b. After a free-standing pre-clinical course.
- c. As part of an integrated pre-clinical and clinical course.

4. An undergraduate clinical dental student is any student on the final four years of a first registrable dental qualification taken:

- a. After the pre-clinical part of the course.
- b. After a free-standing pre-clinical course.
- c. As part of an integrated pre-clinical and clinical course.

5. In order to be included in price group A, clinical medical and clinical dental postgraduate taught students must also be on courses which meet the following three criteria:

- a. The course bears very high costs comparable to the clinical unit of resource.
- b. A substantial proportion of the staff teaching time contributed to the course is provided by medically or dentally qualified university-funded clinical academic staff, who hold honorary contracts with the NHS. This includes general practitioners.
- c. The course is normally taught in a clinical environment.

6. For research students to be included in price group A, the focus of their research must be in a clinical environment and the lead supervisor should be a clinical academic.

7. Where, and only where, a postgraduate course meets the criteria set out above, the subject of qualification aim should be coded as clinical (A3 or A4) on the HESA student record.

8. All other postgraduate activity in cost centres 01 and 02 should be recorded in price group B.

### **Education – cost centre 34, ITT and INSET courses**

9. Students on ITT (QTS) courses should be entirely attributed to the ITT (QTS) price group, irrespective of any provision in academic cost centres. Students on ITT courses that do not lead to QTS, such as postgraduate certificates in education (PGCEs) for the post-compulsory education sector (TTCID=2), should be entirely attributed to price group C, irrespective of any provision in academic cost centres.

10. Students holding QTS on INSET courses should be entirely attributed to the INSET (QTS) price group, irrespective of any provision in academic cost centres and whether or not the TTA is funding the course. Students on INSET courses who do not hold QTS should be attributed to price groups in the same way as other students. 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.

11. All other activity in cost centre 34 that is not ITT or INSET should be returned in price group D.

### **Sports science and leisure studies – cost centre 38**

12. Departments of sports-related subjects – including sports science, sport and exercise sciences, sports and leisure studies, sports and leisure management, and physical recreation (non-QTS) – should be allocated to price group C where there is significant use of well-equipped sports science laboratories and/or sports facilities. A detailed definition of the threshold criteria can be found in HEFCE Circular Letter 38/98, 'Allocation of

education and sports-related provision to price bands'. All other sports-related departments should be returned in price group D.

## **Veterinary science**

13. All, and only, veterinary science provision which leads to eligibility to register to practise as a veterinary surgeon should be entirely attributed to price group A, irrespective of any activity in academic cost centres.

## **Allocation of years of programme of study to price groups**

14. Years of programme of study are split between cost centres, based on either the cost centres in the module portion of a student/module return made to HESA, or the cost centre information in fields 100 to 147 of a combined record. In either case this is referred to as the module portion.

15. Except where noted in paragraphs 2-13 above, years of programme of study should be allocated to price groups according to the mix of cost centres in which activity takes place. Student load is allocated to cost centres according to the cost centre of the member of staff teaching the module or supervising the activity. This will be described by the module portion in the HESA student record. Where the activity for a year of programme of study falls into more than one cost centre, and these cost centres do not fall entirely within one price group, the year should be split among the price groups according to the weights attached to the modules. Up to two decimal places may be used for this apportionment.

16. Where students are franchised-out for all or part of their provision, they should be returned in an academically cognate cost centre(s). For example, if an engineering student is taught business studies under a franchise arrangement, then the portion franchised-out should be returned under business and management studies. The provision franchised-out may not be naturally attributable to a cost centre in which the institution is usually active. In this case institutions should create a virtual cost centre in which this activity and its related expenditure are returned. If institutions return such activity using cost centre 99 on the

HESA record it will be treated as if it falls into price group D.

17. Institutions should ensure that where a student's provision does not fall entirely within a single cost centre and subject pairing, this is clearly identified on the HESA student record. The HESA student record links subjects and cost centres to students – either through the subjects and cost centres associated with the modules attached to the student, or through a sequence of cost centre subject pairs where a combined record is submitted. In January 2004 we will compare the load returned to cost centres with both:

- the load returned on HESES and
- the HESA subject of study.

### **Example 1**

18. An engineering student studies engineering in the engineering department and also studies some management in the business and management department. The cost centre of each department along with the subject studied is separately identified on the HESA student record. For HESES purposes this would be returned in price groups B and D.

### **Example 2**

19. An engineering student studies engineering in the engineering department and also studies some management in the engineering department. The engineering department is split between two cost centres, one for its engineering provision, one for its management provision. Each cost centre and subject studied is identified separately on the HESA student record. For HESES purposes this would be returned in price groups B and D.

### **Example 3**

20. An engineering student studies engineering in the engineering department and also studies some management in the engineering department. The department has only one cost centre as the management provision represents a very small proportion of its activity. Both subjects studied are identified separately on the HESA student record. For HESES purposes this would all be returned in price group B.

# Annex H

## Mode of study

### Full-time and sandwich

1. A year of programme of study is counted as full-time and sandwich if it meets the following criteria:

- a. The student is normally required to attend the institution, 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 or work experience which amount to an average of at least 21 hours per week.
- b. A full-time fee is chargeable for the course for the year. These include:
  - i. Regulated £1,125 for undergraduates, and students registered for a PGCE.
  - ii. Regulated £550 for undergraduates on courses provided in conjunction with overseas institutions that are not SOCRATES/ERASMUS exchanges, where study at the institution is for less than 10 weeks.
  - iii. Regulated £0 (nil) for undergraduates who are on full-year outgoing SOCRATES/ERASMUS exchanges.

In some individual cases all or part of the fee may be waived.

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

### Full-time sandwich year-out

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

- a. The course falls within the definition of sandwich in Regulation 5(2) of the Education (Student Support) (No. 2) Regulations 2002 (SI 2002 No. 3200). (This includes language year abroad courses where the year abroad is spent working.)
- b. The fees are either those described in paragraphs (c) or (f) of Regulation 11(1) of the above

regulations, or approximately half of the full-time fees that would be chargeable if the student were full-time.

### Part-time

4. A year of programme of study is counted as part-time if it does not meet the requirements to be either full-time or full-time sandwich year-out.

5. 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.

6. 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. In this case the student's activity would be recorded as 'other full-time' in year two on the HESA record.

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

7. Where it is already known that full-time students have changed or will 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. Their FTE should be calculated in the usual way, by comparison with the equivalent full-time course.

8. For example, a student who starts off as full-time but is known to be changing 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 on 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 = 0.67 in total for the year of programme of study. More guidance on assigning student load for part-time years of programme of study can be found in Annex E.

# Annex I

## Level of study

### Undergraduate

1. Undergraduates are students studying towards a first degree (including foundation degree), HE certificate or diploma, or equivalent; or students registered for an institutional credit that can be counted towards one of these qualifications.

2. Table 5 collects data on undergraduates who are aiming for a qualification below degree level, such as those aiming for an HND, HNC, DipHE or CertEd. Table 6 collects data on undergraduates who are aiming for a foundation degree or are on a foundation degree bridging course. The undergraduate data on Table 7 are split between:

- students on courses below undergraduate degree level, plus those on foundation degrees and foundation degree bridging courses
- students on an undergraduate degree (not including foundation degrees and foundation degree bridging courses).

