

September 2006/36

## Core funding/operations

### Request for data

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Returns should be uploaded to the HEFCE extranet by noon on Monday 11 December 2006

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This document asks higher education institutions to complete the annual survey of students on recognised higher education courses. The data will give an early indication of the number of higher education students studying in the academic year 2006-07; enable us to monitor the achievement of the funding agreement targets for 2006-07; and, with data supplied to the Higher Education Statistics Agency, inform our allocation of teaching funds for 2007-08.

# HESES06

## Higher Education Students Early Statistics Survey 2006-07

## Alternative formats

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# HESES06

## Higher Education Students Early Statistics Survey 2006-07

To	Heads of HEFCE-funded higher education institutions Heads of universities in Northern Ireland
Of interest to those responsible for	Student data, Funding
Reference	2006/36
Publication date	September 2006
Enquiries to	email the HESES team at heses@hefce.ac.uk

### Executive summary

#### Purpose

1. This document asks higher education institutions (HEIs) to complete the annual survey of students 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 2006-07.
- b. Enable us to monitor the achievement of the funding agreement targets for the academic year 2006-07.
- c. Together with data supplied to the Higher Education Statistics Agency (HESA), inform our allocation of teaching funds for the academic year 2007-08.

3. This document provides:

- a. Guidance notes for completing the Higher Education Students Early Statistics Survey 2006-07 (HESES06).
- b. Definitions used in the HESES06 survey.
- c. Examples of the survey tables, which will be available to download from the HEFCE extranet in November 2006.
- d. A summary of changes since HESES05 (Annex B).

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

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Appendices 1 and 2 contain detailed technical information and are available with this document on the web, at [www.hefce.ac.uk](http://www.hefce.ac.uk) under Publications.

#### Action required

5. Returns should be uploaded to the HEFCE extranet, by **noon on Monday 11 December 2006**. Workbooks will be available to institutions at the beginning of November 2006.

## The HESES06 survey

6. The following sources of data will inform our allocation of funds for 2007-08:

- Tables 1 to 4 of HESES06
- the HESA/Learning and Skills Council (LSC) July individualised student data
- Research Activity Survey 2006.

In addition to their primary purpose of collecting data to inform funding allocations, Tables 1 to 4 of HESES06 provide us with information about institutions as a whole, including HE activity that we do not fund. Data returned in Table 5 are collected for planning and monitoring purposes, including those of the Department for Education and Skills. Data returned in Table 6 are used for monitoring HEFCE-recognised funding consortia.

7. HESES06 should be completed by all HEIs receiving HEFCE recurrent funds for teaching. The Research Activity Survey 2006 will be issued in October 2006: it should be completed by all institutions that receive HEFCE funding for research in 2006-07, or that expect to receive such funding in 2007-08.

8. Coverage of the HESES06 survey is given in Annexes C and D. Definitions of when activity should be counted are in Annex E. Annexes F to K explain how to record different categories of activity.

9. All activity that meets the criteria set out in Annexes C to E 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 and other purposes we source various kinds of information from the HESA/LSC July individualised student data. The algorithms we expect to use are shown in '2005-06 statistics derived from HESA data: guide to HEFCE web facility' (HEFCE 2006/23) available on the HEFCE web-site under Publications. This information includes:

- a. Identifying student characteristics for use in the widening participation allocations.
- b. Monitoring non-completion rates.

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

11. Directly funded further education colleges (FECs) make a similar return to us on the Higher Education in Further Education: Students Survey 2006-07 (HEIFES06), issued as HEFCE 2006/37. Lead institutions of HEFCE-recognised funding consortia should refer to HEIFES06 for guidance on including member FECs' data in their HESES return.

## Institutional contacts

12. Each institution has sent us details of a contact for the HESES survey. If institutions wish to check or change their HESES contact details, they should contact 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 e-mailed to [heses@hefce.ac.uk](mailto:heses@hefce.ac.uk). There is a web page giving answers to frequently asked questions (FAQs). The 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 there 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 web-site.

14. Institutions will be able to download the following documents in November 2006:

- an Excel workbook with spreadsheet versions of the tables in Annex N
- guidance notes on the grant adjustment tables and comparison sheets
- a check list for use before final submission.

Vice-chancellors and HESES contacts will be issued with an organisation key (unique to your institution) and a HESES06 group key (unique to the HESES06 survey) to access the documents via the HEFCE extranet, <https://extranet.hedata.ac.uk>. Institutions will need to upload the completed workbook to the same web-site.

15. Appendices 1 and 2 are available with the electronic version of this document on the web, at [www.hefce.ac.uk](http://www.hefce.ac.uk) under Publications. They contain technical information on links between HESA and HESES data and validation checks. The workbook contains a number of these checks, detailed in Appendix 2, 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 2007-08 funding round

16. Institutions are required to return their HESES06 survey by noon on Monday 11 December 2006. 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 2006-07. 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, attaching 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 formulaic grant adjustments, such as holdback.

18. By 15 January 2007, all institutions must have signed off their HESES data as being correct as at the census date of 1 December 2006. 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 expect institutions to answer any questions about data within five working days.

19. During January we will consider any appeals against formulaic grant adjustments. Institutions will be notified of the outcomes of their appeals in February. We will announce provisional allocations of recurrent grant for 2007-08 on 26 February 2007.

20. The timetable is summarised below.

November 2006	<ul style="list-style-type: none"> <li>• Organisation and group keys issued to institutions</li> <li>• HESES workbooks available to institutions</li> </ul>
December 2006	<ul style="list-style-type: none"> <li>• 11 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 against formulaic grant adjustments. Institutions will have five working days to answer questions about data</li> </ul>
15 January 2007	<ul style="list-style-type: none"> <li>• Institutions must have authorised and signed off their HESES data as being correct at 1 December 2006</li> <li>• Deadline for submission of appeals</li> </ul>
February 2007	Institutions notified of final grant adjustments, including the outcome of appeals
26 February 2007	Institutions notified of provisional allocations of recurrent grant for 2007-08
1 June 2007	Deadline for institutions to request amendments to provisional allocations
Late July 2007	Institutions receive their funding agreements, including final grant allocations, for 2007-08

21. There are two grant announcements in the year – in March and July. To be reflected in the March grant announcement, we need to receive all HESES data amendments by 15 January. To be reflected in the July grant announcement, we need to receive any further HESES data amendments by 1 June. However, because our total budget is limited, we cannot guarantee to provide additional funding arising from amendments received after 15 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 July so that they can be included in the July funding announcement.

22. In January 2008, we will compare HESES06 data with the July 2007 HESA student record and the July 2007 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 HEFCE extranet no later than **noon on Monday 11 December 2006**.

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 continue our regular programme of audits of data used for funding purposes. Institutions should therefore keep an adequate audit trail recording how the data were derived (see paragraphs 25 and 26 of Annex O). This is especially important where institutions are including estimates or making judgements; for example, the basis for forecasting non-completions should be

recorded. Institutions should ensure estimates are reasonable and have sufficient supporting data. 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 HESES06 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 expect to compare data are given in HEFCE 2006/23, and in Appendix 1. We will also compare data returned on HESES06 and the Research Activity Survey 2006. We may refuse to accept data where there are significant differences.

