Request for information

September **2016/22**

# HESES16

## Higher Education Students Early Statistics Survey 2016-17

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 2016-17, and, with data supplied to the Higher Education Statistics Agency, will inform our allocation of teaching funds for 2017-18.

Higher education institutions should upload returns to the HEFCE extranet by **noon on Monday 12 December**.

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HIGHER EDUCATION FUNDING COUNCIL FOR ENGLAND

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**Sample tables are available online at www.hefce.ac.uk/pubs/year/2016/201622/.**

## Appendices

**The appendices contain detailed technical information and will be available with this document at www.hefce.ac.uk/pubs/year/2016/201622/ once HESES16 workbooks have been released.**

Appendix 1 Validation of HESES16 data

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# 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:

- give an early indication, for purposes including government planning, of the number of HE students studying in the academic year 2016-17
- together with data supplied to the Higher Education Statistics Agency (HESA), inform our allocation of teaching funds for the academic year 2017-18.

3. This document provides the following:

a. An introduction to the Higher Education Students Early Statistics Survey 2016-17 (HESES16) and how we use it to inform our funding allocations.

b. Guidance notes for completing the HESES16 survey (Section 1).

c. Definitions used in the HESES16 survey (Section 2).

d. Examples of the survey tables (Section 3). The actual tables for completion will be available to download from the HEFCE extranet in October 2016.

e. A summary of changes since HESES15 (paragraph 27-35 of the main document).

f. Good practice guidance (shaded sections throughout the document).

g. Guidance on related HESA student record data (boxed 'HESA notes' sections throughout the document).

4. Information on how HESES survey data is used to inform funding allocations can be found in 'Guide to funding 2016-17: How HEFCE allocates its funds' (HEFCE 2016/07), available at www.hefce.ac.uk/pubs/year/2016/201607/.

## Action required

5. HESES16 should be completed by all HEIs receiving HEFCE recurrent funds for teaching. Returns must be uploaded to the HEFCE extranet by **noon on Monday 12 December 2016**. Workbooks will be available to institutions in October 2016.

6. A provisional timetable for the HESES16 return and 2017-18 funding round is given in paragraph 24.

# How to use this document

7. This document provides guidance on how to complete the HESES16 survey, and sets out the funding rules and definitions for HEFCE-funded HE. This document has three sections.

## Section 1: Guidance for completing the survey

8. This section explains how to download the survey, describes the data to enter into each table, and links to funding rules and definitions in Section 2. It also explains the process for verifying and signing off the data, as well as the key considerations for data assurance.

## Section 2: Funding rules and definitions

9. This section defines the student population covered by the HESES return and gives guidance on what is 'countable' in HESES16. This ensures we can collect information on students counted for funding purposes, but also helps us to collect information on other higher education students. This helps provide a more complete picture of institutions' HE activities, supporting our understanding of their circumstances and student populations, for purposes including audits and reconciliations with HESA data, and informing government planning.

10. Below is a list of the annexes in Section 2 of guidance and a short summary of what each covers:

### Annex A: Defining the HESES student population

11. This annex defines an 'instance', and explains which student instances should and should not be included in the HESES student population. This annex also explains how to treat provision delivered through connected undertakings.

### Annex B: Recognised higher education

12. This annex defines the recognised HE courses which students must be studying if they are to be included in HESES16. It also details the treatment of students on higher, degree or advanced apprenticeships which include both higher and further education elements.

### Annex C: Counting student activity

13. This annex gives the definition of a year of instance and explains how to count them in HESES16. This includes the criteria for counting a year of instance in HESES16, the definitions of standard and non-standard years of instance, flow charts to aid with determining how years of instance should be counted, and guidance on counting some short courses that are sometimes known as 'summer schools'.

### Annex D: Completion and non-completion

14. This annex explains how to determine the completion status of a year of instance in HESES16.

## Annex E: Full-time equivalence for part-time years of instance

15. This annex explains how full-time equivalence for part-time students should be calculated in HESES16. This includes guidance on how to treat students who are exempt from part of a course, and full-time students who change mode within a year of instance to become part-time students.

## Annex F: Residential and fundability status

16. This annex provides guidance on identifying the residential and fundability status of a student for the purposes of HESES16. It includes guidance on:

- which students should be classified as Home and European Union (EU), and which are Island and overseas
- categorising Home and EU students as HEFCE-fundable or non-fundable
- how to determine the fundability status of students aiming for equivalent or lower qualifications, and of those supported from other EU public sources.

## Annex G: Price groups

17. This annex explains how years of instance should be mapped to price groups for the purposes of HESES16, including guidance on the special cases of medicine, dentistry, veterinary science, education, social work and social policy, computing and sandwich years out. Examples are given for cases where a year of instance can be split across price groups or where provision is contracted out.

## Annex H: Mode of study

18. This annex explains how to determine, for the purposes of HESES16, the mode of study for a year of instance (full-time, sandwich year out or part-time). It includes guidance on how to treat learning in the workplace and work experience when determining mode of study. In general, all students on a given course with a broadly similar pattern of activity, for a given year of instance, should be recorded as having the same mode.

## Annex I: Level of study

19. This annex explains how to determine a student's level of study (undergraduate or postgraduate) for the purposes of HESES16. It also explains how the undergraduate data on Table 5 is split, and how to separate postgraduate students into postgraduate taught and postgraduate research.