3. Where a student registers for credits (including Ufi courses) without stating a qualification aim, and where those credits may count towards either a degree or a qualification below degree level, they should be counted as below degree level.

### Postgraduate

4. Postgraduate students are registered for courses or credits where a normal condition of entry is that entrants are already qualified to degree level, that is already qualified at level H of the Quality Assurance Agency for Higher Education (QAA) national qualifications framework. There are two groups: research and taught.

a. Postgraduate research students are students whose qualification aim is a research-based higher degree. In accord with normal practice in the English higher education sector, a higher degree by research should be awarded primarily on the basis of a substantial thesis (or equivalent) submitted by the student and resulting from the student's original research. Regulations on the appointment of examiners for the degree should stipulate that the student's work is examined by at least two examiners appointed individually for the student, one of

whom is an external examiner. An exception is allowed for departments that were highly rated in the 2001 Research Assessment Exercise, where it may be that the two best-qualified examiners are both internal. This definition is the same as that used in the Research Activity Survey.

b. Postgraduate taught students are those who are postgraduates but do not meet the requirements to be a research student.

# Annex J

## Long years of programme of study

1. For full-time courses, the year of programme of study will be classified as 'long' if:
  - a. Students are normally required to attend for 45 weeks or more within that year, or
  - b. The year of programme of study includes a within-course short period of study, awarded as a summer school through an additional student numbers bidding exercise.
2. When determining length, students are deemed to be attending the institution if they are actively pursuing full-time studies towards the qualification aim. Years of programme of study that are not long are referred to as standard length.
3. 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.
4. 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 to determining if 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.
5. For undergraduate students, long courses will typically be accelerated programmes where the qualification aim is achieved in a much shorter period than is normal for that qualification aim.
6. For postgraduate students, most long courses will be for higher degrees.

### Example 1

7. 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 2

8. A student completes a two-year full-time foundation degree, and 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 stand-alone part-time course. The FTE would be 1, 1, 0.3 and 1 respectively.

## Mixed length courses

9. 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 load 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 1

10. 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.

### Example 2

11. A two-year full-time course has year one long and year two standard length. The equivalent part-time course lasts two and a half years. If the FTE is 0.8, 0.8 and 0.4 respectively in each year, then the second principle in paragraph 9 above means that 50 per cent of the FTE should be recorded as long. This can be achieved by recording all first year load as long, and half of the final year as long, with the remaining year recorded as standard length.



# Annex K

## Table descriptions

### Tables 1a, 2 and 3 – Counts of years of programme of study and student load

1. Tables 1a, 2 and 3 correspond to the three modes of study defined in Annex H. These tables are mutually exclusive, and taken together should sum to the total number of years of programme of study countable for the academic year.

### Table 1b – Medical and dental student counts

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

3. Years of programme of study should be classified according to which year of the course they are. Intercalated years should not be returned on this table and should be disregarded when determining the year of programme of study of a medical or dental course. Where a student studies for an integrated first degree and first registrable medical or dental qualification, the study towards the first degree should be treated as falling entirely in the pre-clinical years.

4. Pre-clinical medicine: all years of programme of study that are not classified as clinical medicine and are not an intercalated year.

5. Clinical medicine: the final three years of programme of study of a course leading to a first registrable medical qualification.

6. Pre-clinical dentistry: all years of programme of study that are not classified as clinical dentistry and are not an intercalated year.

7. Clinical dentistry: the final four years of programme of study of a course leading to a first registrable dental qualification.

8. The treatment of medical and dental students on HESES does not necessarily reflect how the programme is delivered.

### Table 4 – Home and EC fees

9. The data returned in Table 4 must match the home and EC data returned in Columns 1 and 2 of Tables 1a, 2 and 3. Table 4 contains the number of years of programme of study for all modes, split between those countable on or before 1 December 2003, and those expected to become countable between 2 December 2003 and 31 July 2004, for home and EC students only. Island and overseas students should **not** be returned on Table 4.

### Table 5 – Counts of years of programme of study for provision leading to qualifications below degree level

10. The data returned in Table 5 are a subset of the undergraduate data collected in Columns 1 and 2 of Tables 1a, 2 and 3. Table 5 contains the number of years of programme of study for all modes, split between those countable on or before 1 December 2003, and those expected to become countable between 2 December 2003 and 31 July 2004, for provision for qualifications below degree level. Foundation degrees and foundation degree bridging courses should not be returned in this table, but in Table 6.

11. Provision below degree level includes HND, HNC, DipHE and CertEd courses. Where a student registers for credits (including Ufi courses) without stating a qualification aim, and where those credits may count towards either a degree or a qualification below degree level, they should be counted on this table.

### Table 6 – Counts of years of programme of study and student load for foundation degrees and foundation degree bridging courses

12. The counts of years of programme of study returned in Table 6 are a subset of the undergraduate data collected in Columns 1, 2 and 5 of Tables 1a and 3. Table 6 contains the number of years of programme of study for all modes and load for part-time students, split between those countable on or before 1 December 2003, and those

expected to become countable between 2 December 2003 and 31 July 2004, for students on foundation degrees and foundation degree bridging courses.

13. Students should only be recorded with a qualification aim of a prototype or non-prototype foundation degree if they are on a two-year full-time HE course, or the part-time equivalent, which has been validated by an HEI as a 'foundation degree'. Institutions are expected to have incorporated the core features set out in the foundation degree prospectus, HEFCE 00/27. Prototype foundation degrees are those programmes which were awarded development funds in December 2000 and are listed in Annex B of HEFCE 01/40. All other foundation degrees should be returned as non-prototype. See Annex F, paragraphs 7 and 8, for information about the fundability status of foundation degrees.

14. Students should only be recorded against a bridging course if they aim to complete a foundation degree bridging course that is countable for 2003-04. Foundation degree bridging courses are taken after completing a foundation degree to enable students to join the final year of an honours degree. A description of foundation degree bridging courses is in Annex D, paragraphs 30 and 31.

**Table 7 – Counts of years of programme of study split between home and others entitled to pay home and EC fees (both HEFCE-fundable and non-fundable)**

15. The counts of years of programme of study in Table 7 are the same as those collected in Columns 1, 2 and 5 of Tables 1a, 2 and 3. Table 7 contains the number of years of programme of study for all modes, split between home students and other students entitled to pay home and EC fees. Home students are defined by the DOMICILE field on the HESA student record (that is, codes 5826, 6826, 7826 and 8826 for England, Wales, Scotland and Northern Ireland respectively). The data for EC students, when added to the home data, should give the totals of all home and EC students returned in Columns 1, 2 and 5 of Tables 1a, 2 and 3. Both HEFCE-fundable and non-fundable data are required in this table, but not island and overseas data.

16. The levels of qualification are grouped differently in this table than in the others. Students on foundation degrees and foundation degree bridging courses should be included in 'below UG degree level', not in 'UG degree'.

# Annex L

## Description of columns in tables

1. All numbers returned on all tables should be counts of years of programme of study **apart** from where FTEs are required (in Column 4a on Table 3 and where explicitly identified on Table 6).