## Audit of HESES05

27. For HESES05 we are auditing 20 institutions and following up previous audits at a further four institutions. At the time of preparing this publication, not all the audits had been completed. The completed audits highlighted the following 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 (see Annex O for full details). 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
- poor communication within collaborative arrangements
- inadequate audit trail between the student record system and 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 recorded more than once in the HESES return
- lack of analytical review of figures in the return to identify anomalies and to ensure the data make sense. In particular, lack of a reconciliation between the HESES return and the Research Activity Survey to ensure each is correct in its own right. Lack of reconciliation between HESES and HESA returns before submission of HESA
- problems with implementing new student record systems
- incorrectly returning overseas students in the HEFCE-funded column rather than the Island and overseas column, despite charging overseas fees; or returning students as overseas when they are home, due to delays in assessing student status in a timely fashion
- incorrect inclusion of pre-enrolled students in the return
- recording the incorrect mode of attendance if a student is only active for part of a year
- incorrect recording of student activity as being full-time
- assessment of headcount and completion status for continuing education students
- inappropriate authorisation of the HESES return
- housekeeping issues identified during the audit process.

28. Problems encountered in previous audits but not found this year are noted below for information. Details of these can be found in Annex O of HEFCE 2005/39 and HEFCE 2004/31:

- rollover of the student record to the following academic year
- incorrect fundability status

- students studying outside the UK being incorrectly included in the HESES return
- determining the number of students supported from other EC public funds
- potential implications of fee-waivers on whether students are countable in HESES.

29. To assist with future compliance we strongly recommend that all institutions undertake a formal review of existing arrangements, taking into account the advice and information in Annex O.



# Annex A

## HESES06: Getting started

1. This annex is an introduction to 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 C. The population includes students who meet all the following criteria:

- a. They are actively pursuing studies with the institution for at least part of the academic year 2006-07. This includes outgoing, but not incoming, 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 HESES06 student population must meet the following criteria to be counted:

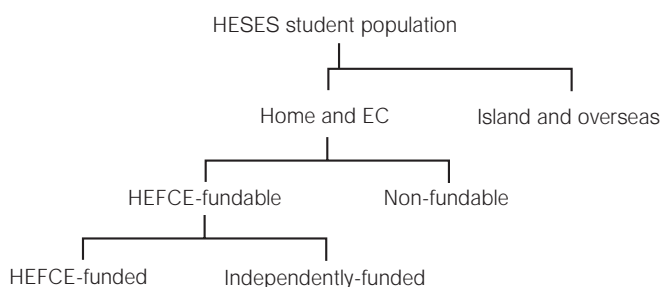
- a. A tuition fee is charged (the fee may be waived for individual students).
- b. The full-time equivalent (FTE) for the year of programme of study is at least 0.03.
- c. The student is not writing-up for the whole of the year of programme of study.

5. When a year of programme of study becomes countable depends on the type of year of programme of study and how its FTE is returned to HESA. Students on standard academic years are counted on their commencement date and its anniversary – most students fall into this category. Students on non-standard years where activity is reported in the academic year in which study begins

are counted in the same way as standard years. Students on non-standard years where the activity is split or reported in the academic year in which study ends are counted on 1 August of each academic year in which activity occurs, except the first. This is explained in more detail in Annex E.

### What is their fundability status?

6. Annex G 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 2006-07. 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 Training and Development Agency for Schools (TDA), 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 sub-paragraphs 5a, 5d and 5e of Annex G.

- 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. 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 that the institution chooses not to record as independently-funded are HEFCE-funded. See Annex G, paragraphs 13-15.

#### **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 D.

#### **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 E, paragraphs 16-25.

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

13. Students are classified into full-time and sandwich, sandwich year-out or part-time according to the definitions in Annex I. 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 for some individuals).
- b. Sandwich year-out students are those on sandwich courses, as defined in Regulation 2 (6) of the Education (Student Support) Regulations 2006 (SI 2006 No. 119), as amended, 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 towards a first degree (including foundation degree), HE certificate, HE diploma or equivalent (or registered for an institutional credit that can be counted towards one of these qualifications). On Tables 1a, 2 and 3, undergraduates are disaggregated between 'FD' (foundation degree) and 'UG (excl. FD)' (undergraduate excluding foundation degree). Provision below degree level includes HNDs, HNCs, DipHEs and CertEds. Postgraduate qualifications, including higher degrees and Postgraduate Certificates in Education (PGCEs), are those where the normal condition of entry is a qualification at degree level (that is, already qualified at Honours level of the QAA's framework for higher education qualifications in England, Wales and Northern Ireland). Postgraduates are split into postgraduate research students and postgraduate taught students – a definition can be found in Annex J, paragraph 5.

## 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 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 K.

## Under which price group should the student be returned?

17. Price groups are defined in terms of academic cost centres. A mapping from cost centre to price group can be found in Annex H, paragraph 1. Some cost centres are in more than one price group – these are described in paragraphs 3-19 of Annex H. 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 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, should be attributed to the ITT (QTS) and INSET (QTS) price groups respectively, regardless of any activity 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 PGCE students are subject to the regulated full fee, and part-time ITT students, sandwich year-out students and language year abroad students are subject to the regulated half 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 M, paragraphs 12-16.

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

19. The 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, with 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 or 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 L, paragraphs 2-8.

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. All students returned in Columns 1 and 2 of Tables 1a, 2 and 3 should also be returned on Table 5, split between home students (those domiciled in the UK) and others. This table also contains new entrant and franchised-out data.

24. Table 6 should be completed if the institution is the lead of a HEFCE-recognised funding consortium

(see Annex C, paragraphs 14 and 15) and should contain a subset of home and EC students returned in Columns 1 and 2 of Tables 1a, 2 and 3.

## **When the tables have been completed**

25. Each worksheet contains a number of validation checks. If an error or inconsistency is detected in a completed worksheet, a message reading **Validation: Failure (see below table)** will appear above the column in the table in which there is a validation failure, and the 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 for advice at [heses@hefce.ac.uk](mailto:heses@hefce.ac.uk). The validation checks are described in more detail in Appendix 2.

# Annex B

## Summary of changes and clarifications since HESES05

1. Tables 1a, 2 and 3 have been extended into a new Column 5, where lead institutions of Lifelong Learning Networks (LLNs) that are following the non-mainstreamed 'model 2' funding route should record details of the headcount and (Table 3 only) FTE of students who are included as non-fundable in Columns 4 and 4a of those tables and who are to count towards delivery of the LLN's additional student number (ASN) allocation.
2. The structure of the home and EC student fees table, Table 4, has not changed, but the row headings and their descriptions have been revised to reflect the new student support regime. See Annex M paragraphs 9 to 16.
3. The definition of sandwich year-out has been updated to reflect the latest fees and student support regulations. See Annex I paragraph 3.
4. Although this has not resulted in an explicit change in HESES, institutions should note that there have been amendments to the fees and awards regulations which determine whether students can count as home and EC. These are set out in the Education (Fees and Awards) (Amendment) Regulations 2006 (SI 2006 No. 483), available from the Office of Public Sector Information web-site ([www.opsi.gov.uk](http://www.opsi.gov.uk)), under Legislation/UK/Statutory Instruments.
5. We have clarified the definition of undergraduate veterinary science provision that may be recorded in price group A to make clear that it applies only to students on the last five years of a programme which leads to eligibility to practice as a veterinary surgeon: it does not include foundation years for such provision. We have also provided guidance on the inclusion of postgraduate veterinary science activity in price group A. See Annex H paragraphs 10 to 13.