## Annex J: Long years of instance

20. This annex explains how to determine if a full-time or part-time year of instance should be classed as 'long' for the purposes of HESES16. It also contains guidance on how to treat learning in the workplace and work experience when determining the length of a year of instance, as well as examples of how to treat mixed-length courses.

## Annex K: Year abroad categories in Table 4

21. This annex provides guidance on how to assign years of instance to the appropriate category of year abroad in Table 4 of HESES16.

### Annex L: Nursing, midwifery and allied health for Table 7

22. This annex defines the pre-registration healthcare profession courses and populations which must be separately identified in HESES16 Table 7. Only institutions delivering these courses in 2016-17 need to complete this table.

## Section 3: Copy of Tables 1 to 7 of the HESES16 survey

23. This section provides examples of Tables 1-7 of the HESES16 survey. The actual tables for completion will be available to download from the HEFCE extranet (https://data.hefce.ac.uk/) in October 2016.

## Outline timetable for HESES16 return and funding round process

24. The provisional timetable for HESES16 and the 2017-18 funding round is summarised below.

| | |
|---|---|
| By 31 October 2016 | Extranet keys issued to institutions (heads of institution and HESES contacts).<br>HESES workbooks available to institutions via the extranet. |
| 1 December 2016 | HESES16 census date. |
| 12 December 2016 | Noon deadline to return HESES data. |
| From mid-December 2016 | Data verification process, using HEFCE-generated validation and credibility checks. HESES contacts asked to verify, and answer any questions about, the data. Contacts will have up to **five working days** to respond.<br>Institutions notified of provisional formulaic grant adjustments arising from recruitment against their medical and dental intake targets, and invited to submit appeals. |
| 16 January 2017 | Each institution's accountable officer must have signed off its HESES data as being correct as at 1 December 2016.<br>Deadline for submission of appeals against medical and dental intake targets. |
| 14 February 2017 | Institutions notified of final grant adjustments arising from recruitment against medical and dental intake targets, including the outcome of appeals. |
| Spring 2017 | Recurrent teaching grant: Institutions notified of allocations for 2017-18. |
| Spring 2017 | Recurrent teaching grant: Publication for all institutions of allocations for 2017-18. |
| Late July 2017 | Institutions receive their funding agreements for 2017-18. |
| 28 July 2017 | Deadline for institutions to request transfers of provision and other amendments which affect funding allocations. |
| Late October 2017 | Recurrent teaching grant: Institutions notified of any amendments to allocations for 2017-18. |

25. Deadlines for the HESES16 return are not flexible. Where an institution fails to return credible data on time, 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.

26. If we find, either through reconciliations with HESA data or through any data audit, that incorrect data has resulted in institutions receiving incorrect funding, we will adjust their allocations accordingly for all relevant years (subject to any appeals process and the availability of our funds).

## Summary of changes and clarifications since HESES15

27. The following changes have been made between the 2015-16 version (HESES15) and HESES16. Most of these were set out in 'Early notification of planned changes to HESES and HEIFES for 2016-17', (HEFCE Circular letter 17/2016)[1].

### Changes to tables

#### Tables 1 to 3, 5 and 6

28. We now break down postgraduate taught students into three categories, as this will allow us to identify students on courses eligible for the new masters loan. The categories are: **PGT (UG fee), PGT (Masters loan)** and **PGT (Other)**. Further information is provided in **Annex I**.

#### Table 5 only

29. A new column (Column 3) has been added to Table 5 to identify and record years of instance that are taken as part of an apprenticeship. We are also providing updated guidance on apprenticeships in **Annex B**.

#### Table 7

30. Table 7 is new in HESES16. It collects student numbers on courses in nursing, midwifery and allied health professions, which, on completion, lead to registration with a relevant regulatory body. We are collecting this information for funding and planning purposes, ahead of the transfer to HEFCE of responsibility for funding such courses that in most cases will occur from the 2017-18 academic year. These students will still be counted as non-fundable in Tables 1 to 3. Further details on Table 7 can be found in **Section 1** and the new **Annex L**.

#### Comparison tables

31. In the HESES workbook there have been changes to the comparison tables that are used during the data verification process. These tables should be used alongside the funding worksheet as part of the data quality checking process before submitting the workbook to HEFCE. Details of these tables are provided in **Appendices 2 and 3**.

[1] Available online at www.hefce.ac.uk/pubs/year/2016/CL,172016/.

## Changes to and clarifications of definitions

### Annex A

32. We have included further guidance on years of instance taught under sub-contractual arrangements in Table 6, to make clear that activity should be reported on this table only where a formal contractual arrangement exists under which teaching is delivered by one provider on behalf of another. Table 6 should not include informal arrangements that are not governed by contracts between providers. We have also added guidance on how to return years of instance that are taught under sub-contractual arrangements with multiple providers.

### Annex B

33. As noted in paragraph 30, we have expanded our guidance on recognised higher education taken as part of an apprenticeship. Such years of instance should not be treated as being on a closed course, and may meet the definitions to be HEFCE-fundable. This applies even though the majority of the finance for apprenticeships comes from the Skills Funding Agency.