### Tables 1a, 1b, 2 and 3 – Counts of years of programme of study and student load

2. Column 1: Number of years of programme of study countable between 1 August 2003 and 1 December 2003 inclusive. If a year of programme of study has been classified as a non-completion, as defined in Annex D, on or before 1 December 2003, it should not be returned.

3. Column 2: Number of years of programme of study expected to become countable between 2 December 2003 and 31 July 2004 inclusive. Guidance on when years of programme of study become countable is given in Annex D.

4. Column 3: Number of years of programme of study which students will fail to complete after 1 December 2003. This is an estimate of the number of years of programme of study that have been returned in Columns 1 and 2 but will not be completed – according to the definition given in Annex D. Numbers of non-completions should be entered as negative values in the workbook. Institutions should ensure that these estimates are supported by historical data. See Annex R for details about common errors made in the estimation of non-completions, discovered as part of our audit of HESES02.

5. Column 4: Overall assumed completed years of programme of study 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 years of programme of study which will be undertaken and completed in the academic year.

6. Column 4a (Table 3 only): Assumed load for the academic year. This is the sum of the FTE for the years of programme of study returned in Column 4.

7. Column 5: Number of new entrants. This is all years of programme of study returned in Columns 1 and 2 which are the first year of a course. A definition of new entrants is included in Annex D.

8. Column 6: Number of years of programme of study returned in Columns 1 and 2 for home and EC fundable students who are wholly or partially franchised-out, or who are part of a HEFCE-recognised funding consortium where the institution is the lead institution (see Annex B), broken down by the type of institution involved in the arrangement. Students should only be recorded as franchised-out to 'Other inst' where we have given approval for the franchising arrangement for the specific programme of study. The student count, and not the proportion of the year of study franchised, should be returned where the student is partially franchised-out.

9. When determining whether a student is wholly or partially 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, which is franchised-out for the whole of the first year only, would be returned as wholly franchised-out for the first year and not included in the franchised-out column in the second year. A student on a two-year course who is franchised-out for six months in each of the two years would be returned as partially franchised-out in each of the two years.

10. The number of countable years returned for students who are part of a consortium should only be for HEFCE-recognised funding consortia, defined in Annex B, paragraphs 14 and 15. All other collaborative arrangements should be returned as franchises.

### Table 4 – Home and EC student fees

11. Table 4 collects information about tuition fees for home and EC students included within Columns 1 and 2 of Tables 1a, 2 and 3. 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 for fees payable by the SLC, should still be returned against the appropriate regulated fees category. Students on pre-registration courses for which an NHS bursary may be payable, those on outgoing SOCRATES/ERASMUS full-year exchanges, and students on foundation degree bridging courses, should be identified separately.



12. Regulated fees are those defined in Regulation 11 of the Education (Student Support) (No. 2) Regulations 2002 (SI 2002 No. 3200). They can be found on the HMSO web-site – [www.hmso.gov.uk](http://www.hmso.gov.uk), under Legislation/United Kingdom/Statutory Instruments. In general, the fees are:

- a. Regulated £1,125 – full-time and sandwich undergraduate courses (where the student is not on their year-out) and full-time PGCE courses.
- b. Regulated £550 – undergraduates following full-time and sandwich courses who are on their sandwich year-out, students on a non-SOCRATES/ERASMUS study-related year abroad, and part-time ITT courses.
- c. Regulated £0 (nil) – outgoing SOCRATES/ERASMUS full-year exchange students only.

Also identified separately on Table 4:

- d. NHS bursaried courses – students on pre-registration courses for which an NHS bursary may be payable.
- e. Foundation degree bridging courses – students on a foundation degree bridging course.

13. Years of programme of study should be returned under the fee level 'Non-regulated' where the course the student is studying for is not designated under Regulation 5 of the Education (Student Support) Regulations.

### **Part-time or postgraduate students subject to regulated fees**

14. The only part-time students who should be recorded as being subject to regulated fees are those:

- a. On part-time ITT courses, such as first degrees leading to QTS, PGCEs and CertEds.
- b. Attending the final year of a designated course which is ordinarily completed in less than 15 weeks.
- c. Attending the final year of a designated course which is ordinarily completed in 15 weeks or more but less than 24 weeks.

In cases b and c, the students should be recorded as subject to regulated £550 fees and regulated £1,125 fees respectively.

15. Part VIII of the Education (Student Support) (No. 2) Regulations 2002 makes provision for the support of students attending 'designated part-time courses' of HE, through a £500 loan. Students on such part-time courses should still be returned under 'non-regulated' fees, as these courses are not explicitly designated under Regulation 5.

16. The only postgraduate students who should be recorded as being subject to regulated fees are those:

- a. On a full-time or part-time PGCE. Such students should be recorded as subject to the regulated £1,125 or regulated £550 fees, respectively.
- b. On a full-time course in preparation for a professional examination at postgraduate level, for which a first degree is not a normal requirement for entry. This applies to students on a course leading successively to Parts 1 and 2 of the Royal Institute of British Architects examination, for whom undergraduate level fees are payable. Such students should be recorded as subject to regulated £1,125 fees.

17. Column 1: Number of years of programme of study for home and EC students countable between 1 August 2003 and 1 December 2003 inclusive. The column is broken down by mode of study as defined in Annex H.

18. Column 2: Forecast of number of years of programme of study for home and EC students expected to become countable between 2 December 2003 and 31 July 2004 inclusive. The column is broken down by mode of study as defined in Annex H.

### **Table 5 – Counts of years of programme of study for provision leading to qualifications below degree level**

19. Only counts of years of programme of study which are for provision leading to qualifications below degree level should be recorded here. These are described in more detail below. Foundation degrees and foundation degree bridging courses should be recorded in Table 6, not Table 5.

20. Qualifications below degree level include HNDs, HNCs, DipHEs and CertEds. HNDs and HNCs should be returned against the appropriate

row on the table. All other qualifications below degree level should be included in 'Other'. Apart from DipHEs and CertEds, 'Other' qualifications below degree level will include institutional credits and professional qualifications.

21. Column 1: Number of years of programme of study countable between 1 August 2003 and 1 December 2003 inclusive. This is a subset of the undergraduate data included in Column 1 of Tables 1a, 2 and 3. The column is broken down by mode of study as defined in Annex H.

22. Column 2: Forecast of number of years of programme of study expected to become countable between 2 December 2003 and 31 July 2004 inclusive. This is a subset of the undergraduate data included in Column 2 of Tables 1a, 2 and 3. The column is broken down by mode of study as defined in Annex H.

**Table 6 – Counts of years of programme of study and student load for foundation degrees and foundation degree bridging courses**

23. Only counts of years of programme of study and student load which are for provision leading to a foundation degree or foundation degree bridging course should be recorded here. These are explained in more detail below.

**Foundation degrees**

24. Foundation degrees are split into prototype and non-prototype foundation degrees. Prototype foundation degrees are programmes which were awarded development funds in December 2000 and are listed in Annex B of HEFCE 01/40. Details of the fundability status of prototype and non-prototype foundation degrees can be found in Annex F, paragraphs 7 and 8.

**Foundation degree bridging courses**

25. Foundation degree bridging courses are part-time stand-alone courses which are taken after a foundation degree is completed, in order to proceed on to the third year of an honours degree course. See Annex D, paragraphs 30 and 31.

