

HEFCE 01/52
September
Request

Respond by 10 December 2001

HESES01

**Higher Education Students Early
Statistics Survey 2001-02**

HESES01
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To	Heads of HEFCE-funded higher education institutions Heads of universities in Northern Ireland
Of interest to those responsible for	Student data; Funding
Reference	01/52
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Enquiries to	Hannah Falvey tel 0117 931 7478 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 us an early indication of the number of students studying in the academic year 2001-02.
 - b. Enable us to compare student load with allocations made for the academic year 2001-02.
 - c. Together with data supplied to the Higher Education Statistics Agency (HESA), inform our allocation of teaching funds for the academic year 2002-03.
3. This document provides:
 - a. Guidance notes for completing the Higher Education Students Early Statistics Survey 2001-02 (HESES01).
 - b. Definitions used in the HESES01 survey.
 - c. Examples of the survey tables, which will be distributed on computer disk.

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

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Action required

5. Survey data, on disk with a hard copy, should be returned by **10 December 2001**.
Disks will be dispatched to institutions in November 2001.

The HESES01 Survey

6. The following sources of data will inform our allocation of funds for 2002-03:
 - HESES01
 - the HESA/Learning and Skills Council (LSC) July 2001 individualised student record
 - Research Activity Survey 2001.

7. HESES01 should be completed by all higher education institutions (HEIs) receiving HEFCE recurrent funds for teaching. The Research Activity Survey 2001 will be issued in October 2001: it should be completed by all institutions in receipt of HEFCE funding for research in 2001-02, or that expect to receive such funding in 2002-03.

8. Coverage of the HESES01 survey is given in Annex B. Definitions of when activity should be counted are in Annex D. Annexes C and E to J explain how to record different categories of activity.

9. All activity that meets the criteria set out in Annexes B and D should be reported, even if it will not be used directly to allocate funds.

10. For allocation purposes we source various information from the HESA/LSC July 2001 individualised student record. In particular, we expect to use the following fields:
 - a. Date of birth (to determine if a student qualifies for the mature student premium).
 - b. Disability allowance (to determine if the student is in receipt of disability allowance).
 - c. Postcode (the home postcode is used to determine whether the student should count towards the calculation of the widening participation premium).

Incomplete records will adversely affect the funding allocations.

11. Institutions should note that further education colleges (FECs) make a similar return to HEFCE on the Higher Education in Further Education: Students Survey 2001-02 (HEIFES01).

Data collection and verification

12. Enquiries about this survey should be addressed to Hannah Falvey (tel 0117 931 7478, e-mail heses@hefce.ac.uk). There is a web page featuring 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 disk are sent out. It can be found on the HEFCE web-site, www.hefce.ac.uk, under 'Learning & teaching', 'Data collection', then '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 in order to notify institutions of any significant changes or updates. We will not use this to simply notify of changes to the web-site.

13. A computer disk, containing an Excel workbook, will be dispatched directly to institutional contacts in November 2001. Notes on the disk are at Annex P.

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

Institutional contacts

15. If there are any changes to the HESES contact details, or if an institution wants to check these details, institutions should speak to or send an e-mail to their higher education adviser (HEA). The HEA for each institution can be found on the HEFCE web-site under 'About us', 'HEFCE staff list' and then enter the name of the institution.

Outline timetable and process for the 2002-03 funding round

16. Institutions are required to return their HESES survey by 10 December 2001, both on disk and in hard copy. 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 2001-02. Institutions should note that the data do not need to be signed off by the vice-chancellor or principal at this stage.

17. During December, HEFCE HEAs will write to institutions, enclosing a printout of their HESES data and comparison and holdback 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 for mitigation of holdback.

18. By mid-January 2002, all institutions must have signed off their HESES data as being correct as at the census date of 1 December 2001. 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 broadly assess the return for reasonableness 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 six working days.

