

Annex D: Getting started – table, column and row descriptions

This annex describes the tables that must be completed in HESES14 and the columns and rows within them. It outlines the structure of the survey and indicates where guidance and definitions can be found in subsequent annexes.

We recommend reading this annex alongside the sample tables in [Annex C](#).

Which students are counted in HESES?

1. This guidance defines a student population covered by the HESES return. Within that population, we need to ensure that activity for a given student on a given programme of study (known as an 'instance') is counted once and once only. Instances are broken down into separate years of study. The HESES guidance defines whether such a 'year of instance' is countable in HESES14, or whether it is countable in the return for a different year. HESES14 therefore records counts of years of instance for students aiming for a recognised higher education (HE) qualification. This is not the same as counting students or modules. Further information on recognised HE qualifications is available in [Annex G](#).
2. An instance is defined as a 'coherent engagement with the institution by a student aiming towards the award of one or more qualifications, or of credit' (see [Annex F](#) paragraph 1). This period may be split into one or more years of instance (see [Annex H](#) paragraph 1).
3. To be counted in HESES14, a year of instance must be generated by a student in the HESES14 population. Paragraph 3 of [Annex F](#) defines criteria that instances must meet to be included in the population. Paragraphs 4 and 6 of [Annex F](#) also identify particular cases that are excluded from the population.
4. Not all students in the HESES14 student population will generate a year of instance that is countable in HESES14. Paragraph 9 of [Annex H](#) provides additional criteria that a year of instance must meet to be counted in the HESES14 population, relating to the need to charge a tuition fee, the minimum amount of activity, and the requirement that the student is not writing up a thesis (or similar) for the whole year of instance. Some years of instance may be generated by students who are in the HESES14 population and meet the criteria in paragraph 9 of [Annex H](#), but may instead have been counted in a previous HESES survey rather than HESES14. The flow chart in Figure H2 of [Annex H](#) will help determine whether a year of instance should be returned in Tables 1 to 5 of HESES14 and whether it should be returned in Column 1 or 2 of HESES Tables 1, 2 or 3.

Things to note

5. Care should be taken if the institution is involved in a collaborative arrangement with another institution to ensure years of instance are not being counted twice (collaborative arrangements, excluding those solely for validation, are treated as franchises for HESES purposes). See paragraphs 9 to 19 of [Annex F](#) for guidance on returning franchised activity in HESES.

6. Annex H paragraph 6 contains guidance on how to treat students who are studying towards two or more independent qualifications at the same time.

7. Annex H paragraphs 44 to 56 explain whether, and if so how, to return the following kinds of summer school in HESES:

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

Table and column descriptions

8. All numbers returned in all tables should be counts of years of instance **apart from** where full-time equivalents (FTEs) are required in Columns 4a and 5a in Table 3.

9. The HESES14 workbook contains six tables for completion, which this annex describes in detail:

Name of worksheet	HESES14 tables
FTS	Table 1: Full-time counts of years of instance
OUT	Table 2: Sandwich year-out counts of years of instance
PT	Table 3: Part-time counts of years of instance and FTE
YA	Table 4: Home and European Union (EU) undergraduate years abroad
HEC	Table 5: Further student breakdowns for planning purposes
SNC	Table 6: Counts of years of instance monitored for student number control purposes.

Tables 1, 2 and 3: Counts of years of instance and student FTE

10. Tables 1, 2 and 3 correspond to the three modes of study (full-time, sandwich year-out and part-time respectively) defined in Annex M. These tables are mutually exclusive, and taken together should sum to the total number of years of instance countable for the academic year.

Things to note

11. Occasionally a student's mode of study changes, either between years or mid-year. See paragraphs 8 to 10 of Annex M for guidance on how to return such years of instance.

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

What should be included in each column in Tables 1, 2 and 3?

Columns 1 and 2

13. Column 1: Number of years of instance countable between 1 August 2014 and 1 December 2014 inclusive. If the student has withdrawn from their year of instance on or before 1 December 2014, their year of instance should not be returned.

14. Column 2: Number of years of instance expected to become countable between 2 December 2014 and 31 July 2015 inclusive. Institutions should make sure that estimates included in this column are made on a reasonable basis, and that supporting evidence for the assumptions is kept for audit purposes. Column 2 should include those years of instance (including non-standard years) expected to start after 1 December 2014. Guidance on when years of instance become countable is given in [Annex H](#).

15. Columns 1 and 2 are mutually exclusive. Whether a year of instance should be recorded in Column 1 or 2 depends on when it becomes countable, and this in turn depends on the start date for the student's first year of instance. The flow chart in Figure H2 of [Annex H](#) will help determine whether a year of instance should be returned in HESES14 Tables 1 to 5, and whether it should be returned in Column 1 or 2 of Tables 1 to 3.