26. Column 1: Number of full-time and sandwich and part-time years of programme of study and part-time student load countable between 1 August

2003 and 31 July 2004 inclusive. The years of programme of study are a subset of the undergraduate data included in Columns 1 and 2 of Tables 1a and 3.

27. Column 2: Number of full-time and sandwich and part-time years of programme of study and part-time student load of new entrants, defined as those who are on the first year of a course (see Annex D). These are subsets of the years of programme of study and student load returned in Column 1 of this table. The years of programme of study are also a subset of those of the undergraduate new entrants included in Column 5 of Tables 1a and 3.

28. The student load should reflect the total student load for the years of programme of study in this table, even where the student does not complete all of the year; that is, it should not be reduced to reflect non-completions. This differs from the student loads returned in Column 4a of Table 3.

**Table 7 – Counts of years of programme of study split between home and others entitled to pay home and EC fees (both HEFCE-fundable and non-fundable)**

29. Column 1: Years of programme of study countable between 1 August 2003 and 31 July 2004 inclusive (both HEFCE-fundable and non-fundable). These data are split by mode, then between home students and others entitled to pay home and EC fees. A definition of home students is in Annex K, paragraph 15. In total these data are the same as the home and EC data returned in Columns 1 and 2 of Tables 1a, 2 and 3.

30. Column 2: New entrants included in Column 1 of this table, defined as those who are on the first year of a course (see Annex D). These data are split by mode, then between home students and others entitled to pay home and EC fees. In total these data are the same as the home and EC data returned in Column 5 of Tables 1a, 2 and 3.

31. The levels of qualification are grouped differently in this table than in the others; namely, those on foundation degrees and foundation degree bridging courses should be included in 'below UG degree level', not in 'UG degree'.

# Annex M

## Links between HESA and HESES data

1. It is not possible to derive all HESES data directly from the HESA student record. The most recent mapping can be found in Annex C of HEFCE 2003/39 'Guide to the HESES02 re-creation web facility'. We do not anticipate changing this mapping substantially for comparisons with HESES03. However, as a result of a change introduced for HESES03, a number of minor amendments detailed below will be made.

2. In re-creating HESES03 for monitoring purposes for institutions that are the lead of a HEFCE-recognised funding consortium, we will source information for students registered at FECs from the LSC's ILR. The most recent mapping from ILR to HEIFES data is contained in Annex M of

HEIFES02 (HEFCE 2002/41). Details of changes to this mapping are included in HEIFES03 (HEFCE 2003/45).

### Updates to the mapping since HEFCE 2003/39

#### Dates

3. With the exception of references to 1998, when linking data between years all date-based calculations detailed in HEFCE 2003/39 will be rolled forward by one calendar year.

#### PRGA and PRGB

4. Clinical medicine, dentistry and veterinary science will be assigned to price groups as follows:

Field	Value	Description	Definition
PRGA	1	Clinical medicine	FUNDLEV = 10, 11 and QUALAIM = 18 and REGBODY = 01, 02 and CRSELGTH – YEARPRG = 0, 1, 2
PRGA	1	Clinical dentistry	FUNDLEV = 10, 11 and QUALAIM = 18 and REGBODY = 01, 02 and CRSELGTH – YEARPRG = 0, 1, 2, 3
PRGA	1	Veterinary science	QUALAIM = 18 and REGBODY = 14

# Annex N

## Validation checks

1. A number of validation checks are built into the Excel workbook. Validation cells above each column in each table in the workbook return **Validation: OK** if the data have passed validation. If data in a table fail validation, a message describing the error will be displayed below the table and the value(s) in the cell(s) causing the error(s) will turn red.

### Tables 1a, 1b, 2 and 3

2. For each column, the total for each level (excluding the ITT (QTS) and INSET (QTS) price groups) must be a whole number (except for Column 4a on Table 3).

3. For each column, the ITT (QTS) and INSET (QTS) cells, where present, must contain whole numbers (except for Column 4a on Table 3).

4. For all cells except cells in Column 3, the value  $\geq 0$ .

5. For all cells, Column 3  $\leq 0$ .

6. For each row, Column 5  $\leq$  Columns 1 + 2.

7. For Tables 1a, 2 and 3 only – for each row, Column 6  $\leq$  Column 1 ((a) + (b)) + Column 2 ((a) + (b)).

8. For Table 3 only – for each row, Column 4a  $\leq$  Column 4.

9. For Table 3 only – for each row, Column 4a  $\div$  Column 4  $\geq 0.03$ .

10. For Table 1b only, all columns (clinical medicine + clinical dentistry)  $\leq$  Columns 1 to 5 (price group A, undergraduate) on Table 1a.

11. For all cells, the value entered must be to no more than two decimal places.

### Table 4

12. Each cell must contain a whole number.

13. For each level, excluding the ITT (QTS) price group, the total should equal the total in Tables 1a, 2 or 3 as follows:

Table 4		Table 1a
Column 1 (a)(i)	=	Column 1 (a) + (b)
Column 1 (a)(ii)	=	Column 1 (c)
Column 2 (a)(i)	=	Column 2 (a) + (b)
Column 2 (a)(ii)	=	Column 2 (c)

		Table 2
Column 1 (b)(i)	=	Column 1 (a) + (b)
Column 1 (b)(ii)	=	Column 1 (c)
Column 2 (b)(i)	=	Column 2 (a) + (b)
Column 2 (b)(ii)	=	Column 2 (c)

		Table 3
Column 1 (c)(i)	=	Column 1 (a) + (b)
Column 1 (c)(ii)	=	Column 1 (c)
Column 2 (c)(i)	=	Column 2 (a) + (b)
Column 2 (c)(ii)	=	Column 2 (c)

14. For each level, for the ITT (QTS) price group, the total should equal the total in Tables 1a or 3 as follows:

Table 4		Table 1a
Column 1 (a)(ii)	=	Column 1 (c)
Column 2 (a)(ii)	=	Column 2 (c)
		Table 3
Column 1 (c)(ii)	=	Column 1 (c)
Column 2 (c)(ii)	=	Column 2 (c)

### Table 5

15. For each column, the total for each qualification aim (excluding the INSET (QTS) price group) must be a whole number.