### Annex F – Courses leading towards Early Years Teacher Status

34. We have provided clarification that home and EU students on courses leading on successful completion to the award of Early Years Teacher Status should be recorded as non-fundable. This is because the funding responsibility for them rests with the National College for Teaching and Leadership and ensures their treatment is the same as for courses leading to Qualified Teacher Status.

### Annex F – Change to the population meeting the definition of home and EU

35. There is no change in HESES16 to the definition of home and EU, but there is a new category of students that meets the definition. Students are classified as home and EU if they can be regarded as eligible students as defined in Schedule 1 of the Education (Fees and Awards) (England) Regulations 2007 (SI 2007 No. 779), as amended. An amendment to these regulations has been made through the Education (Student Fees, Awards and Support) (Amendment) Regulations 2016 (SI 2016 No. 584), which introduces a new eligible category applying to students who are not settled in the United Kingdom but have been residing in the UK for a long time. This change also affects their entitlement to student support and liability to regulated fee levels.

# Section 1: Instructions

## Section 1 contents

Guidance for completing the survey

- Downloading and submitting your HESES16 survey
- Data verification and sign-off
- Data assurance
  - Good practice

Guidance for completing workbook tables

- The tables in the HESES16 survey workbook
- Selecting students to include in the survey
- Data to enter into the tables
- Other worksheets

# Guidance for completing the survey

1. This section describes how to download and submit the survey, and how its quality will be assured through 'data verification'.

## Downloading and submitting your HESES16 survey

2. In November 2016 the HESES16 workbook will be available as a Microsoft Excel spreadsheet to download from the HEFCE extranet. The HEFCE extranet can be accessed at https://data.hefce.ac.uk.

3. An email with extranet keys (passwords) to access and download the spreadsheet will be emailed to heads of institution and HESES contacts by **31 October 2016**. A checklist and instructions on using the extranet will be included.

4. We will use the names and email addresses that we have stored in our database as the 'HESES contact' for each institution. It is very important that these details are correct. If you want to check or amend them contact your higher education policy adviser at HEFCE, whose details can be found at www.hefce.ac.uk/contact/search.

5. Your completed HESES16 survey must be uploaded to the HEFCE extranet no later than **noon on Monday 12 December 2016**. We will not give extensions to this deadline.

6. Once you have uploaded the completed workbook, you will be able to access a results package through the extranet that will contain several extra sheets, as described in paragraph 45 below.

7. It is good practice for someone other than the person completing the survey to review the data – including the potential funding implications – before it is submitted. A senior member of the institution should also agree to the return. You should check that you can answer all of the self-check questions before submission.

8. Where an institution fails to submit data on time, or returned data is not credible after verification, we may allocate funds based on our own estimates of student activity. Institutions that do not submit credible data on time are more likely to be audited.

# Data verification and sign-off

## Data queries

9. After you submit your HESES workbook, we will process the data and generate a number of specific queries that highlight areas of your data that we want to explore further. We will then contact you to discuss these queries as part of a conversation that will help both HEFCE and your institution have confidence in the data supplied. Nearly all institutions receive queries on their data.

10. The process should help us to identify any areas where your data indicates unexpected changes from previous years, and to understand and explain their underlying causes.

11. When generating queries, we will look at :

- credibility warnings on Tables 1 to 7
- highlighting in the comparison tables
- any large indicative funding changes.

12. The credibility warnings, and many of the changes in the funding sheets and comparison tables, will be automatically highlighted in your survey workbook as you complete it. You should email explanations for these to dataverification@hefce.ac.uk at the same time as you submit your data, as this makes data verification process quicker.

13. The HESES contact at your institution will receive an email from a data verification specialist at HEFCE within five days of the submission deadline. This will contain full instructions, along with an attachment with our specific data queries in a rich text format document that can be opened in Microsoft Word. When you receive this email you should read the document carefully, consider the queries raised and provide a response to dataverification@hefce.ac.uk. We usually ask for your response within five days, due to the tight timescales of the data verification process. During the process it also may become apparent that part of your workbook needs to be amended. If so, directions for resubmitting the survey will be included in the letter.

## Data sign-off

14. When any queries have been resolved and the data has been verified, the data verification specialist will ask for your data to be signed off by your institution's accountable officer, usually the head of institution. They will need to sign the verification form in the final version of the workbook. The signed verification form should then be scanned and emailed to dataverification@hefce.ac.uk. The final deadline for receiving the sign-off form is **noon on Monday 16 January 2017**.

## Good practice

### Initial submission

15. When you submit your survey, we strongly recommend that you email us with explanations for any credibility warnings and highlighting that are in your HESES workbook. Our initial queries will be based on these, and providing us with these answers ahead of time can shorten the whole process by a week or more.

**Answering queries**

16. When answering queries, we encourage you to provide answers that are specific, detailed, and relate the data submitted to changes in your student body. For example, if there has been a change in the number of price group B students, is this due to the introduction of a new course, or changes in existing courses? Our queries are not meant to catch institutions out but to ensure that we are confident that the data, and subsequent funding, represents a picture of your students that is as accurate as possible.