19. During January we will consider appeals for mitigation of holdback. Institutions will be notified of the outcomes of their appeals in February. At the end of January we will also announce the provisional Maximum Student Number (MaSN) for 2002-03. Institutions will

have one week in which to appeal for a change to their MaSN. The outcomes of any MaSN appeals will also be notified in February. We will announce provisional allocations of recurrent grant and confirm MaSNs for 2002-03 on 6 March 2002.

20. The timetable is summarised below:

November 2001

- HESES disks sent to institutions

December 2001

- 10 December – deadline to return HESES data
- mid-December – validation and credibility checks by HEFCE
- mid-December – HEAs write to institutions, asking them to verify the data, answer any questions about the data and submit any appeals for mitigation of holdback. Institutions will normally have six working days to answer questions about data

January 2002

- mid-January – institutions must have authorised and signed off their HESES data as being correct at 1 December 2001
- mid-January – deadline for submission of appeals for mitigation of holdback
- end January – provisional MaSN for 2002-03 announced, with one week to appeal

February 2002

- institutions notified of outcome of appeals for mitigation of holdback
- institutions notified of outcome of appeals for changes to their MaSN

March 2002

- 6 March – institutions notified of provisional allocations of recurrent grant and MaSNs confirmed for 2002-03.

21. In January 2003, we will compare HESES01 data with the July 2002 HESA student record and the July 2002 LSC individualised student record (ISR). Changes in funding may result from this comparison.

Returns

22. Survey data, on disk with a hard copy, should be returned to:

HESES
Analytical Services Group
HEFCE
Northavon House
Coldharbour Lane
BRISTOL BS16 1QD

Returns may be made by e-mail to heses@hefce.ac.uk, but the disk and a hard copy should still be sent to the above address.

23. Returns should be received no later than **10 December 2001**.

Late returns

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 HESES01 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. The HEFCE audit service will also seek to rely on any relevant internal audit work which 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 HESES01 data with a variety of other data, most notably individualised HESA data as these become available. We may make retrospective adjustments to funding in the light of these comparisons. Details of how we will compare data are given in Annex N. It is not possible to create an exact mapping between individualised data and HESES data. Institutions should therefore consider the guidance given in Annexes B to J as definitive. Annexes M and N, though not definitive, describe our monitoring process. We will also compare data returned on HESES01 and data returned on the Research Activity Survey 2001. We may refuse to accept data where there are significant differences.

Audit of HESES2000

27. The HESES2000 data audit exercise audited 25 institutions. The audits highlighted areas in which some institutions are incorrectly interpreting the HESES guidance. 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, particularly 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.

Estimation of non-completions

28. 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. Completion is not determined by academic success but by whether the student has completed the end-of-year assessment or exam.

29. 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. This would normally mean that students should not be pre-enrolled for the following year if they did not complete the current year.

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

Assignment of departments to cost centres

31. Departments should be assigned to cost centres according to the guidance given in 'Assigning departments to academic cost centres: 2000-01' (HEFCE circular letter 26/00). 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. In future, we may ask institutions to provide evidence of how they have allocated particular departments to cost centres.

32. Institutions reporting any activity in cost centre 39, computer software engineering, must ensure that all the criteria described in HEFCE 98/65, Annex B, are fully met and supported by documentary evidence.

33. As part of the comparison of HESA data to HESES2000 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 on how institutions mapped activity to cost centres was apparent.

34. 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

35. The allocation of student load to cost centres, and therefore to price groups, presented 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 a 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 13 to 19.

Part-time load factors

36. 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 full-time equivalent (FTE) for the full-time course is 3 (each full-time year counts as a load of 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. Institutions are reminded that the extra costs associated with part-time students are recognised in our funding model through a premium, and that the use of student load factors to deal with this issue is not appropriate.

Fundability status

37. 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, for example, the NHS or HM forces. This is inappropriate and implies there has been a failure in the return preparation system. Those staff preparing the return should ensure such students are correctly treated in accordance with Annex F.

Collaborative arrangements

38. 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 which are necessary between all of the partners in such arrangements are frequent, timely, open and effective. In particular, we highlight the importance of the lead institution being advised promptly of any non-completing students by the partner institutions. This may require clear protocols with partner institutions regarding exchange of information.