# Annex C

## The HESES06 student population

1. HESES06 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 HESES06 student population. Paragraphs 2 and 3 below define which students should be included in the HESES06 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 HESES06 (see Annex E for when to count activity). All years of programme of study counted in HESES06 must relate to a student within this population.

2. Students meeting **all** the following criteria should be included in the HESES06 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 (1 August 2006 to 31 July 2007). 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 D.
- 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 HESES06 student population:

- a. Students not studying towards a recognised HE qualification aim, or a credit that can be counted towards such a qualification.
- b. Students whose sole qualification aim is an NVQ. However, students should be included if they gain both a recognised HE qualification and an NVQ as the result of a programme of study.
- c. 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 HESES06 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.

- d. Incoming exchange students.
- e. 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).
- f. 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 reason exists, we must specifically sanction the course as eligible.
  - ii. The student is temporarily and unavoidably abroad and remains liable to UK tax on their earnings, or is a dependant of such a person. This includes members of HM Forces and their dependants.

Sandwich students working abroad and language year abroad students should normally be included in the HESES06 student population, as the year abroad will not constitute most of their programme of study.

- g. Students for whom no year of programme of study in which they are actively pursuing studies falls at least partly within the academic year 2006-07. For students following standard academic years this means the student is not actively pursuing any studies within the year. This includes:
  - i. Students who are writing-up for the whole of the academic year.
  - ii. Students who are only undergoing an assessment. This includes students on TDA-funded Graduate Teacher Programmes (GTPs) or Overseas Trained Teacher Programmes (OTTPs) where the programme consists only of a QTS assessment.
- h. 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.

- i. Students who are on School-Centred Initial Teacher Training (SCITT) programmes.
- j. 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 HESES06 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 of HEFCE-recognised funding consortia are asked to identify the student numbers involved separately in HESES.

### **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 HESES06. 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:

- HEIFES06 for FECs or
- HESES06 for HEIs.

9. Where one institution collects a fee for tuition or supervision of research for a student, but they undertake all or part of their study at another institution, only the institution that receives the fee should include them 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 latter should include the student in its HEFCE survey student population. If the fee itself is not transferred but is used to offset payments between two institutions in respect of the student, this should be treated as if the fee had been transferred.

13. In all the above cases, the student is recognised as a student of the franchiser. The institution that includes the student in its HESES06 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.

### **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 information for 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 D

## 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 HESES06 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. Such provision will only be considered integrated if students are already registered for the recognised HE qualification and there is guaranteed progression to the recognised HE qualification, subject to satisfactory completion of the foundation year. Free-standing foundation years and other free-standing 'level 0' provision are not recognised courses of HE.

# Annex E

## 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. 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 34-38 below.

5. 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 P) 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.

6. To be counted, years of programme of study must be generated by a student in the HESES06 student population, and meet **all** the following criteria:

- a. A fee is charged for tuition or supervision of research. Exceptionally, this fee may be waived for individual students based on their particular circumstances. It should not be waived for all students on a course, and the criteria that determine whether fees may be waived should not be tantamount to waiving the fee for all students.
- b. The FTE for the year of programme of study is at least 0.03.
- c. The student is not writing-up a thesis or similar piece of work for the whole of the year of programme of study.

Students are writing-up where they have completed their research work and will not undertake any significant additional research. It is common practice for such students to 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.

## Counting years of programme of study

7. For students within the HESES06 student population, exactly when a year of programme of study becomes countable depends on the type of year of programme of study, and how its FTE is reported to HESA. Countable years of programme of study are broken down into two types: standard years and non-standard years.

### Standard years of programme of study

8. In this case, all activity for a year of programme of study is entirely within one academic year (1 August to 31 July). Most years of programme of study fall into this category. Years of programme of study will be counted on their commencement date and its anniversary.

## Non-standard years of programme of study

9. In this case, all activity for a year of programme of study is **not** entirely within one academic year – that is, the year of programme of study crosses from one academic year into the next.

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

11. For non-standard years of programme of study, there are three types of HESA record:

- a. The whole of the FTE is reported in the academic year in which the year of programme of study begins (the 100:0 method).
- b. The whole of the FTE is reported in the academic year in which the year of programme of study ends (the 0:100 method).
- c. The FTE is split proportionally across them (the split FTE method).

12. Years of programme of study in case a in paragraph 11 will be counted on their commencement date and its anniversary. 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.

13. Years of programme of study in cases b and c in paragraph 11 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.

14. For students in case c in paragraph 11, 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 4-7 of Appendix 3 of HEFCE 2006/23.

15. 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 being on a non-standard year of programme of study.

## Non-completions

16. 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 can all count towards the same qualification then this should be treated as a single programme of study.

17. 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.

18. 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, or passing the module.

19. 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.

20. 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, they would be considered as completing.

21. When a student undertakes a module that can lead to a qualification or institutional credit, but does not undergo assessment for that module, in general that student will be treated as a non-completion for all their activity in the year. This applies where assessment is optional (for example on open programmes, including continuing education provision). However, an exception is allowed where the student has entered into a binding and irreversible commitment before the commencement of that module that they will not undergo assessment for it. In this case, the module would not be reported at all in HESES and the completion status of the student would not be affected by their completion of the unassessed module.

22. 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.

23. In general, where a completion is dependent upon the attendance at a final examination, it should be judged against attendance at the first presentation of the examination. However, where it is agreed in advance that an individual student will not attend the first presentation, but instead sit a specified subsequent presentation, then completion will be determined against attendance at that subsequent presentation.

### Example

24. Examinations for a particular module take place in June, with an opportunity to resit in September. An individual student is excused from the exam in June, before its presentation, because of personal circumstances, and is invited instead to attend the September presentation. The completion status of the student would then be determined against the attendance at the September exam.

25. Institutions should ensure that estimates of non-completion are supported by historical data. Any historical data used in this way should not be skewed by exceptional circumstances such as industrial action affecting exams. See Annex O for details about common errors discovered as part of our audit of HESES05.

### New entrants

26. Students should be classed as new entrants when they first generate a countable year for the programme of study. Students repeating the first year of a course should not be included as new entrants, whereas those entering directly into the second, or later, year of a course should be. Where

students transfer between courses they should only be included as new entrants where this is considered a change in programme of study; that is, a new commencement date is entered in the HESA student record.

## Summer schools

27. 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

28. 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 provision is not HE level.

### Access provision

29. 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, 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 K.

30. 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

31. 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 K.

32. 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

33. 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, given in Annex K.

### Foundation degree bridging courses

34. 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.