Things to note

16. Care needs to be taken where modules span two years of instance. Paragraph 23 of [Annex H](#) and the flow chart in Figure H1 provide guidance on how to assign such modules to years of instance.

Column 3 (forecast of years not completed)

17. Column 3: Number of years of instance included in Columns 1 and 2 which students will not complete. Students who intermit or are known to have non-completed on or before 1 December 2014, but who have not withdrawn by that date, should still be included in Column 1 and in Column 3 as appropriate. Numbers of non-completions should be entered as negative values in the workbook. Institutions should ensure that these estimates are supported by historical data.

18. The main volume measure in our teaching funding methods relates to students who complete their year of instance. This is because we want to emphasise the importance of this, and to encourage institutions to support students in completing their study intentions for the year, for which they will have paid a tuition fee. [Annex I](#) provides the definition of completion and non-completion.

19. Some guidance on the completion of the HESA fields FUNDCOMP and MODOUT, which explicitly relate to completion status, can be found under 'Good practice' in [Annex I](#) paragraphs 24 and 32 to 34.

Columns 4 and 4a (estimated countable years and FTEs)

20. Column 4: Estimated completed years of instance for the academic year. This is the sum of the first three columns; the addition will be carried out automatically in the workbook. This is an estimate of the number of students whose activity is countable in the academic year and who will complete the year of instance.

21. Column 4a (Table 3 only): Estimated FTE for the academic year. This is the sum of the FTE for the years of instance returned in Column 4. [Annex J](#) gives further guidance on determining FTE for part-time years of instance.

22. The HEFCE-fundable data in Column 4 of Tables 1 and 2 and Column 4a of Table 3 are used in our teaching funding calculations. They will primarily be used to calculate the adjusted allocations for 2014-15 and allocations for 2015-16.

Things to note

23. Care should be taken when determining the FTE of a student who has changed their mode of study mid-year, or who is exempt from part of a course due to, for example, accredited prior learning. See paragraphs 4 and 7 of [Annex J](#).

Columns 5 and 5a (employer co-funded students)

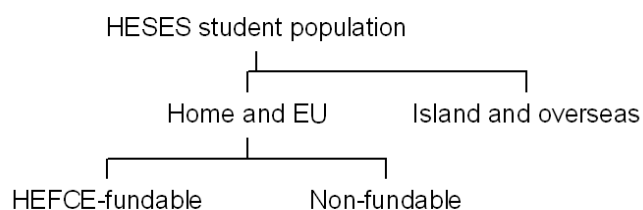
24. Column 5: This is a subset of the non-fundable years of instance recorded in Column 4, and relates only to students who are employer co-funded. These are students who are aiming for the same qualification at the same institution where a year or years for that instance prior to 2012-13 were reported as employer co-funded. Any students who are non-fundable for any reason other than their being on an employer co-funded course should not be included in Column 5, unless the only other reason they are non-fundable is that they are aiming for an equivalent or lower qualification (ELQ) (see [Annex K](#)).

25. Column 5a (Table 3 only): Estimated total FTE for the completed years of instance returned in Column 5. Column 5a is a subset of the non-fundable estimated FTE recorded in Column 4a.

26. Column 5 of Tables 1 and 2 and Column 5a of Table 3 will primarily be used to calculate the adjusted allocations for 2014-15 for employer co-funded old-regime students.

Fundability status

27. There are three fundability statuses collected in HESES: HEFCE-fundable, non-fundable, and Island and overseas. Students in the HESES population are disaggregated as follows:



28. [Annex K](#) paragraphs 1 to 5 explain how to distinguish between Home and EU students and Island and overseas students.

29. [Annex K](#) paragraphs 7 to 9 explain how to determine which Home and EU students are HEFCE-fundable and which are non-fundable. Home and EU students aiming for an ELQ are classed as non-fundable (unless they are exempt from this policy). [Annex K](#) paragraphs 10 to 37 contain guidance on assessing a student's ELQ status and the exemptions that apply for our funding purposes.

Old-regime and new-regime

30. In Columns 1 to 4 of Tables 1 to 3, HEFCE-fundable years of instance are disaggregated between old-regime and new-regime. [Annex Q](#) explains how to determine which are old-regime and which are new-regime.

Things to note

31. For old-regime students funded by another EU public source, years of instance will typically need to be reported as non-fundable, depending in part on whether the level of contribution from that other source is at the HEFCE standard rate or higher. [Annex K](#) paragraphs 42 to 49 contain examples of how to determine the number of old-regime students supported from other EU public funds (and therefore to be reported as non-fundable), where the available money is not enough to cover the HEFCE standard rate for all relevant students. There is an Excel template on the HEFCE web-site at www.hefce.ac.uk/data/datacollection/heses/under 'Frequently asked questions' which will calculate the number of students who are non-fundable in individual cases.