**Sign off**

17. The timescales involved with data verification are tight, and feedback from previous years suggest that it is good practice to:

a. Make sure that someone is available to answer queries throughout the data verification period. We recognise that the winter holidays may affect this, so if you are aware of any periods where you will not be available, let us know as soon as possible. In this case, it would be useful to know of suitable alternative contacts at your institution.

b. Make sure your accountable officer is available at the end of the data verification period for sign-off. This could include reserving a date and time for the accountable officer to complete the sign-off. If you know that there may be issues with arranging for this, contact us as soon as possible to discuss alternatives.

## Data assurance

18. As part of HEFCE's audit programme, we will consider aspects of the HESES return on a risk basis. This means that it is important to keep an audit trail when filling out your HESES return, recording how your decisions have been made and the data used to support them. In particular we may look at:

- whether there is sufficient data for any estimates, forecasts or judgements made
- evidence of enrolment
- any relevant internal audit work carried out on your student record system or HESES return.

19. Our data audits test the systems and processes used by an institution to prepare specific aspects of their data. This can involve desk-based audit work, as well as visits to institutions to:

a. Review management information systems.

b. Review supporting audit trail documents that show how the return was produced.

c. Test the values reported on the return and the assumptions underpinning it. This involves selecting samples (or whole populations) of students and testing how they have been reported in the return.

20. Audits will often include a review of the final (outturn) position of students at the end of an academic year. This will allow us to assess the reasonableness of any assumptions made when they were included in the HESES return, for instance in non-completion estimates.

### Data reconciliation

21. The data reconciliation exercise occurs in the following academic year, and is a way for us to check the accuracy of our funding calculations by comparing your HESES and HESA data for the same year.

22. We use the HESA individualised student record to construct a HESES return, based on your final end-of-year data, then compare this to your original HESES submission. We highlight any differences in the two returns, including any differences in the resultant funding.

23. If your institution showed significant funding discrepancies, we would select you for the funding and monitoring data reconciliation exercise. This involves explaining the reasons for any data differences and, if necessary, submitting amendments to your HESA data. At the end of the process, the final (amended) HESA data will supersede the original HESES return, and we will adjust your funding accordingly. Details of how we expect to compare HESES with HESA data are given in 'HESA funding and monitoring data (FAMD) 2015-16: Web facility' (HEFCE Circular letter 24/2016)[2].

24. As part of our audit and reconciliation processes we will compare HESA data with a variety of other data sets, most notably further education and sixth form colleges' Individualised Learner Records, National Pupil Database data, and Student Loans Company data as these become available.

### Audit recommendations

25. Paragraph 9 of Annex A of 'Memorandum of assurance and accountability between HEFCE and institutions: Terms and conditions for payment of HEFCE grants to higher education institutions' (HEFCE 2016/12)[3] states that the annual report of an institution's audit committee must include the committee's conclusions on the adequacy and effectiveness of the institution's arrangements for the management and quality assurance of data submitted to HESA, HEFCE and other funding bodies. This is to ensure adequate governance oversight of the systems used to generate data by the institution, since poor data may represent a significant financial risk for institutions. Further guidance for audit committees on data assurance can be found at www.hefce.ac.uk/reg/guidance/audit/.

26. Previous audits of HESES data have identified a number of areas where some institutions were incorrectly interpreting the HESES definitions, or where internal institutional systems and practices complicated the production of the HESES return. These have included:

- incorrect assignment of activity to price groups
- incorrect identification of mode of study

[2] Available online at www.hefce.ac.uk/pubs/year/2016/CL,242016/.
[3] Available online at www.hefce.ac.uk/pubs/year/2016/201612/.

- inadequate recording of entry qualifications
- inadequate recording of submission dates of final assessments, for the purpose of determining completion status
- incorrect application of the rules on student completion (particularly those around the requirement for submission of the final assessment in all modules intended to be studied in the year)
- failure to identify students' study intentions for the year for the purpose of determining completion status
- lack of robustness in estimating non-completions and forecasting countable years
- incorrect calculation of full-time equivalence and incorrect assignment of multiple instances to part-time students following modular programmes
- poor communication in partnership arrangements
- inadequate audit trail between the student record system and the HESES return
- lack of systems notes for recording data on student activity and for the HESES preparation process
- lack of analytical review of figures in the return to identify anomalies and ensure that the data makes sense
- lack of reconciliation between HESES and HESA returns before submission to HESA.

27. We strongly recommend that institutions review their arrangements regularly, taking into account the above, as well as the shaded 'Good practice' sections in this document. Institutions should give particular attention to any changes introduced in HESES16, and ensure they have assurance over all aspects of the return in case of audit. For further information on our audit programmes, see our website at www.hefce.ac.uk/funding/da/data,audit/.

## Good practice

### Audit trail

28. **You should keep an adequate audit trail, between student record systems and the HESES return, for at least five years.** This should include a record of the basis for estimating non-completions and forecast countable years, along with any relevant electronically stored data, printouts and working papers used in completing the return. Source documents such as registration forms should also be retained, including information on students' detailed study intentions for the academic year and their qualifications on entry.

29. There should be an audit trail to individual figures in the return. In the case of figures based on activity up to the census date, a clear trail from individual students to the figures should be retained. During audit we ask for a sample of these figures to be rebuilt. In the case of estimates and forecasts, there must be a clear rationale for the figures, and backup data justifying what is being returned.