35. 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 would mean 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

36. A student completes a foundation degree in June 2006, then undertakes a bridging course from July to September and then joins the final year of a degree which they complete in June 2007.

Field	July 2006	July 2007
QUALAIM	28	21
STULOAD	100	130
TYPEYR	1	1
SPPRG	N/A	08

37. Where a student's only activity during the academic year is a foundation degree bridging course, field 41, QUALAIM, should be returned with a value of 61, 'Institutional undergraduate credit which may be counted towards qualifications within codes 01 to 52'. (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.)

38. 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 F

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

1. Student load recorded on HESES06 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 rationale 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 duration of the course 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 E, paragraphs 34 and 35, 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 G

## 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 Office of Public Sector Information (OPSI) web-site – [www.opsi.gov.uk](http://www.opsi.gov.uk) under Legislation/UK/Statutory Instruments. A list of countries belonging to the EC is on the HEFCE web-site under Questions/HESES FAQs. Students from Gibraltar should be treated as if they were from a country in the EC. A Turkish Cypriot who is recognised by the Government of the Republic of Cyprus as being a Cypriot national will be eligible to be treated as an EC national irrespective of where they live in Cyprus. Therefore, providing they hold a Republic of Cyprus passport, they will be considered as home and EC students provided they meet the residency requirements.

2. Students from countries that are in the European Economic Area (EEA) but not the EC (Iceland, Liechtenstein and Norway) 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 Switzerland should be treated as if they were from a country that is in the EEA but not the EC.

### HEFCE-fundable students

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

- a. They are on a course of recognised HE, as defined in Annex D.
- 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 6 below).

4. Where a student is not subject to 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.

5. The following home and EC 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 ESF, 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 (see paragraph 6 below for more details).
- b. Students whose activity is not funded through mainstream HEFCE recurrent funds for teaching, but whose funding has been separately agreed and notified by us. This includes those who are to count towards the delivery of ASNs reported by the lead institution of an LLN that is not supported through the mainstream teaching grant. It also includes courses where we distribute funds on behalf of other government departments.
- c. Postgraduate research students. Postgraduate research students that are recorded as non-fundable solely by the virtue of this subparagraph should continue to be returned as fundable on the HESA record and included in the Research Activity Survey.
- d. Students on ITT courses leading to QTS; and all students holding QTS who are on an INSET course. This will include students transferring from courses where funding has been provided by the TDA for the whole year.



- e. Students on pre-registration nursing or midwifery degrees and courses (including postgraduate courses) leading to a recognised professional qualification in dietetics, speech and language therapy, chiropody/podiatry, or prosthetics and orthotics.
- f. Students 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.
- g. Students on closed courses. These are courses that are restricted to certain groups of people and are not generally available to **any** suitably qualified candidate. For example, where a course is only available to employees of particular companies, that course is closed.

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

6. 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 18-20 below. Note that, in the examples, the assumed fee per FTE for part-time undergraduates is £1,200.
7. There is an Excel template on the HEFCE website under Questions/HESES FAQs which will calculate the number of students who are non-fundable in individual cases.

### Example 1

8. There are 10 full-time undergraduate students supported by £12,000 from a public source. The students are not charged a fee and there is no other income. The assumed fees are £1,200 per student, so the public money only covers the fees and all students are fundable.

### Example 2

9. There are 10 full-time undergraduates, all in price group C. The fees for each year are £1,200 paid by either the Student Loans Company, 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 ( $1.3 \times £3,721 = £4,837$ ) – assumed fee (£1,200) = £3,637. There is £10,000 additional public money ( $10 \times £1,000$ ). Therefore three students ( $£10,000 \div £3,637 = 2.75$ ) are non-fundable, and the remaining seven are fundable.

### Example 3

10. 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  $0.5 \times £1,200 = £600$ . There is £500 ( $£600 - £100$ ) per student in tuition fees to make up using the public money, which uses  $50 \times £500 = £25,000$ . This leaves £5,000 of the public money. The standard funding per student is the standard resource ( $((0.5 \times 1.3) + (0.5 \times 10\%)) \times £3,721 = £2,605$ ) – assumed fee (£600) = £2,005. Therefore three students ( $£5,000 \div £2,005 = 2.49$ ) are non-fundable, and 47 are fundable.

### Example 4

11. As in example 3, but the fees are £600 a year all paid by the student. Each student pays a tuition fee which is equal to the assumed fee, so there are no tuition fees to make up using the public money. There is £30,000 public money and the standard funding per student is £2,005. Therefore 15 students ( $£30,000 \div £2,005 = 14.96$ ) are non-fundable, and 35 are fundable.

### Example 5

12. There are 10 full-time postgraduate students entirely in price group C. The fees for the year are £3,900; a public body pays half of the fee and the student pays the other half. The assumed fees are £3,721, which leaves £179 (£3,900 – £3,721) of public money per student. The standard funding per student is the standard resource ( $1.3 \times £3,721 = £4,837$ ) – assumed fee (£3,721) = £1,116. There is £1,790 additional public money ( $10 \times £179$ ). Therefore two students ( $£1,790 \div £1,116 = 1.6$ ) are non-fundable, and the remaining eight are fundable.

## HEFCE-funded and independently-funded students

13. 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

14. There are 20 HEFCE-fundable full-time postgraduate students, in price group C. Each student pays £4,900 tuition fees. The standard resource is ( $1.3 \times £3,721$ ) = £4,837. 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

15. 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  $0.6 \times £4,093 = £2,456$ , which leaves £544 per student. The standard funding per student is the standard resource ( $((0.6 \times 1.7) + (0.6 \times 10\%)) \times £3,721$ ) – assumed fee (£2,456) = £1,563. There is  $20 \times £544 = £10,880$  remaining from the fees paid by the students. Therefore, the institution can choose to return up to six students ( $£10,880 \div £1,563 = 6.96$ ) as independently-funded,

with the remaining students returned as HEFCE-funded.

## HEFCE non-fundable students

16. These are students who are home and EC, as defined in paragraphs 1 and 2, but whose place is not considered eligible for recurrent funding for teaching as defined in paragraphs 3-5 above.

## Island and overseas students

17. All students who fall outside the definition of home and EC in paragraphs 1 and 2 should be recorded as 'Island and overseas'. This will include students usually resident in the Channel Islands and the Isle of Man.

## Calculation of standard resource

18. 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, 2006-07, there are three student-related premiums (long courses, part-time and foundation degree), and four institution-related premiums (London weighting, 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 21-24 below.

Factor	Premium	Applied to
Part-time	10%	Unweighted FTE
Foundation degree	10%	Unweighted FTE
Long course (not price group A)	25%	Subject-weighted FTE
London (inner)	8%	Subject-weighted FTE
London (outer)	5%	Subject-weighted FTE
Institution-specific (specialist)	Variable	Subject-weighted FTE
Small institutions	Variable	Unweighted FTE
Old and historic buildings	Variable	Unweighted FTE

19. The subject weights are shown below.

Price group	Subject weight
A (Clinical)	4.0
B (Laboratory-based science, engineering and technology)	1.7
C (Other high cost subjects with a studio, laboratory or fieldwork element)	1.3
D (All other subjects)	1.0
Media studies*	1.0, 1.3, 1.7

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

20. The 2006-07 standard resource for a student is calculated by multiplying the total weighted FTE by £3,721 (the base level of resource for price group D).