16. For each column, the cells in the INSET (QTS) price group must contain whole numbers.

17. For each column and price group, the total should be less than or equal to the total for undergraduate level (standard length + long length) in Tables 1a, 2 or 3 as follows:

Table 5	Table 1a
Column 1(a) – (i), (ii), (iii), (iv) ≤	Column 1 – (a), (b), (c), (d)
Column 2(a) – (i), (ii), (iii), (iv) ≤	Column 2 – (a), (b), (c), (d)
Table 2	
Column 1(b) – (i), (ii), (iii), (iv) ≤	Column 1 – (a), (b), (c), (d)
Column 2(b) – (i), (ii), (iii), (iv) ≤	Column 2 – (a), (b), (c), (d)
Table 3	
Column 1(c) – (i), (ii), (iii), (iv) ≤	Column 1 – (a), (b), (c), (d)
Column 2(c) – (i), (ii), (iii), (iv) ≤	Column 2 – (a), (b), (c), (d)

18. For all cells, the value entered must be to no more than two decimal places.

19. For all cells, the value  $\geq 0$ .

20. For each column, the combined total by price group of the corresponding cells in Tables 5 and 6 should be less than or equal to the equivalent cells in Tables 1a or 3 as follows:

Tables 5+6	Table 1a
Table 5, Column 1(a) – (i)+(ii), (iii), (iv) plus Column 2(a) – (i)+(ii), (iii), (iv) plus Table 6	Column 1 – (a)+(b), (c), (d) plus Column 2 – (a)+(b), (c), (d)
Column 1(a) – (i), (ii), (iii)	
Table 3	
Table 5, Column 1(c) – (i)+(ii), (iii), (iv) plus Column 2(c) – (i)+(ii), (iii), (iv) plus Table 6	Column 1 – (a)+(b), (c), (d) plus Column 2 – (a)+(b), (c), (d)
Column 1(b) – (i), (ii), (iii) (student numbers only)	

#### Table 6

21. For each column and level, the total must be a whole number.

22. Each cell in Column 2 must be less than or equal to the equivalent cell in Column 1.

23. The total student numbers returned against 'bridging course' in Column 1, for home and EC students only, should be equal to the total returned against 'foundation degree bridging course' in Columns 1 and 2 of Table 4.

24. For all cells, the value  $\geq 0$ .

25. For each column and price group, the total for each programme by level should be less than or equal to the total by level (standard length + long length) in Tables 1a or 3 as follows:

Table 6	Table 1a
Column 1(a) – (i), (ii), (iii) ≤	Column 1 – (a)+(b), (c), (d) plus Column 2 – (a)+(b), (c), (d)
Column 2(a) – (i), (ii), (iii) ≤	Column 5 – (a)+(b), (c), (d)
Table 3	
Column 1(b) – (i), (ii), (iii) (student numbers only) ≤	Column 1 – (a)+(b), (c), (d) plus Column 2 – (a)+(b), (c), (d)
Column 2(b) – (i), (ii), (iii) (student numbers only) ≤	Column 5 – (a)+(b), (c), (d)

26. For all cells, the value entered must be to no more than two decimal places.

27. For each column, the combined total by price group of the corresponding cells in Tables 5 and 6 should be less than or equal to the equivalent undergraduate cells in Tables 1a or 3, as in paragraph 20 above.

28. For each row, Column 1 (b) FTE ÷ Column 1 (b) student numbers  $\geq 0.03$ .

29. For each row, Column 2 (b) FTE ÷ Column 2 (b) student numbers  $\geq 0.03$ .

#### Table 7

30. For all cells, the value entered must be a whole number.

31. Each cell in Column 2 must be less than or equal to the equivalent cell in Column 1.

32. For Column 1(a), the totals for 'home' and 'other' together for 'below UG degree level' should be greater than or equal to the corresponding home and EC totals from Columns 1 and 2 of Table 5 and Column 1 of Table 6.

33. For Column 1(b), the totals for 'home' and 'other' together for 'below UG degree level' should be equal to the corresponding home and EC totals from Columns 1 and 2 of Table 5 and Column 1 of Table 6.

34. For both Columns 1 and 2, the totals for 'home' and 'other' together for 'below UG degree' and 'UG degree' together should be equal to the corresponding undergraduate home and EC totals from Columns 1, 2 and 5 of Tables 1a, 2 and 3.

35. For both Columns 1 and 2, the totals for 'home' and 'other' together for PGT and PGR should be equal to the corresponding home and EC totals from Columns 1, 2 and 5 of Tables 1a, 2 and 3.

36. For all cells, the value  $\geq 0$ .

# Annex O

## Workbook notes

1. Workbooks with spreadsheet versions of the tables in Annex P will be available for download by institutions in November 2003. Vice-chancellors and HESES contacts will be issued with an organisation key (unique to your organisation) and a HESES03 group key (unique to the HESES03 survey) in November to access the workbook through a secure web-site, <https://extranet.hefce.ac.uk>. This year, for the first time, institutions will upload the completed workbook to the same web-site.

2. On viewing the welcome screen you will be asked to log in or register for access to the site. The first time that you visit, you must register. This involves typing in your e-mail address, your organisation key, your HESES03 group key and setting a password (at least 6 characters long). Whenever you visit the site after registration, you will only need to enter your e-mail address and password. Full details on how to use the site, your organisation and HESES03 keys, will be issued to vice-chancellors and HESES contacts in November.

3. You can then download the blank HESES03 template, and save it somewhere on your system (the template cannot be completed online).

4. The workbook will be saved in Excel 97 format and called HES\_\_\_\_.xls, where the suffix identifies the institution. The workbook will contain eight worksheets, each with the same suffix as the workbook. These are shown below:

5. All labels and table formats will be protected. Institutions must not attempt to alter the format of the worksheets by adding or deleting columns or rows. Only cells where data are required should be altered. Worksheets contain information critical to accurate loading of the data; it is essential that this is preserved.

6. The following cells contain formulae, and must not be edited:

- column totals on all tables
- totals by level on Tables 1a, 2, 3, 4 and 7
- totals by qualification aim on Tables 5 and 6
- cells relating to the FTE of foundation degree bridging courses on Table 6
- Column 4 on Tables 1a, 1b, 2 and 3.

7. Each worksheet contains a number of validation checks, which are listed in Annex N. Institutions should ensure their data pass all validation checks before uploading them.

8. All worksheets returned should have the same name and format as those originally supplied. All worksheets in the workbook should be returned even if they contain no data.

9. Completed returns should be uploaded to the secure web-site no later than Tuesday 9 December 2003. We will confirm receipt of all submissions.

Name of worksheet	HESES03 tables
FTS____	Full-time and sandwich data. Table 1a.
MED____	Full-time and sandwich: Medical and dental student data. Table 1b.
OUT____	Sandwich year-out data. Table 2.
PT____	Part-time data. Table 3.
FEE____	Home and EC fees data. Table 4.
SUB____	Data on qualifications below degree level. Table 5.
FD____	Data on foundation degrees and foundation degree bridging courses. Table 6.
HEC____	Separate data on home and EC students. Table 7.

Annex P

**Sample tables**





















# Annex Q

## HESES03 fundamentals

1. This annex is a summary of the HESES guidance and should be used in conjunction with the other annexes.

### Which students are in the HESES population?

2. A definition of the HESES population is given in Annex B. The population includes students who meet **all** of the following criteria:

- a. They are actively pursuing studies with the institution for at least part of the academic year 2002-03. This includes outgoing exchange students.
  - b. They are studying towards a recognised HE qualification aim, or a credit that can be counted towards one.
  - c. They have an individual record returned on the HESA student record or the LSC ILR.
  - d. They are not being returned on any other institution's HESES or HEIFES return for that year of programme of study.
3. Students spending most of their time for the whole course outside the UK should not generally be included in the population.