Inadequate audit trail

39. In some cases, the audit trail between the student record systems and the HESES return was inadequate. A record of the basis for making estimations 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 like 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

40. At some institutions, the person responsible for the production of the HESES return also signed it off on the institution's behalf. We expect that the HESES return is signed off as described in paragraph 18, 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.

Knowledge management

41. 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 the person concerned, particularly at crucial times of the year, the institution may not be able to prepare the return on time or to the appropriate standard. Whilst a good audit trail helps to reduce this risk, we 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.

42. In addition, institutions could 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 hence to make the necessary changes to their systems.

Annex A

Summary of changes since HESES2000 and clarifications

1. Cost centre 35 – French, Spanish and German modern languages – is now entirely in price group C. See Annex G.
2. Table 7, which collected data from lead institutions of HEFCE-recognised funding consortia about the members of such consortia, is no longer part of the HESES survey. A separate survey will be issued to those institutions which are the lead of a HEFCE-recognised funding consortium, collecting the 2001 information previously returned on Table 7 of HESES2000, shortly after the HESES01 survey has been returned. However, the lead institution is still expected to include the numbers involved in the consortium in HESES01, and include them separately in Column 6(c) of Tables 1a, 2 and 3.
3. The way in which years of programme of study for foundation degrees are returned on Table 5 has changed. Foundation degrees are now split into prototype foundation degrees and non-prototype foundation degrees. Prototype foundation degrees are those programmes which were awarded development funds in December 2000 and are listed in HEFCE 01/40. All other foundation degrees are considered to be non-prototype foundation degrees.
4. Foundation degree bridging courses, which come after a foundation degree has been completed and allow direct entry to the final year of an honours degree course, are now collected separately on Table 4, the fee table and Table 5, the foundation degree and qualifications below degree level table. See Annex D, paragraphs 24 to 26.
5. There has been an addition to the definition of a long year of programme of study. Where 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, the year of programme of study should be returned as long. See Annex J. For HESES01, this applies to only two institutions.
6. The Excel workbook containing the HESES tables is now saved in Excel 97 and not Excel 5.0 as it was for HESES2000. Institutions were notified of this in HESES2000 (HEFCE 00/41) and reminded by e-mail in March 2001.
7. Clarification on the way that summer schools, including foundation degree bridging courses, are returned has been included in Annex D, paragraphs 18 to 26.
8. Clarification on how to return students who change mode from full-time to part-time within a year of programme of study is included in Annex H, paragraph 7.
9. Clarification on the fundability status of postgraduate research students is included in Annex F, paragraph 8.
10. The mapping from the HESA student record to HESES is no longer described in detail in Annex N as it was for HESES2000. Instead, reference to the relevant documentation

describing the most recent mapping used, and any changes since that mapping, are included in Annex N.

Annex B

The HESES01 student population

1. HESES01 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 HESES01 student population. Paragraphs 2 and 3 below define which students should be included in the HESES01 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 HESES01. All years of programme of study counted in HESES01 must relate to a student within this population.

2. Students meeting **all** of the following criteria should be included in the HESES01 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 2001-02. 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 ISR.
- 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 HESES01 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 HESES01 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 to 13 below).
- e. Students spending most of their time for the whole course 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 will not normally fall into this category.

- 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 2001-02. For students following standard academic years this means the student is not actively pursuing any studies within the 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 '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 HESES01, 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. For 2001-02 there are only six of these.

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 six universities 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 franchised for HESES purposes

6. 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 franchised for the purposes of HESES01. Industrial placements, work experience and language years abroad should not normally be regarded as franchised-out for the purposes of HESES.
7. 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 HESES01 student population. Such a student is regarded as franchised-out by the institution collecting the fee.