#### Example 1

21. The standard resource for a part-time student (0.4 FTE) in price group C is £2,084:

Part-time premium	$0.4 \times 10\% = 0.04$
Subject weight	$0.4 \times 1.3 = 0.52$
Resource	$= 0.56 \times \text{£}3,721 = \text{£}2,084$

#### Example 2

22. The standard resource for a part-time student (0.3 FTE) on a long course in price group C studying a foundation degree is £2,037:

Part-time premium	$0.3 \times 10\% = 0.0300$
Foundation degree premium	$0.3 \times 10\% = 0.0300$
Subject weight	$0.3 \times 1.3 = 0.3900$
Long course premium	$0.3 \times 1.3 \times 25\% = 0.0975$
Resource	$= 0.5475 \times \text{£}3,721 = \text{£}2,037$

#### Example 3

23. The standard resource per FTE in price group B for a student at an institution receiving the inner London premium is £6,832:

Subject weight	$1.0 \times 1.7 = 1.700$
Inner London premium	$1.0 \times 1.7 \times 8\% = 0.136$
Resource	$= 1.836 \times \text{£}3,721 = \text{£}6,832$

#### Example 4

24. 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 £5,284:

Subject weight (price group B)	$1.0 \times 60\% \times 1.7 = 1.02$
Subject weight (price group D)	$1.0 \times 40\% \times 1.0 = 0.40$
Resource	$= 1.42 \times \text{£}3,721 = \text{£}5,284$

# Annex H

## 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 circular letter 32/2005 'Assignment of departments to academic cost centres: 2005-06'.

Cost centre	Price group(s)	Cost centre	Price group(s)
01 Clinical medicine	A, B	21 Mechanical, aero and production engineering	B
02 Clinical dentistry	A, B	23 Architecture, built environment and planning	C
03 Veterinary science	A, B	24 Mathematics	C
04 Anatomy and physiology	B	25 Information technology, systems sciences and computer software engineering	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	C	28 Geography	C
08 Pharmacy and pharmacology	B	29 Social studies	D
10 Biosciences	B	30 Media studies	Media studies
11 Chemistry	B	31 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 Modern languages	C
16 General engineering	B	37 Archaeology	C
17 Chemical engineering	B	38 Sports science and leisure studies	B, C, D
18 Mineral, metallurgy and materials engineering	B	41 Continuing education	D
19 Civil engineering	B	99 Cost centre not assignable	D
20 Electrical, electronic and computer engineering	B		

Price group	Cost centres
A	01*, 02*, 03*
B	01*, 02*, 03*, 04, 08, 10, 11, 12, 13, 14, 16, 17, 18, 19, 20, 21, 38*
C	05, 06, 07, 23, 24, 25, 26, 28, 33, 34*, 35, 37, 38*
D	27, 29, 31, 34*, 38*, 41, 99
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

2. Students on a sandwich year-out should be recorded in price group C, regardless of academic cost centre.

## Cost centres in more than one price group

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

3. 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.

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

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

6. 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.

7. 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.

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

9. Where, and only where, a postgraduate course meets the criteria set out in paragraphs 6 and 7 above, the subject of qualification aim should be coded as A3 (clinical medicine), A4 (clinical dentistry) or C840 (clinical psychology) on the HESA student record.

### Veterinary science – cost centre 03

10. Undergraduate veterinary science students should be included in price group A if they are in the final five years of a course which leads to eligibility to register to practise as a veterinary surgeon, irrespective of any activity in academic cost centres. All other undergraduate veterinary activity, including foundation years, should be returned in price group B.

11. To be included in price group A, clinical veterinary science 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 veterinary qualified university-funded clinical academic staff.
- c. The course is normally taught in a clinical environment.

12. 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.

13. All other postgraduate activity in cost centre 03 should be recorded in price group B.



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

14. 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 PGCEs for the post-compulsory education sector (TTCID=2), should be entirely attributed to price group C, irrespective of any activity in academic cost centres.

15. Students on GTPs and OTTPs should be entirely attributed to the ITT price group.

16. INSET courses are defined as courses for which the primary (but not necessarily the only) purpose is to improve the effectiveness of teachers, lecturers or trainers. Students holding QTS on INSET courses should be entirely attributed to the INSET (QTS) price group, irrespective of any activity in academic cost centres and whether or not the TDA is funding their provision. Students who do not hold QTS but are studying a CertEd as an INSET course should be recorded in price group C. Other students on INSET courses who do not hold QTS should be attributed to price groups in the normal way.

17. Students studying for a foundation degree to become a teaching assistant, whose course has been awarded as part of an ASN exercise, should be returned in price group C. Where students are studying for such a course, but it has not been awarded as part of an ASN exercise, institutions should seek our permission before recording them in price group C. Institutions should re-apply if there is a material change in the provision.

18. All other activity in cost centre 34 should be returned in price group D.

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

19. 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 groups B, C or D according to the outcome of the HEFCE review carried out in 2004-05 or as subsequently agreed.

## **Attribution of computing to cost centres 20 and 25**

20. Only computer engineering departments that relate to the development of computer hardware – specification, design (via CAD), simulation, verification, construction and testing of the hardware of computer systems using logic, memory and interconnection technologies – should be included in cost centre 20. All other computing departments should be returned in cost centre 25.

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

21. 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.

22. Except where noted in paragraphs 3-19 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.

23. 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.

24. 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 2007 we will compare the load returned to cost centres with both:

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

#### Example 1

25. A 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

26. A 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

27. A 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 I

## 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. Full-time fees are chargeable for the course for the year. These include:

For 'new system students':

- i. Regulated fees of up to £3,000 for undergraduates, and students registered for a PGCE.
- ii. Regulated fees of up to £1,500 for undergraduates on courses provided in conjunction with overseas institutions that are not SOCRATES/ERASMUS exchanges, where study at the home institution is for less than 10 weeks.
- iii. Regulated £0 (nil) for undergraduates who are on full-year outgoing SOCRATES/ERASMUS exchanges.

For 'old system students':

- iv. Regulated fees of up to £1,200 for undergraduates, and students registered for a PGCE.
- v. Regulated fees of up to £600 for undergraduates on courses provided in conjunction with overseas institutions that are not SOCRATES/ERASMUS exchanges, where study at the home institution is for less than 10 weeks.
- vi. Regulated £0 (nil) for undergraduates who are on full-year outgoing SOCRATES/ERASMUS exchanges.

In the above examples, 'new system students' and 'old system students' means those defined in the Education (Student Support) Regulations 2006. Exceptionally, the fee may be waived for individual students based on their particular

circumstances. It should not be waived for all students on a course, and the criteria that determine whether fees may be waived should not be tantamount to waiving the fee for all students.

2. This category 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 2(6) of the Education (Student Support) Regulations 2006 (SI 2006 No. 119), as amended. (This includes language year abroad courses where the year abroad is spent working.)
- b. The overall maximum fees are, for qualifying students, those described in Regulation 5 of the Student Fees (Amounts) (England) Regulations (SI 2004 No. 1932), or up to approximately half of the fees that would be chargeable if the student were full-time.