### Are they countable on this year's HESES?

4. A year of programme of study for a student within the HESES03 student population must meet the following criteria to be counted:

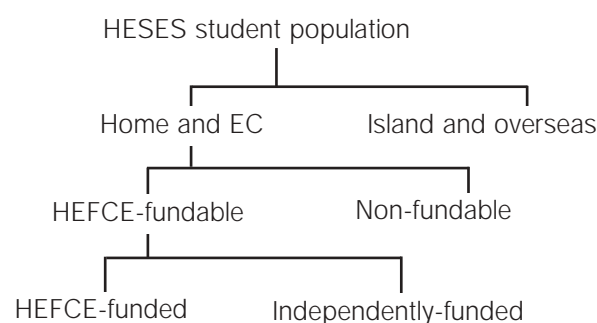
- a. A tuition fee is charged (the fee may be waived).
- b. The FTE for the year of programme of study is at least 0.03.
- c. The student is not writing-up for the whole of the year of programme of study.

5. When a year of programme of study becomes countable depends on how the FTE is returned to HESA. Activity for a year of programme of study can either fall within one academic year or span two academic years. Where the activity spans two academic years, the FTE can be reported to HESA

either in the academic year in which study begins, or the academic year in which it ends, or be split across two academic years. Where the activity is within one academic year or reported in the academic year in which study begins, years of programme of study should be counted in HESES on the commencement date and its anniversary. Where the activity is split or reported in the academic year in which study ends, years of programme of study should be counted in HESES on 1 August of each academic year in which activity occurs, except the first. This is explained in more detail in Annex D.

### What is their fundability status?

6. Annex F provides the strict definitions on residential and fundability status. In HESES, students are disaggregated between home and EC, and island and overseas. Home and EC students are then disaggregated between HEFCE-fundable and non-fundable. HEFCE-fundable students are then further disaggregated between HEFCE-funded and independently-funded. This hierarchy is shown in the diagram below.



### Home and EC; island and overseas

7. Island and overseas students are generally those from the Channel Islands or the Isle of Man or from outside the EC. They are not included in any of our funding allocations or student number targets for 2003-04. Students who are not island and overseas are home and EC.

### **HEFCE-fundable; non-fundable**

8. The three main categories of home and EC non-fundable students are those who are:

- a. Funded from another EC public source: for example, the Department of Health, the Modern Apprenticeship scheme or the TTA, or from European grants such as the European Social Fund (ESF). In some cases, where the public funding does not cover HEFCE standard resource rates, a proportion of the students on the course may be returned as fundable, as long as the students are not excluded for other reasons – see paragraphs 6a, 6c and 6d of Annex F.
- b. On closed courses, which are not open to any suitably qualified candidate. This will cover, for example, courses which are provided solely for the employees of particular companies.
- c. On courses which are franchised-out to an organisation which is neither an HEI nor an FEC, unless we have given specific approval to include them as fundable.

9. Non-fundable students are only included in our calculation of average fee rates per student FTE; these rates are used to inform assumed resource. Home and EC students who do not meet the definition of non-fundable are HEFCE-fundable.

### **HEFCE-funded; independently-funded**

10. Institutions may choose to record home and EC HEFCE-fundable students as independently-funded, if they receive sufficient funding from non-public sources to cover the HEFCE standard resource level for the particular category of student.

Independently-funded students are not included in our calculations of standard and assumed resource, but do still count towards FTE targets for funding conditional upon delivery of growth. In general, the declaration of eligible students as independently-funded will only benefit institutions that are currently under-resourced from public funds (below the  $\pm 5$  per cent tolerance band around standard resource), as an aid to migration to within the band. Home and EC-fundable students who the institution chooses not to record as independently-funded are HEFCE-funded.

### **Is the qualification aim a recognised HE qualification?**

11. Recognised HE qualifications are those defined in paragraph 1 of Schedule 6 of the Education Reform Act 1988. NVQs and free-standing foundation years are not included. See Annex C.

### **What is considered a non-completion?**

12. A student who fails to complete (that is, undergo the final assessment of, or pass) any module within the year of programme of study is to be returned as a non-completion for all activity in that year. See Annex D, paragraphs 14-21.

### **How are students classified into mode?**

13. Students are classified into either full-time and sandwich, sandwich year-out or part-time according to the definitions in Annex H. Students following the same course with the same pattern of activity should generally be returned with the same mode.

- a. Full-time and sandwich students will be on a course where they are usually required to attend for at least 24 weeks, 21 hours a week, for the year of programme of study; and a full-time fee is chargeable for the year (even if it is waived).
- b. Sandwich year-out students are those on sandwich courses, as defined in Regulation 5 of the Education (Student Support) (No. 2) Regulations 2002 (SI 2002 No. 3200), who are on their year out.
- c. Part-time students are all other students. Note that this includes HNC students who are expected to complete in one year, but whose course is not subject to regulated fees.

### **How are students classified into level?**

14. Undergraduates are students studying for a first degree (including foundation degree), HE certificate or diploma. Provision below degree level includes HNDs, HNCs, DipHEs and CertEds. Postgraduate

qualifications (including higher degrees and PGCEs) are those where the normal condition of entry is a qualification at degree level (that is, already qualified to level H of the QAA national qualifications framework). Postgraduates are split into postgraduate research students and postgraduate taught students – a definition can be found in Annex I, paragraph 4.

## **What counts as a long year of programme of study?**

15. For full-time courses, the year of programme of study is returned as long if:

- a. The students are normally required to attend for 45 weeks or more within that 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 an additional student numbers bidding exercise and explicitly notified by HEFCE.

16. For part-time courses, the distinction depends on the length of each year for an equivalent full-time course. See Annex J.

## **Which price group should the student be returned under?**

17. Price groups are defined in terms of academic cost centres. A mapping from cost centre to price group can be found in Annex G, paragraph 1. Some cost centres are in more than one price group – these are described in paragraphs 2-12 of Annex G. Where the activity for a year of programme of study falls into more than one cost centre, and these cost centres do not fall entirely within one price group, then the year should be split between price groups. Students on ITT (QTS) courses and INSET (QTS) courses should be attributed to the ITT (QTS) and INSET (QTS) price groups respectively, regardless of any provision in cost centres.

## **How should years of programme of study be returned on Table 4, the fee table?**

18. Generally, full-time undergraduates (including those aiming for a qualification below degree level) and PGCEs are subject to the regulated £1,125 fee, and part-time ITT students, sandwich year-out students and language year abroad students are subject to the regulated £550 fee. Only full-year outgoing exchange students on SOCRATES/ERASMUS exchanges should be returned with a regulated fee of £0. Most postgraduates and part-time students are not subject to regulated fees and should be returned with a fee level of 'Non-regulated', regardless of what they actually pay. See Annex L, paragraphs 11-16.

## **How is the FTE calculated for part-time students?**

19. FTE is calculated by comparing either the duration of the course or the credit points studied with an equivalent full-time course, or if such a course does not exist, a similar full-time course. The total FTE per student for a part-time course should equal the total FTE per student for an equivalent full-time course.

## **Which tables should be completed?**

20. All full-time students should be returned on Table 1a, the full-time table, whatever HE level they are studying at. Similarly, all sandwich year-out and all part-time students should be returned on Tables 2 and 3 respectively.

21. Table 1b should be completed if the institution has full-time undergraduate medical and dental students. These are students on programmes of study that normally lead to a first registrable medical or dental qualification. The students returned here are a subset of the undergraduates returned on Table 1a. See Annex K.

22. All home and EC students returned in Columns 1 and 2 of Tables 1a, 2 and 3 should also be returned on the fee table, Table 4, even if every student is recorded as having a fee level of 'Non-regulated'. Island and overseas students should **not** be included in Table 4.