32. The guidance in paragraph 31 does not apply to new-regime students: students fully or partly supported from an EU public source will normally be HEFCE-fundable unless they are non-fundable by virtue of sub-paragraphs 9d, 9e, 9f, 9g, 9j or 9k of [Annex K](#).

Price groups

33. These reflect the broad relative costs of provision in different subject areas. Price groups are defined in terms of academic cost centres. [Annex L](#) contains guidance on how to assign a year of instance to the appropriate price group or groups.

Things to note

34. [Annex L](#) contains particular guidance on how to treat sandwich years-out, medicine, dentistry, veterinary science, social work and social policy, education and computing, when assigning activity in these areas to price groups.

35. Care should be taken over the assignment to price groups of students who study two or more subjects at an institution, or are taught under a franchise arrangement. See paragraphs 20 to 30 of [Annex L](#).

Long years of instance

36. Years of instance are classified as either standard length or long. Whether full-time years of instance are treated as long depends on the number of weeks' study in the year; for part-time years of instance, it depends on the length of each year for an equivalent full-time course. [Annex O](#) paragraphs 1 to 3 define 'long' for full-time courses, and [Annex Q](#) paragraph 7 defines 'long' for part-time courses.

Things to note

37. Periods of work-based study should not be taken into account when determining whether a year of instance is long – see paragraphs 3 and 4 of [Annex O](#).

Level

38. [Annex N](#) describes how to determine whether a student should be classed as an undergraduate or postgraduate, and whether a postgraduate student should be classed as a postgraduate taught or postgraduate research student.

Things to note

39. Postgraduate taught students who are subject to regulated undergraduate fees are recorded separately within Tables 1 to 3 – see paragraph 7 of [Annex N](#).

Table 4: Home and EU undergraduate years abroad

40. The data returned in Table 4 are a subset of the Home and EU undergraduate students included within Columns 1 and 2 of Tables 1 and 2: those undergraduates taking a year abroad in 2014-15 as part of their instance. The data collected are disaggregated in terms of whether or not the year abroad incorporates at least one period of study or work placement in 2014-15 where the student is participating in the EU Erasmus+ programme.

41. Further information on the definition of a year abroad, and how to record years of instance for them in the appropriate category, can be found in [Annex P](#).

What should be included in each column in Table 4?

42. Column 1: Number of years of instance for Home and EU students countable between 1 August 2014 and 1 December 2014 inclusive. The column is broken down by mode of study and fundability status.

43. Column 2: Forecast of number of years of instance for Home and EU students expected to become countable between 2 December 2014 and 31 July 2015 inclusive. The column is broken down by mode of study and fundability status.

Mode of study

44. The full-time and sandwich year-out column headings are consistent with those in Tables 1 and 2, and are defined in [Annex M](#).

Fundability status

45. [Annex K](#) contains guidance on how to determine fundability status. Island and overseas students are not included in Table 4.

Type of year abroad (whether or not under the Erasmus+ programme)

46. Guidance on how to record years of instance in the appropriate category can be found in [Annex P](#).

47. Data returned in Table 4 will be used to determine allocations to support institutions' participation in Erasmus+ and other higher education student mobility programmes for 2015-16.

Table 5: Further student breakdowns for planning purposes

48. Table 5 contains the number of years of instance for all modes, split between UK-domiciled students, others entitled to pay Home and EU fees, and Island and overseas students. UK-domiciled students are defined in paragraph 5 of [Annex K](#).

49. The levels of qualification are grouped differently in this table compared to the other tables. Those on foundation degree bridging courses should be included in 'Other UG degree'. Sub-degree qualifications exclude Higher National Diplomas (HNDs) and include Higher National Certificates (HNCs), Diplomas of Higher Education (DipHEs), Certificates in Education (CertEds), Level 5 Diplomas in Education and Training, institutional credits and professional qualifications.

50. The full-time, sandwich year-out and part-time column headings are consistent with those in Tables 1, 2 and 3. These modes of study are defined in [Annex M](#), but full-time and sandwich year-out are aggregated in Table 5.

What should be included in each column in Table 5?

51. Column 1: Years of instance countable between 1 August 2014 and 31 July 2015 inclusive. These data are split by mode, then between UK-domiciled students, others entitled to pay Home and EU fees, and Island and overseas students. The sum of 'UK-domiciled' and 'Other Home and EU' should give the totals of all Home and EU students returned in Columns 1 and 2 of Tables 1, 2 and 3. Similarly, the totals for 'Island and overseas' should match.