30. Where your institution is involved in sub-contractual or other collaborative arrangements, your audit trail must contain evidence for the inclusion or exclusion of students (including details of the partnership arrangements between institutions), and forecasts relating to such students. In particular, institutions should ensure that evidence of completion status of students taught by partner institutions is held.

### Knowledge management and staff training

31. **It is advisable to have at least two people who know how to prepare the HESES data return.** 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 that person's absence, particularly at crucial times of the year, the institution may not be able to prepare the return on time and 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 produce the information for the return and prepare the return itself.

32. All relevant staff, including experienced staff, should consider the HESES guidance each year and make any necessary changes to their systems. Institutions should also ensure that the relevant processes are adequately documented and that this documentation is kept up to date.

33. **Staff should prepare data returns using HEFCE funding rules set out in this document, not their own academic regulations.** There are, quite reasonably, differences between academic regulations of institutions and the rules relating to the counting of students for funding purposes. It is essential that individuals involved in completing student data fields used for funding purposes fully understand the fields they are completing in the student record. For these fields, student activity should be reported with regard to funding rules and not in accordance with the institution's own academic regulations and progression rules. This is discussed in more detail in **Annex D**.

34. **Your data collection and recording procedures should be applied consistently across the institution.** Although institutions have academic regulations and procedures for managing student data in their student record systems, practice within institutions can be inconsistent. In general, institutional practices for collecting and recording data should be applied consistently across all departments and faculties with the same data requirements. However, some departments may have additional requirements to meet. For example, faculties of health studies often have requirements beyond those of the rest of the institution.

35. **Your staff should understand the funding rules and how they relate to the institution's record system.** Data quality will be improved if staff who input data into, manage and maintain the student record system understand and take into account the requirements of its users. Many instances have been found where staff responsible for completing key fields required for funding purposes had no training on the funding rules governing their completion. In many cases the data required to complete those fields correctly was not recorded on the main student record system, so robust centralised systems could not be implemented, and reliance was placed on inadequately trained staff. All users should be trained in the institution's data requirements, with reference to any

differences between academic regulation requirements and funding rule requirements, so that they understand why they are asked to perform particular tasks.

### Analytical reviews and data reconciliations

36. **You should check your 2016-17 HESA record against your HESES16 data before your HESA data is submitted.** Differences should be examined as part of the process for identifying possible data error, and amendments made to the HESA data if necessary. This will be useful preparation for the HESA-HESES funding and monitoring data reconciliation exercise if differences are substantial. It should also help to eliminate inconsistencies in students' treatment in the two returns for future reference, and reduce systems problems with the way students are returned in HESA data before submission. In summer 2017 we will give institutions access to a web facility that will be able to re-create an institution's HESES16 data from its HESA 2016-17 return. An equivalent exercise carried out on the previous year's return during summer 2016 may highlight errors in HESES15 that can be avoided in HESES16.

### Implementing new student record systems

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

38. One problem we find with new systems (even proprietary systems) is the lack of ability to draw out management information and basic reports from the system. As part of the overall implementation project, it is essential to include the requirements both for everyday reports needed by academic and administrative staff and for top-level management reports, and to make arrangements to ensure that they are delivered.

### Management information

39. In gaining assurance we do not ask for any reports that could not reasonably be expected to be used in everyday activity. However, some institutions have great difficulty in extracting this standard data from the student record system, and many do not even hold the required data. Data that cannot be extracted and reported on is of limited value.

40. Developing exception reporting, and using it to highlight data issues for review and subsequent amendment, will help to ensure that high-quality data is returned. Data quality is also enhanced by data management reviews by those with a good understanding of the data.

## Self-check questions

**Please ensure that you can answer 'Yes' to all these questions before submitting the completed HESES16 return to HEFCE.**

Q1. Have you complied with HEFCE's funding rules, as set out in section 2?

Q2. Have you considered the good practice tips, presented throughout this document in shaded sections?

Q3. Have you kept an effective audit trail?

Q4. Is your student records system recording student information in accordance with HEFCE's funding rules?

Q5. Have you passed all of the validation checks on each table? (See **Appendix 1** for further information).

Q6. Where the workbook shows credibility warnings or automatic check highlighting on the comparison tables, have you:

- checked the data to make sure that it is correct?
- checked that you are using the definitions set out in this publication?
- emailed HEFCE, to explain why the data is credible?

(See **Appendix 2** and **Section 1** for further information).

Q7. When assessing non-completion status, have you:

- checked that the institution is using the correct definition of non-completion?
- based your non-completion estimates on appropriate historical data?
- taken into account variations between different courses, years of course and modes of study?

Q8. If you have included any forecast years of instance in Column 2 of the tables in the HESES16 survey workbook, do they meet the criteria to be included in Column 2? (See **Annex C** and the guidance above for further information on what activity may be recorded in Column 2).

Q9. Where you have made forecasts and estimates as part of the HESES return, are they made from robust and accurate past performance data? Have you kept an audit trail for these decisions?

Q10. Have all contracted-out years of instance been included only on your institution's return, and not on the teaching institution's return? (See **Annex A** for more information).

Q11. Have you excluded years of instance which are contracted-in?

Q12. Where any provision is split between price groups, has this been applied according to the split in cost centre provision for each individual course? If you have any initial teacher training (Qualified Teacher Status) or in-service education and training (Qualified Teacher Status) provision, have you assigned it to the correct price groups? (See **Annex G** for guidance on allocating years of instance to price groups).