8. If a course is run jointly by more than one institution, only the institution that receives the fee should include the student in its HESES01 student population.
9. 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 HESES01 student population. If both institutions receive the same amount, the institutions must ensure that only one includes the student in its HESES01 student population.
10. 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 HESES01 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.
11. In all the above cases, the student is recognised as a student of the franchiser. The institution that includes the student in its HESES01 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

12. All institutions that are the lead institution of a HEFCE-recognised funding consortium will have been formally notified in a letter sent by HEFCE on either 9 August 2000 or 30 May 2001. Currently there are only six universities which are the lead institution of a HEFCE-recognised funding consortium.
13. 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 as such in writing as described above. 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. 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 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, rather than lead, institution. Apart from on HEFCE aggregate returns, the students will in all other respects be treated as if they were directly funded.

Annex C

Recognised HE courses

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 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 credit that can be counted towards one, are excluded from the HESES01 student population.
3. Foundation years are recognised HE courses only if they are an integrated part of a recognised HE qualification. Free-standing foundation years are not recognised HE courses.

Annex D

Countable years of programme of study

1. Students study towards qualification aims over a period of time. This period of time 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 considered 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 will be treated as an independent course which will generate its own year of programme of study. See paragraphs 24 to 26 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 on the HESA student record. See Annex S for a definition of HIN.
7. For students within the HESES01 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:
 - 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. Years of programme of study within cases (a) and (b) above will be counted on their commencement date and its anniversary.
 9. 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.
 10. 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.
 11. For students within case (d), it is not possible to identify a year of programme of study from the July HESA student record. An approximation is needed of activity for the year of programme of study. This should be based on the return for the year in which the year of programme of study is countable, and the previous year. Annex M contains details of how we will make this approximation. Institutions may use any method, provided that taken over the institution as a whole the results are consistent with the method given in Annex M.
 12. 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.
13. To be counted, years of programme of study must be generated by a student in the HESES01 student population, and meet 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.

Non-completions

14. A student who fails to complete a year of programme of study is classified as a non-completion for that year. Usually, attendance at the final exam or submission of final coursework would constitute completion of the year. Where a module or credit-based system is offered, a student who fails to complete a substantial module within the year of programme of study is to be returned as a non-completion for that year of programme of study.

15. Where a 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. 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.

16. In some cases the final assessment for a year of programme of study 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 year is still measured against attendance at the final exam or submission of final coursework relating to the year of programme of study. For example, if a student studies on a standard academic year but the examinations are held in August, completion will be determined against attendance at the August examination.

New entrants

17. 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 onto 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 HE level (year 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 1 of the course.

Summer schools

18. There are three types of short course which are sometimes referred to as summer schools. These are described in more detail below.

Summer schools for potential HE students

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

Within-course periods of study in vacation time

20. 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 year of programme of study that precedes the short period of study and may result in the year of programme of study being counted as long, as defined in Annex J.

21. 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 of study. However, for data collection purposes, they should be treated as standard academic years.

Example

22. 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 is undertaken to bring the student up to the standard of others on the course, running from 25 July to 5 September. 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.

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

Foundation degree bridging courses

24. 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, though progression from a successful completion of a foundation degree bridging course to the final year of an honours degree is assured. 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 same way as other courses following non-standard academic years, described in paragraphs 7 to 12 above.

25. HESA is consulting institutions about changes to the individual student record for 2002-03. There are particular proposals relating to the recording of foundation degree

bridging courses and, following this consultation, guidance will be issued as to how to record these courses from 2002-03. This guidance will also be included in the HESES02 publication.

26. Any bridging courses returned in the 2001-02 HESA record should be recorded as a separate record in the HESA return with the student load returned as 0.3, with mode part-time, a qualification aim of institutional undergraduate credits and a separate HIN. If the course spans two academic years it should be treated in the same way as the institution has elected to do for other such courses.

Annex E

Student load for part-time years of programme of study

1. Student load recorded on HESES01 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 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.

Example 1

4. 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

5. 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

6. A student with APL enters directly onto 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 $2 \div 4 = 0.5$.
7. 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 to HESES, we will make adjustments to the load returned to HESA to reflect years not completed.