23. Table 5 should be completed if the institution has students studying for qualifications below degree level, and should contain a subset of the undergraduate students returned in Columns 1 and 2 of Tables 1a, 2 and 3.

24. Table 6 should be completed if the institution has students studying on foundation degrees and foundation degree bridging courses, and should contain a subset of the students returned in Columns 1, 2 and 5 of Tables 1a and 3.

25. All home and EC students returned in Columns 1, 2 and 5 of Tables 1a, 2 and 3 should also be returned on Table 7, split between home students (those domiciled in the UK) and others.

## When the tables have been completed

26. Each worksheet contains a number of validation checks. If an error or inconsistency is detected in a worksheet once it has been completed, 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 value in the cell which is 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 tables to HEFCE. If the error cannot be identified, institutions should e-mail us at [heses@hefce.ac.uk](mailto:heses@hefce.ac.uk). The validation checks are described in more detail in Annex N.



# Annex R

## Audit of HESES02

1. For HESES02 we are auditing 21 institutions and following up previous audits at a further three institutions. At the time of preparing this publication, not all the audits had been undertaken. The completed audits highlighted areas in which some institutions were incorrectly interpreting the HESES guidance, or where internal institutional systems and practices did not facilitate the production of the HESES return. The findings included:

- lack of robustness in the estimation of non-completions
- lack of robustness in the estimation of forecast countable years
- incorrect assignment of departments to cost centres
- incorrect apportionment of student load to cost centres, where a course is in more than one cost centre
- incorrect calculation of part-time load factors
- incorrect fundability status
- poor communication within collaborative arrangements
- inadequate audit trail between the student record system and the HESES return
- inappropriate authorisation of the HESES return
- lack of knowledge management
- poor use of student record data as management information
- variable practices in faculties, schools and departments producing inconsistent data
- students studying outside the UK being incorrectly included in the HESES return
- students recorded more than once in the HESES return.

### Estimation of non-completions

2. The definition of a non-completion is included in Annex D. 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.

Estimation of the number of non-completions should normally be based on the non-completion rate for the previous year for the particular course. Where this is not the case, there should be a clear rationale for any alternative methods used or adjustments made. A student who fails to complete (that is, undergo the final assessment of, or pass) any module within the year of programme of study is to be returned as a non-completion for all activity in that year.

3. 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. We have found several instances 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.

4. Institutions 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.

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

6. 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 are struggling with the course, and steps taken to try to retain them at the institution. The information obtained from evidence of

interaction/involvement with the course should be used to follow-up missing students. Reconciliations should be made with the student record system to ensure it is up to date and accurately reflects what is being reported elsewhere. Instances were found where additional students were on mark sheets but no record of them was on the student record system. There were also instances where students had clearly withdrawn, but their records had not been amended on the student record system.

7. Students' records not being updated in a timely fashion has led to them being included in the return when they had already left the institution by the census date.

## **Estimation of forecast countable years (Column 2)**

8. There was some confusion as to which students should be included in Column 2. There are sometimes no estimates for students who should be returned in this column, or alternatively students may be included here who should in fact be returned in Column 1. For a detailed explanation of the correct treatment see Annex D.

9. The estimates included have not been adequately backed-up by explanations as to how they have been established, particularly with reference to previous years' experience. An audit trail for these figures should be retained. Final outcomes should be compared to estimates, and reasons for any differences established. This additional information should be used, with trend analysis of previous years and any known changes to courses in the future (such as new or discontinued courses), to establish the estimates for future returns.

## **Assignment of departments to cost centres**

10. Departments should be assigned to cost centres according to the guidance given in the forthcoming circular letter 'Assigning departments to academic cost centres: 2003-04'. The audits found that sometimes all academic activity for a department is assigned to only one cost centre, where a split between cost centres would be more appropriate.

They also found cases where a department is split between cost centres and a standard division is applied, irrespective of the actual split in staff effort for that department. We may ask institutions to provide evidence of how they have allocated particular departments to cost centres.

11. Institutions reporting any activity in cost centre 39, computer software engineering, must ensure that all the criteria described in 'Assigning departments to academic cost centre: 1998-99' HEFCE 98/65, Annex B, are fully met and supported by documentary evidence. Institutions should not consider this a one-off exercise and should keep this area under regular review to ensure compliance for each annual HESES exercise.

12. As part of the comparison of HESA data to HESES01 we examined subject provision by cost centre. This highlighted a number of cases where inappropriate allocations had been made, often because of historical allocations of course codes or assignments of departments to cost centres. In addition some variation in how institutions mapped activity to cost centres was apparent.

13. Staff define cost centres. Therefore, when determining the cost centre for a given module, the cost centre of the member of staff most directly associated with it should be used. In particular, where a department is split across cost centres it will be necessary to identify which modules are taught by individual members of staff in order to assign the student load to the appropriate cost centre. In general this approach will not be consistent with pro-rating student load to the staff cost centre split. Wherever possible, where two or more members of staff from different cost centres are associated with a particular activity, the student load should be split according to the proportion contributed by each member of staff.

## **Apportionment of student load to cost centres**

14. The allocation of student load to cost centres, and therefore to price groups, can present problems where provision for a course is in more than one department and cost centre, or where a department

is split between cost centres. If part of a course or a module of a course is provided by a different cost centre to the rest of the course, this should be identified on the HESA record, and on HESES by mapping the relevant student load to the correct price group. Where the student load for a course is split between cost centres, the load should be apportioned in an appropriate ratio. The ratio should be calculated on an individual course basis and reviewed regularly. It is not appropriate for a ratio calculated for one course to be applied to other courses. More guidance is included in Annex G, paragraphs 14-20.

## Part-time load factors

15. As shown in Annex E, the sum of the total student load allocated to a part-time student should be equivalent, over the duration of the course, to that allocated to a full-time student. For example, if the total FTE for the full-time course is 3 (the load for each of three full-time years is 1), then the sum of the part-time loads over the duration of the part-time course should also be 3. We have found examples where this is not the case, due to many factors, including a lack of understanding of what the student load is meant to represent.

16. Use of standard part-time load factors is common, as the part-time student activity for the year may not have been ascertained by the census date due to the nature of the study. This is acceptable practice. However, these standard load factors often do not accurately reflect actual activity for the year. If standard load factors are to be used, there must be clear evidence that on average students do study at these levels of activity.

## Fundability status

17. In some audits each year, we find cases where students have been included in the HESES return as fundable when they were clearly being fully funded from another EC public source, such as the NHS or HM Forces. This is inappropriate, and implies there has been a failure in the system for preparing the return. Staff preparing the return should ensure that such students are correctly treated in accordance with Annex F.

## Collaborative arrangements

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

19. The different parts played by each partner will vary in collecting and managing data. 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.

20. It is also important that students are only returned by the lead institution. Institutions' student record systems should clearly identify students eligible to be returned by them, and should ensure that those not eligible are excluded.