# Guidance for completing workbook tables

## Selecting students to include in the survey

41. You will first need to read the guidance in **Annex A** to identify which students are in the HESES population for 2016-17. You will also need to refer to **Annex B** to identify 'recognised higher education'.

42. In HESES16 you must record 'years of instance' rather than students. This is because students may be on more than one course or 'instance', and not all years may count. **Annex C** fully explains which years of instance should be counted in the HESES16 survey.

43. **The census date for HESES16 is 1 December 2016.** A student starting in the academic year but withdrawing before that date should not be counted.

44. When completing the survey you need to refer to **Annexes D to K** for definitions. You may be asked questions during data verification to make sure you are using the correct definitions.

## The tables in the HESES16 survey workbook

45. The HESES16 survey is an Excel workbook. There are **seven tables** to complete; each is a separate worksheet. You may not need to enter data into all the tables. The worksheets in the HESES16 workbook are listed in **Figure 1**.

**Figure 1: The tables in the HESES16 workbook**

| Table number | Name of worksheet | Title or description | Action |
|---|---|---|---|
| 1 | Table1_FTS | Full-time counts of years of instance | Institution to complete |
| 2 | Table2_OUT | Sandwich year out counts of years of instance | Institution to complete |
| 3 | Table3_PT | Part-time counts of years of instance and FTE | Institution to complete |
| 4 | Table4_YA | Home and European Union (EU) undergraduate years abroad | Institution to complete |
| 5 | Table5_HEC | Further student breakdowns for planning purposes | Institution to complete |
| 6 | Table6_SUB | Years of instance for students taught under sub-contractual arrangements by other providers | Institution to complete |
| 7 | Table7_Health | Counts of years of instance and new starters in health professions | Institution to complete |

| Table number | Name of worksheet | Title or description | Action |
|---|---|---|---|
| | Funding | Tables in this worksheet compare:<br>a. Funding for 2016-17, taken from the October 2016 grant tables. This is based on numbers reported by you in HESES15.<br>b. Recalculated funding using the 2016-17 funding method based on the numbers reported by you in HESES16.<br>You may be asked questions about reasons for large funding changes between years during data verification. | Automatically filled |
| | Comparison 1 | Tables in this worksheet summarise your HESES16 data and compare it with previous years. You may be asked questions on large changes during data verification. | Automatically filled |
| | Comparison 2 | Tables in this worksheet summarise your HESES16 data and compare it with previous years. You may be asked questions on large changes during data verification. | Automatically filled |
| | Comparison 3 | These tables are for information only and are not generally used during data verification. Tables in this worksheet summarise your HESES16 data and compare it with previous years. | Automatically filled |
| | Verification form | Your head of institution will need to sign this form, once the data has been verified and you have been prompted to do so by HEFCE. This will only be included in the results package. | Included in the results package |
| | ERR | If you attempt to upload a workbook with validation errors, the resulting package will include this sheet which will contain details of the errors. | Automatically filled in the results package |

46. **Appendix 3** provides further information on the indicative funding worksheets.

## Data to enter into the tables

47. **Note:** When we refer to column numbers, we refer to the column titles on the tables, not worksheet columns. Column titles may include more than one worksheet column.

48. If the data that you enter in the tables is not feasible – for example, if you enter a positive number instead of a negative one in the ‘non-completions’ column – a **validation failure** message will display on the table. You will not be able to submit a workbook with any validation failures. If the data is possible, but appears unusual, **credibility warnings** will show – for example, if there is a very high or very low proportion of new entrants. You will need to check whether the data is correct and amend it or explain the reasons for it during data verification. **Appendix 1** describes the validation checks on HESES16 data.

**Appendix 2** describes the credibility checks on HESES16 data, which include the credibility warnings and the checks on comparison tables.

## Before you start

49. The first step in filling in the tables is to define who to include in the HESES16 survey using **Annexes A**, **B** and **C**. Once you have worked out this population, you will need to look at the mode of study of these students, using **Annex H**.

## Table 1_FTS

50. Table 1 is used to return years of instance for all of the full-time students in your HESES16 population. (Refer to **Annex H** for the definition of full-time). We will use this information when we calculate funding for 2017-18. A partial screenshot of Table 1 is shown in **Figure 3**.

51. Years of instance recorded in Table 1 should not be included in Tables 2 or 3.

52. In Columns 1, 2 and 3 you will need to break down years of instance in the ways shown in **Figure 2**.

**Figure 2: Breakdown of full-time years of instance**

| | **Categories** | **Definitions and guidance** |
|---|---|---|
| Price group | A<br>B<br>C1<br>C2<br>D<br>(Some years of instance are split across price groups. In these cases up to two decimal places can be used, but the total for the years of instance must be a whole number.) | Annex G |
| Length of year | Standard-length<br>Long | Annex J |
| Level of study | UG: undergraduate<br>PGT (UG fee): postgraduate taught study on courses subject to regulated undergraduate fee<br>PGT (Masters loan): postgraduate taught study on courses eligible under the new masters loan arrangements<br>PGT (Other): postgraduate taught study not falling into the previous two categories<br>PGR: postgraduate research | Annex I |
| Fundability status | Home & EU: HEFCE-fundable<br>Home & EU: Non-fundable<br>Island & overseas | Annex F |

53. When completing Table 1:

a. In **Column 1** record years of instance that started between 1 August 2016 and 1 December 2016 inclusive.

b. In **Column 2** record years of instance that you forecast will start between 2 December 2016 and 31 July 2017 inclusive. This may include new entrants or those on the second or subsequent years of an instance.