52. Column 2: New entrants included in Column 1 of this table, defined as the first countable year for an instance. Paragraph 20 of [Annex H](#) contains further guidance on identifying new entrants. These data are split by mode, then between UK-domiciled students, others entitled to pay Home and EU fees, and Island and overseas students.

53. Column 3: Number of Home and EU years of instance returned in Column 1 for students who are wholly or partially franchised out, broken down by the type of institution involved. Where the student is partially franchised out the countable years of instance, and not the proportion of the year of study franchised, should be returned. 'Other institution' applies to provision that is franchised out to an organisation that is not a higher education institution or further education college supported from public funds.

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

55. See [Annex F](#), paragraphs 9 to 19, for more guidance on collaborative arrangements treated as franchises for HESES purposes.

56. Table 5 data are collected for planning and monitoring purposes, including those of the Department for Business, Innovation and Skills and the Home Office.

Table 6: Counts of years of instance monitored for student number control purposes

57. Table 6 collects information to monitor the student number control for 2014-15, and applies largely to full-time students (as defined in [Annex M](#)), plus, depending on circumstances, others who switch mode to or from full-time during the year of instance. For the purposes of defining the coverage of Table 6, part-time students in receipt of full-time student support (as defined in [Annex M](#), paragraphs 7 and 8) should be treated as if they were full-time. Paragraphs 24 to 41 of [Annex H](#) contain guidance on how to count years of instance in Table 6, including the definition of the population to be included in the table and the categories within it.

58. Table 6 should contain all years of instance that count against the 2014-15 student number control allocation, plus others that do not count because they are covered by an exemption (for example, for students with ABB+ equivalent entry qualifications). Notwithstanding the exemption policy, we need to monitor this broader population at the sector level. All such years of instance where the student has actively studied for two weeks or more should be included. This may require minor adjustments for estimates of the following:

- those who are subsequently found to have withdrawn within two weeks
- those who are subsequently found to have withdrawn before 1 December 2014.

59. The information collected on this table is for a subset of the years of instance in the HESES14 population (as defined in [Annex F](#)). The subset collected on Table 6 differs from that collected on Tables 1 to 5. The criteria for including students in Table 6 are given in paragraphs 24 to 41 of [Annex H](#). Depending on the institution concerned, some or all will count against the student number control allocation that we have set for 2014-15.

What should be included in each column in Table 6?

60. Column 1: Number of years of instance that commenced between 1 August 2014 and 1 December 2014 inclusive, except for those where the student withdrew from the instance within two weeks. This column is further disaggregated between the following categories.

- a. Column 1(a): Estimated years of instance where the student withdraws on or before 1 December 2014 (after being active for two weeks of study or more).
- b. Column 1(b): Estimated years of instance where the student was still active on 1 December 2014. The number reported should be reduced to take account of students who, although thought to be active on 1 December 2014, are subsequently found to have withdrawn within two weeks of starting the year of instance.

61. Column 2: Number of years of instance that are forecast to commence after 1 December 2014 and before 1 August 2015. These should be adjusted to exclude the forecast numbers of students who will withdraw from the instance within two weeks of starting.

62. Column 3: This is calculated automatically in the workbook as the sum of Columns 1(a), 1(b) and 2.

Things to note

63. Years of instance are counted in Table 6 in a slightly different way from the other tables. Treatment differs between Table 6 and the other tables where students withdraw from their year of instance in the 2014-15 academic year or change mode of study during the year. Guidance on this is provided in paragraphs 29 and 39 of Annex H.

64. Not all years of instance counted in Table 6 will be for 'entrants' to the institution (as defined in Annex H, paragraph 20). This may be the case where, for example, students have previously studied part-time, or on programmes of study that were not fundable by HEFCE. Paragraphs 38 to 41 of Annex H provide guidance on this.

First registrable medical and dental students

65. 'First registrable medical and dental students' are those who are on a course leading to a first UK registrable medical or dental qualification but not on a foundation year ('year 0').

All other students

Exempt population

66. 'Exempt population' applies to those not covered by paragraph 66 above who fall within the categories included on the 'exemptions list' for 2014-15, available at www.hefce.ac.uk/data/year/2013/sncexempt1415. These exemptions vary for certain specialist institutions in the performing and creative arts – see paragraph 32 of Annex H.

Employer co-funded

67. 'Employer co-funded' applies to years of instance that are non-fundable on the basis that the student is aiming for the same qualification at the same institution, where this instance prior to 2012-13 counted towards the delivery of funding or student number targets relating to student numbers co-funded with employers. None of these will be new-regime, and we generally do not expect any in Table 6.

Level

68. 'UG' should contain undergraduates as defined in Annex N. 'PG ITT' should contain students starting on a postgraduate initial teacher training qualification such as a Postgraduate or Professional Graduate Certificate in Education (PGCE) or a Postgraduate Diploma in Education.