Exceptionally, the fee may be waived for individual students based on their particular circumstances. It should not be waived for all students on a course, and the criteria that determine whether fees may be waived should not be tantamount to waiving the fee for all students.

### 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 is at Annex F.

# Annex J

## Level of study

### Undergraduate

1. Undergraduates are students studying towards a first degree (including foundation degree), HE certificate, HE diploma or equivalent (or registered for an institutional credit that can be counted towards one of these qualifications). On Tables 1a, 2 and 3, undergraduate data are split between 'FD' (foundation degree) and 'UG (excl. FD)' (undergraduate excluding foundation degree). Foundation degree bridging courses should be returned as 'UG (excl. FD)' on Table 3.

2. The undergraduate data on Table 5 are split between:

- students on HND courses
- students on sub-degree courses excluding HNDs (such as those aiming for an HNC, DipHE or CertEd)
- students on foundation degree courses
- students on another undergraduate degree (excluding foundation degrees but including 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 an undergraduate degree or a sub-degree qualification level, they should be counted as sub-degree level.

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

### Postgraduate

5. Postgraduate students are registered for courses 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 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. A research-based higher degree is a postgraduate programme comprising a research component (including a requirement to produce original work) which is larger than any

accompanying taught component when measured by student effort. The arrangements for assuring and maintaining the academic standards, and enhancing the quality, of these programmes should be fully compliant with section one of the QAA's code of practice for the assurance of academic quality and standards in higher education (postgraduate research programmes). 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 K

## Long years of programme of study

### Full-time students

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 a bidding exercise for ASNs.
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 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.
5. For postgraduate students, most long courses will be for higher degrees.

### Part-time students

6. 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 whether the year of programme of study is long. The equivalent full-time course used should be the same as that used in calculating the FTE.

#### Example 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 for each year 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 in the three years respectively, 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 L

## 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 I. 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 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 2006, and those expected to become countable between 2 December 2006 and 31 July 2007, 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 split between home and others entitled to pay home and EC fees

10. The counts of years of programme of study in Table 5 are the same as those 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 home students and 'others 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 'others entitled to pay home and EC fees', when added to the home data, should give the totals of all home and EC students returned in Columns 1 and 2 of Tables 1a, 2 and 3. Both HEFCE-fundable and non-fundable data are required in this table for each level, but not island and overseas.

11. The levels of qualification are grouped differently in this table than in the others. Those on foundation degree bridging courses should be included in 'Other UG degree'. Sub-degree (excluding HND) qualifications include HNCs, DipHEs, CertEds, institutional credits and professional qualifications.

## **Table 6 – HEFCE-recognised funding consortia 2006-07**

12. This table applies only to the lead institutions of HEFCE-recognised funding consortia and should not be completed by other institutions. Table 6 in the lead institution's workbook available from the HEFCE extranet will contain a list of the HEFCE-recognised funding consortium's member institutions.

13. The data returned in Table 6 are a subset of the data collected in Columns 1 and 2 of Tables 1a, 2 and 3. Table 6 contains the number of years of programme of study for home and EC students who are part of a HEFCE-recognised funding consortium where the institution is the lead (see Annex C). These are split between full-time and sandwich (including sandwich year-out) and part-time, and further between those countable on or before 1 December 2006, and those expected to become countable between 2 December 2006 and 31 July 2007.

# Annex M

## 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 Columns 4a and 5a on Table 3.

### 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 2006 and 1 December 2006 inclusive. If a year of programme of study has been classified as a non-completion, as defined in Annex E, on or before 1 December 2006, it should not be returned.

3. Column 2: Number of years of programme of study expected to become countable between 2 December 2006 and 31 July 2007 inclusive. Guidance on when years of programme of study become countable is given in Annex E.

4. Column 3: Number of years of programme of study which students will fail to complete after 1 December 2006. 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 E. 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 O for details about common errors made in the estimation of non-completions, encountered as part of our audit of HESES05.

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 (Tables 1a, 2 and 3 only): Assumed completed years of programme of study that are to count towards the delivery of ASNs reported by the

lead institution of an LLN that is not supported through the mainstream teaching grant. Provision for students in Column 5 are non-fundable, by virtue only of the criterion in paragraph 5b of Annex G. Any LLN students that are non-fundable by virtue of the other criterion in paragraph 5 of Annex G should not be included in Column 5. Column 5 is a subset of the non-fundable years of programme of study recorded in Column 4.

8. Column 5a (Table 3 only): Assumed load (that is, the sum of the FTE) for the completed years of programme of study returned in Column 5. Column 5a is a subset of the non-fundable assumed load recorded in Column 4a.

### Table 4 – Home and EC student fees

9. 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 or loan for fees payable by the Student Loans Company, 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.

10. Regulated fees are those that apply to qualifying courses as defined in the Student Fees (Qualifying Courses and Persons) Regulations 2006 (SI 2006 No. 482). The fees are subject to overall limits set out in the Student Fees (Amounts) (England) Regulations 2004 (SI 2004 No. 1932). These regulations can be found on the OPSI website – [www.opsi.gov.uk](http://www.opsi.gov.uk), under Legislation/UK/Statutory Instruments. In general, the fees are:

- a. Regulated full fee – full-time and sandwich undergraduate courses (where the student is not on their year-out) and full-time PGCE courses. The overall maximum fees for qualifying



students on such courses are those described in Regulation 4 of the Student Fees (Amounts) (England) Regulations 2004 (SI 2004 No. 1932).

- b. Regulated half fee – undergraduates following full-time and sandwich courses who are on their sandwich year-out, students on a non-SOCRATES/ERASMUS study related year abroad, part-time ITT courses and students on the final year of a full-time undergraduate programme which is normally required to be completed after less than 15 weeks' attendance. The overall maximum fees for qualifying students on such courses are those described in Regulation 5 of the Student Fees (Amounts) (England) Regulations 2004 (SI 2004 No. 1932).
- 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.
11. Years of programme of study should be returned under the fee level 'Non-regulated' where the course the student is studying for is not prescribed under Regulation 4 of the Student Fees (Qualifying Courses and Persons) Regulations 2006 (SI 2006 No. 482).

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

12. 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 full-time course which is ordinarily completed in less than 15 weeks.

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

In cases b and c, the students should be recorded as subject to regulated half fees and regulated full fees respectively.

13. Part 10 of the Education (Student Support) Regulations 2006 (SI 2006 No. 119), as amended, makes provision for the support of students attending 'designated part-time courses' of HE, through a grant for help with fees and a £250 grant for help with other course costs. Students on such part-time courses should still be returned under 'non-regulated' fees, as these courses are not explicitly designated under the Student Fees (Qualifying Courses and Persons) Regulations 2006 (SI 2006 No. 482).

14. 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 full or regulated half 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 full fees.

15. Column 1: Number of years of programme of study for home and EC students countable between 1 August 2006 and 1 December 2006 inclusive. The column is broken down by mode of study as defined in Annex I.