## Inadequate audit trail

21. In some cases, the audit trail between the student record systems and the HESES return was inadequate. A record of the basis for making estimates of non-completions and forecast countable years should be kept, along with any relevant printouts and working papers used in completing the return. This is particularly important where only one person is responsible for the return, as the return has to be reproducible even if they leave. The audit trail should be retained for at least three years. Source documents such as registration forms should also be retained. Where an institution uses document image processing or other methods to store such information, the original documents should normally be retained for at least one year, and the copy retained for at least a further two years.

## Authorisation of the HESES return

22. At some institutions, the person responsible for the production of the HESES return also signed it off on the institution's behalf. We expect the HESES return to be signed off as described in paragraph 18 of the main document, and not by the preparer of the return. The person signing off the return should have an understanding of our data collection requirements, to ensure that the institution has systems capable of producing an accurate and complete return and that the preparer of the return has compiled it competently.

23. The analytical review function of the person signing off the return is vital in reducing the number of 'obvious' errors returned, which could be spotted at the institution by a competent person.

## Knowledge management

24. At many institutions, the knowledge required to prepare the HESES 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 institution 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 institutions to manage this risk effectively, by ensuring that at least two people can both produce the information for the return and prepare the return itself.

25. In addition, institutions should consider ensuring 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 HESES each year, and to make any necessary changes to their systems.

## Management information

26. The student record system is not only important from the point of view of the HESES and other statistical returns, but is also a source of management information for the institution. The opportunity to use this resource is being lost at many institutions 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.

27. Although most institutions do not use the data effectively, a growing number have implemented 'data warehouse' solutions to provide key management information from the student records system.

28. Management information is only useful if it is complete, accurate and timely. Complete and accurate data would in turn produce a more accurate HESES return.

## Variable practices

29. Although institutions 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 institutions.

30. Differential practices do not necessarily mean that procedures are 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 institution. However, it was clear in other areas that the staff managing the data were not sufficiently trained in the institution's requirements.

31. Data quality will be improved if the requirements of all users are fully understood and taken into account by staff managing and maintaining the student record system. All users should also be trained in the data requirements of the institution, so that they understand why they are asked to perform particular tasks.

## Students studying outside the UK

32. Students spending most of their time overseas should in general be excluded from the HESES return. For the exceptions to this, see Annex B,

paragraph 3(e). Where there is a clear academic reason for studying abroad rather than in the UK, the students may be included in the return, but even where such a reason exists, HEFCE must specifically sanction the course as eligible.

## **Students incorrectly recorded more than once on the HESES return**

33. This is becoming a less frequent problem, but we still find instances of students being recorded more than once on the HESES return. There should be a review of the student record system before data are extracted for the return, to check for duplicate records. This should be general 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 it needs to be established where this is so. Where it is not correct, the student record system should be amended at the earliest opportunity.

# Annex S

## Glossary

<b>APL</b>	Accreditation of prior learning.
<b>Attendance</b>	A student is considered to be attending the institution whenever they undertake periods of study, tuition or work experience as part of the programme of study. For example, a distance learning student studying at home is attending.
<b>Base level of resource</b>	For 2003-04, this is £2,808. Also known as the base price.
<b>EC</b>	European Community
<b>EEA</b>	European Economic Area: all EC countries plus Iceland, Liechtenstein, Norway and Switzerland.
<b>ERASMUS</b>	European Community action scheme for the mobility of university students.
<b>ESF</b>	European Social Fund.
<b>FE</b>	Further education.
<b>FEC</b>	Further education college.
<b>Foundation degree</b>	A two-year full-time, or the part-time equivalent, HE course which has been validated by an HEI as a 'foundation degree', and which is expected to incorporate the core features set out in the foundation degree prospectus, HEFCE 00/27.
<b>Foundation degree bridging course</b>	A short stand-alone course taken after a foundation degree has been completed to enable students to go on to the final year of an honours degree course.
<b>Franchised-out</b>	Any student who enrolls at one institution and pays them a fee for tuition or supervision of research, but undertakes all or part of their study at another institution, is considered to be franchised-out by the institution collecting the fee. This includes all collaborative arrangements except HEFCE-recognised funding consortia. See Annex B.
<b>FTE</b>	Full-time equivalent.
<b>HE</b>	Higher education.
<b>HEA</b>	Higher education adviser (from HEFCE).
<b>HEFCE-recognised funding consortium</b>	See Annex B, paragraphs 14 and 15.
<b>HEI</b>	Higher education institution.
<b>HEIFES</b>	Higher Education in Further Education: Students survey.
<b>HESA</b>	Higher Education Statistics Agency.
<b>HESES</b>	Higher Education Students Early Statistics survey.



<b>HESES student population</b>	HESES counts years of programme of study for students aiming for a recognised HE qualification. The students that generate these years of programme of study are called the HESES student population. See Annex B.
<b>HIN</b>	Unique HE programme of study identifier on the HESA record, HIN = <b>HUSID</b> + <b>INSTID</b> + <b>NUMHUS</b> , a combination of student identifier (Field 4), HESA institution identifier (Field 2) and student instance number (Field c151 s136). See the HESA student record coding manual, Appendix 11, for further information.
<b>HMSO</b>	Her Majesty's Stationery Office, now called The Stationery Office.
<b>ILR</b>	The Learning and Skills Council's individualised learner record.
<b>INSET</b>	In-service education of teachers.
<b>Intercalated year</b>	For HESES purposes, this is a year inserted into a medical course to allow for the award of a BSc or BA in addition to the normal medical degree.
<b>ISR</b>	The Learning and Skills Council's individualised student record.
<b>ITT</b>	Initial teacher training.
<b>LSC</b>	Learning and Skills Council.
<b>NHS bursaried courses</b>	Pre-registration courses for which an NHS bursary may be payable.
<b>NVQ</b>	National Vocational Qualification.
<b>PGCE</b>	Postgraduate Certificate in Education.
<b>PGT</b>	Postgraduate taught students.
<b>PGR</b>	Postgraduate research students.
<b>Postgraduates</b>	Students registered for courses or credits where a normal condition of entry is that entrants are already qualified to degree level (in other words qualified at level H of the QAA national qualifications framework). See Annex I.
<b>QAA</b>	Quality Assurance Agency for Higher Education.
<b>QTS</b>	Qualified teacher status.
<b>Regulated fees</b>	Fees as defined in the Education (Student Support) (No. 2) Regulations 2002 (SI 2002 No. 3200). See Annex L.
<b>SCITT</b>	School-centred initial teacher training.
<b>SLC</b>	Student Loans Company.

<b>SOCRATES</b>	European Commission action programme in the sphere of school and higher education.
<b>Standard resource</b>	Standard resource is used for funding purposes. It is calculated by multiplying the weighted full-time equivalent student load by the base price. See Annex F.
<b>Student load</b>	Student activity expressed as full-time equivalents rather than counts of years of programme of study. See Annex E.
<b>TTA</b>	Teacher Training Agency.
<b>Ufi</b>	A government initiative to develop a 'university for industry'. Learning services are provided through 'learndirect'.
<b>Undergraduates</b>	Students studying towards a first degree (including foundation degree), HE certificate or diploma, or equivalent; or students registered for an institutional credit that can be counted towards one of these qualifications. See Annex I.
<b>Year of programme of study</b>	Students study towards qualification aims over a period, which can be split into one or more years of programme of study. See Annex D.

# Annex T

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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](http://www.hefce.ac.uk)