See **Annex C** for full instructions on whether to record years in Column 1 or Column 2.

c. In **Column 3** enter a forecast of the number of years of instance that will not be completed. Non-completion numbers must be recorded as a negative number. You should use the definitions and methodology for calculating estimates described in **Annex D**. You may be asked questions on your methodology during data verification.

d. **Column 4** will be filled automatically with the numbers of completed years, as you enter data into Columns 1 to 3.

e. The totals in the **final rows** will be filled automatically and must add up to whole numbers.

54. **Validation failure** messages will occur in Table 1 if:

a. The totals do not add up to whole numbers. If you have courses that are split across price groups, the totals must still be a whole number. Refer to **Annex G** for how to record this.

b. Column 3 contains a positive number, or any other column contains a negative number.

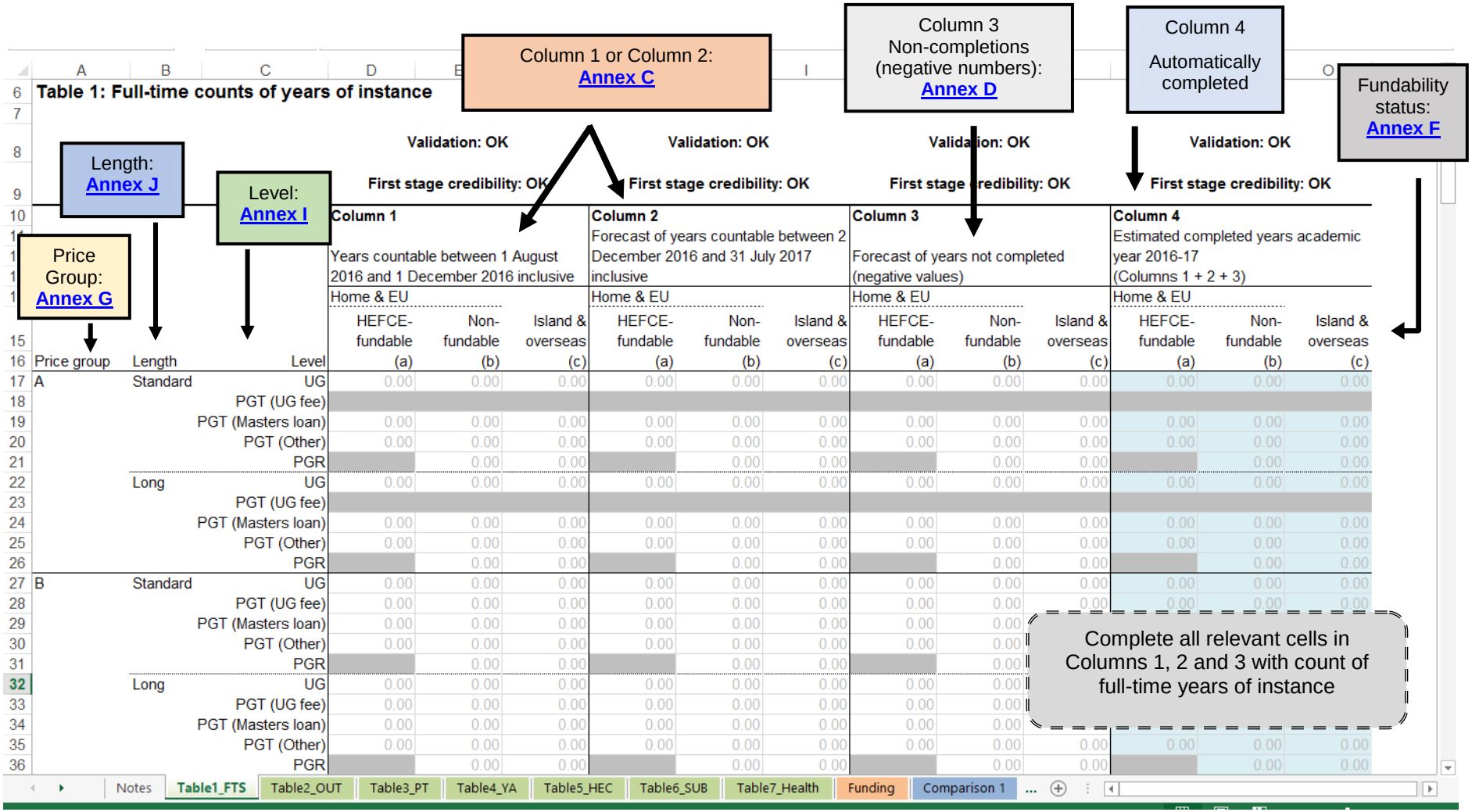
c. You record numbers to more than two decimal places.

55. **Credibility warnings** will occur in Table 1 if:

a. You enter no non-completions for a row where you have recorded at least 50 years of instance across Columns 1 and 2.

b. You record all years of instance in Columns 1 and 2 for a row as non-completions.