16. Column 2: Forecast of number of years of programme of study for home and EC students expected to become countable between 2 December 2006 and 31 July 2007 inclusive. The column is broken down by mode of study as defined in Annex I.

## **Table 5 – Counts of years of programme of study split between home and others entitled to pay home and EC fees**

17. Column 1: Years of programme of study countable between 1 August 2006 and 31 July 2007 inclusive. 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 L, paragraph 10. 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.

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

19. Column 3: Number of years of programme of study returned in Column 1 for students who are wholly or partially franchised-out, broken down by the type of institution involved. 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 countable years of programme of study, and not the proportion of the year of study franchised, should be returned where the student is partially franchised-out.

20. When determining whether a student is franchised-out, the franchise arrangement for the year of programme of study and not the whole course should be used. For example, a student on a two-year course, which is franchised-out for the whole of the first year only, would be returned as franchised-out in the first year and not included in the franchised-out column in the second year.

## **Table 6 – HEFCE-recognised funding consortia 2006-07**

21. This table applies only to those institutions who are the lead of a HEFCE-recognised funding consortium (see Annex C).

22. Column 1: Number of countable years of programme of study between 1 August 2006 and 1 December 2006 inclusive for those fundable home and EC students that are part of the consortium. If a year of programme of study has been classified as a non-completion, as defined in Annex E, on or before 1 December 2006, it should not be returned. This column is broken down into full-time and sandwich (including sandwich year-out) and part-time.

23. Column 2: Number of years of programme of study expected to become countable between 2 December 2006 and 31 July 2007 inclusive for fundable home and EC students. Guidance on when years of programme of study become countable is given in Annex E. This column is broken down into full-time and sandwich (including sandwich year-out) and part-time.



# Annex N

## Sample tables

See separate download.

# Annex O

## Audit of HESES05

1. For HESES05 we are auditing 20 institutions and following up previous audits at a further four institutions. At the time of preparing this publication, not all the audits had been completed. The completed audits highlighted the following 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 (see paragraphs 2-9)
- lack of robustness in the estimation of forecast countable years (see paragraphs 10 and 11)
- incorrect assignment of departments to cost centres (see paragraphs 12-15)
- incorrect apportionment of student load to cost centres, where a course is in more than one cost centre (see paragraph 16)
- incorrect calculation of part-time load factors (see paragraphs 17-20)
- poor communication within collaborative arrangements (see paragraphs 21-24)
- inadequate audit trail between the student record system and the HESES return (see paragraphs 25 and 26)
- lack of knowledge management (see paragraphs 27 and 28)
- poor use of student record data as management information (see paragraphs 29-35)
- variable practices in faculties, schools and departments producing inconsistent data (see paragraphs 36-38)
- students recorded more than once in the HESES return (see paragraphs 39 and 40)
- lack of analytical review of figures in the return to identify anomalies and to ensure the data make sense. In particular, a lack of a reconciliation between the HESES return and the Research Activity Survey return to ensure each is correct in its own right, and a lack of reconciliation between HESES and HESA returns before submission of HESA (see paragraphs 41-43)
- problems with implementing new student record systems (see paragraphs 44 and 45)
- incorrectly returning overseas students in the HEFCE-funded column rather than the Island and overseas column, despite charging overseas fees, or returning students as overseas when they are home, due to delays in assessing student status in a timely fashion (see paragraph 46)
- incorrect inclusion of pre-enrolled students in the return (see paragraph 47)
- recording the incorrect mode of attendance if a student is only active for part of a year (see paragraph 48)
- incorrect recording of student activity as being full-time (see paragraph 49)
- assessment of headcount and completion status for continuing education students (see paragraph 50)
- inappropriate authorisation of the HESES return (see paragraphs 51 and 52)
- housekeeping issues identified during the audit process (see paragraph 53).

The problems encountered in previous audits that were not found this year are described in paragraph 28 of the main text.

### Estimation of non-completions

2. The definition of a non-completion is in Annex E, paragraphs 16-23. The audits identified a common misconception that withdrawals notified from an academic department are the sole source of data for that department's non-completion estimate. Estimates of the number of non-completions should normally be based on the non-completion rate for the previous year for the particular course. Where this is not the case, there should be a clear rationale for any alternative methods used or adjustments made. This may be particularly relevant for 2006-07, if non-completion rates in 2005-06 have been skewed by the industrial action that affected exams and assessment. 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 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. Non-completion rates in 2005-06 may be atypical because of the effects of the industrial action affecting exams and assessment.

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

6. Where the non-completion rate being used in the return differs significantly from past data, there should be a clear rationale for the change. We found instances where institutions are using rates significantly lower than evidence both from their own data and from audit, with no reasoning behind it.

7. 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. Reconciliations should be made with the student record system to ensure it is up to date and accurately reflects what is being reported elsewhere. We found examples where additional students were on mark sheets but not 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.

8. 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.

9. Incorrect application of the FUNDCOMP status to student records returned in institutions' HESA returns has produced incorrect data on which to base the subsequent HESES return forecasts. The FUNDCOMP status should be applied to individual students' records with reference to funding completion rules, and not to institutions' own progression rules, or compliance with institutions' slow identification of students no longer engaged with the course of study set out on at the start of the academic year.

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

10. 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 students may be included here who should in fact be returned in Column 1. A particular problem was that institutions tended to have a student in Column 2 only for the first year of their course, and then transfer them to Column 1 in future years as they are present at 1 December. This is incorrect and leads to over-returning of students during their time at the institution. Once a student is returned in Column 2, they should remain in that column for the duration of their course. For a detailed explanation of the correct treatment see Annex E.

11. 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

12. Departments should be assigned to cost centres according to the guidance given in HEFCE circular letter 32/2005 'Assignment of departments to academic cost centres: 2005-06'. 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. We 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 also found instances where a department is assigned to the incorrect cost centre/price group. We may ask institutions to provide evidence of how they have allocated particular departments to cost centres.

13. As part of the comparison of HESA data to HESES04, 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.

14. 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 is 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.

15. A regular review of the assignment of departments to cost centres should be carried out to ensure the latest guidance is being followed.

## Apportionment of student load to cost centres

16. 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 a module or part 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, with particular attention paid to areas affected by any changes to cost centre or price group assignments. It is not appropriate for a ratio calculated for one course to be applied to other courses. More guidance is included in Annex H, paragraphs 21-27.

## Part-time load factors

17. As shown in Annex F, 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.

18. 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.

19. Some students may study at a rate that is lower than the norm for a course. This should be reflected in the load. At some institutions, students are able to vary the intensity of study during the year and therefore institutions may have difficulty predicting this. However, we do expect institutions to reflect this in their estimates of part-time load.

#### Example

20. A one FTE part-time course is normally studied over two years. However, each year a small proportion of the students take three years to complete. If there are 100 students on the course and 10 take an extra year to complete, the load should be  $((90 \times 0.5) + (10 \times 0.33))/100 = 0.48$  and not 0.5.

## Collaborative arrangements

21. 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.

22. 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.

23. 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. A lead institution's student record system should contain the collaborative student's records in the same way as it does its 'own' students. This will help to ensure collaborative students are correctly returned in HESES, and to ensure there is an audit trail to such students included in the return.

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

## Inadequate audit trail

25. 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 electronically stored data, 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.

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

## Knowledge management

27. 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 by ensuring that at least two people can both produce the information for the return and prepare the return itself.

28. 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

29. The student record system is not only important from the point of view of the HESES and other statistical returns, it 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.

30. It is important to encourage the use of the main student record system for recording marks within the year if possible. Use of separate databases held locally at department, school or faculty level will not help to ensure that the main student record is up to date, and is therefore not useful as a management tool.

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

32. 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.

33. Particularly where institutions are implementing new student record systems, there can be a lack of attention to forthcoming reporting requirements. During audit we do not ask for any

reports that could not reasonably be expected to be used in everyday activity. However, at some institutions there is enormous difficulty in extracting these standard data from the student record system. An awareness of reports required for everyday activities should be considered as part of the overall project, and scoping for these should be given priority. Data that cannot be extracted and reported on are of little value.

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

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

## Variable practices

36. 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.

37. 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.

38. 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 incorrectly recorded more than once on the HESES return**

39. This is becoming a less frequent problem, but we still find 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.

40. Part-time students are sometimes counted as more than one headcount for different modules within the same course being studied. It is important that if students are only on one course they should only have one headcount in the return, and processes should be designed to ensure this is the case.

## **Analytical reviews and data reconciliations**

41. Someone independent of the compiler of the return should carefully review the return, to ensure the figures make sense in relation to the back-up data, and to ensure basic inputting errors have not occurred. This will increase the accuracy of the returns being submitted.

42. A reconciliation between the HESES return and the Research Activity Survey should be made, and any differences identified to ensure they are bona fide. The reconciliation should be retained with the working papers of both returns, so it can be reviewed in future if necessary.

43. A reconciliation between the HESES and HESA returns should be made before the HESA data is submitted. Differences should be looked into to see which return is correct, and amendments made to HESA data if necessary. This will be useful preparation towards the HESA-HESES reconciliation exercise if differences are substantial, but should also help to eliminate inconsistencies

with students' treatment between the two returns for future reference, and reduce systems problems with the way students are returned in HESA before submission.

## **Problems with implementing new student record systems**

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

45. One problem we found with the new systems is the lack of ability to draw management information and basic reports from the system (see also paragraph 33 above). As part of the overall implementation project, it is essential that requirements for both the reports required for everyday use by academic and administrative staff and the top level management reports are included, and that arrangements are made to ensure they can be delivered. During audit we ask for quite basic reports that sometimes cannot be provided or take a long time to produce. These are not specialist reports only for audit, but the types of reports that could reasonably be expected to be generally available.

## **Incorrect recording of overseas students**

46. Overseas students should be clearly identified on the student record system in a timely fashion, and returned in the 'Island and overseas' columns. A number of instances were found where students were paying overseas fees but were returned in the HEFCE-funded columns of the return. We also found examples where students were returned with a status of 'overseas' when the actual status of the student had not been established by the census date.

## **Incorrect inclusion of pre-enrolled students in the return**

47. Students who have not fully enrolled, and for whom there is no evidence of activity by the census date, should not be included in the return. Students

who have not fully enrolled by the census date, but for whom there is evidence of activity, may be included in Column 1 of the return, but efforts should be made to ensure all eligible students are fully enrolled by the census date.

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

48. Where a student plans to study at a full-time rate for a portion of the year, for example only for semester 1, they must be returned as part-time, even though they are 'full-time' for that period of study. The mode of attendance must be established with reference to the level of activity for the whole academic year.

## **Full-time student activity**

49. To be returned as full-time, a student must satisfy the criteria laid down in Annex I paragraphs 1 and 2.

## **Assessment of headcount and completion status for continuing education students**

50. Frequently both headcount and completion status of continuing education students is based on an individual module extract which does not take into account that a student may be taking more than one module during the year. This will inflate the headcount and may inflate the number of completions as the completion status is judged on a single module rather than an assessment on all modules undertaken by an individual student within the year.

## **Authorisation of the HESES return**

51. 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 text, 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.

52. The analytical review function of the person signing off the return is vital in reducing the number of 'obvious' errors returned (see also paragraph 41).

## **Housekeeping issues identified during the audit process**

53. As part of the feedback to institutions, we highlight housekeeping issues identified during the audit process. It is important that institutions undertake reviews to identify the data issues that need to be addressed to improve the overall quality of the data, and hence future accuracy of the returns.

# Annex P

## Glossary

<b>APL</b>	Accredited prior learning.
<b>ASNs</b>	Additional student numbers.
<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 2006-07, this is £3,721. Also known as the base price.
<b>CertEd</b>	Certificate in Education.
<b>DipHE</b>	Diploma of Higher Education.
<b>EC</b>	European Community.
<b>EEA</b>	European Economic Area: all EC countries plus Iceland, Liechtenstein and Norway. Students from Switzerland are treated in the same way as those from the EEA.
<b>ERASMUS</b>	European Community action scheme for the mobility of university students.
<b>ESF</b>	European Social Fund.
<b>FAQs</b>	Frequently asked questions.
<b>FD</b>	Foundation degree.
<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 C.
<b>FTE</b>	Full-time equivalent or full-time equivalence depending on context.
<b>GTP</b>	Graduate Teacher Programme.
<b>HE</b>	Higher education.
<b>HEA</b>	HEFCE higher education adviser.
<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 C.
<b>HIN</b>	Unique HE programme of study identifier on the HESA record, HIN = <b>H</b> USID + <b>I</b> NSTID + <b>N</b> UMHUS, 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>HNC</b>	Higher National Certificate.
<b>HND</b>	Higher National Diploma.
<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>ITT</b>	Initial Teacher Training.
<b>LLN</b>	Lifelong Learning Network.
<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>OPSI</b>	Office of Public Sector Information.
<b>OTTP</b>	Overseas Trained Teacher Programme.
<b>PGCE</b>	Postgraduate Certificate in Education.
<b>PGT</b>	Postgraduate taught.
<b>PGR</b>	Postgraduate research.
<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 J.
<b>QAA</b>	Quality Assurance Agency for Higher Education.
<b>QTS</b>	Qualified teacher status.
<b>Regulated fees</b>	Regulated fees are those that apply to qualifying courses as defined in the Student Fees (Qualifying Courses and Persons) Regulations 2006 (SI 2006 No. 482).

<b>SCITT</b>	School-Centred Initial Teacher Training.
<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 G.
<b>Student load</b>	Student activity expressed as full-time equivalents rather than counts of years of programme of study. See Annex F.
<b>TDA</b>	Training and Development Agency for Schools
<b>Ufi</b>	A government initiative to develop a 'university for industry'. Learning services are provided through learndirect.
<b>UG</b>	Undergraduate.
<b>UG (excl. FD)</b>	For HESES purposes, an undergraduate course that is not a foundation degree.
<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 J.
<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 E.

# Annex Q

## Index

References are to the paragraph numbers in the main text, or to the annex letter and paragraph numbers of annexes.

Note that some words or phrases are defined in the glossary at Annex P.

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