**Figure 3: Partial screenshot of Table 1_FTS**



## Table 2_OUT

56. Table 2 is used to return years of instance for all of the sandwich year out students in your HESES16 population. (Refer to **Annex H** for the definition of a sandwich year out). We will use this information when we calculate funding for 2017-18. A partial screenshot of Table 2 is shown in **Figure 5**.

57. Years of instance recorded in Table 2 should not be included in Table 1 or Table 3.

58. In Columns 1, 2 and 3 you need to break down sandwich years out in the ways shown in **Figure 4**.

**Figure 4: Breakdown of sandwich year out years of instance**

| | **Categories** | **Definitions and guidance** |
|---|---|---|
| Level of study | UG: undergraduate<br>PGT (UG fee): postgraduate taught study on courses subject to regulated undergraduate fee<br>PGT (Masters loan): postgraduate taught study on courses eligible under the new masters loan arrangements<br>PGT (Other): postgraduate taught study not falling into the previous two categories | Annex I |
| Fundability status | Home & EU: HEFCE-fundable<br>Home & EU: Non-fundable<br>Island & overseas | Annex F |

59. When completing Table 2:

a. In **Column 1** record sandwich years out that started between 1 August 2016 and 1 December 2016 inclusive.

b. In **Column 2** record sandwich years out that you forecast will start between 2 December 2016 and 31 July 2017 inclusive. This may include new entrants (very unlikely for a sandwich year out) or those on the second or subsequent years of an instance.

See **Annex C** for full instructions on whether to record years in Column 1 or Column 2.

c. In **Column 3** enter a forecast of the number of sandwich years out that will not be completed. Non-completion numbers must be recorded as a negative number. Use the definitions and the methodology for calculating estimates described in **Annex D**. You may be asked questions on your methodology during data verification.

d. **Column 4** will be filled automatically with the numbers of completed years, as you enter data into Columns 1 to 3.

e. The totals in the **final row** will be filled automatically.

60. **Validation failure** messages will occur in Table 2 if:

a. You do not record whole numbers.

b. You enter a positive number of non-completions in Column 3, or a negative number in any other column.

**Figure 5: Partial screenshot of Table 2_OUT**

Column 1 or Column 2: Annex C

Column 3 Non-completions (negative numbers): Annex D

Column 4 Automatically completed

Price Group: Annex G

Level: Annex I

Fundability status: Annex F

**Table 2: Sandwich year out counts of years of instance**

| | Column 1 | Column 2 | Column 3 | Column 4 |
|---|---|---|---|---|
| Validation | OK | OK | OK | OK |
| First stage credibility | OK | OK | OK | OK |
| | Years countable between 1 August 2016 and 1 December 2016 inclusive | Forecast of years countable between 2 December 2016 and 31 July 2017 inclusive | Forecast of years not completed (negative values) | Estimated completed years academic year 2016-17 (Columns 1 + 2 + 3) |
| | Home & EU | Home & EU | Home & EU | Home & EU |

| Price group | Level | HEFCE-fundable (a) | Non-fundable (b) | Island & overseas (c) | HEFCE-fundable (a) | Non-fundable (b) | Island & overseas (c) | HEFCE-fundable (a) | Non-fundable (b) | Island & overseas (c) | HEFCE-fundable (a) | Non-fundable (b) | Island & overseas (c) |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| C2 | UG | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 |
| | PGT (UG fee) | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 |
| | PGT (Masters loan) | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 |
| | PGT (Other) | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 |
| | Total | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 |

**Validation checks for Table 2 (see Appendix 1 for full definitions of the underlying formulae)**

**1. For the following cells, Column 3 (Years not completed) is positive:**

**2. The following cells contain values that are not whole numbers:**

**3. The following cells (not including Column 3) contain negative numbers:**

Complete all relevant cells in Columns 1, 2 and 3 with count of sandwich year out years of instance

## Table 3_PT

61. Table 3 is used to return years of instance for all of the part-time students in your HESES16 population. (Refer to **Annex H** for the definition of part-time). We will use this information when we calculate funding for 2017-18. A partial screenshot of Table 3 is shown in **Figure 7**.

62. Years of instance recorded in Table 3 should not be included in Table 1 or Table 2.

63. In Columns 1, 2, 3 and 4a you need to break down years of instance in the ways shown in **Figure 6**.

**Figure 6: Breakdown of part-time years of instance**

| | **Categories** | **Definitions and guidance** |
|---|---|---|
| Price group | A<br>B<br>C1<br>C2<br>D<br>(Some years of instance are split across price groups. In these cases up to two decimal places can be used but the total must be a whole number.) | Annex G |
| Length of year | Standard-length<br>Long | Annex J |
| Level of study | UG: undergraduate<br>PGT (UG fee): postgraduate taught study on courses subject to regulated undergraduate fee<br>PGT (Masters loan): postgraduate taught on courses study eligible under the new masters loan arrangements<br>PGT (Other): postgraduate taught study not falling into the previous two categories<br>PGR: postgraduate research | Annex I |
| Fundability status | Home & EU: HEFCE-fundable<br>Home & EU: Non-fundable<br>Island & overseas | Annex F |

64. When completing Table 3:

a. In **Column 1** record years of instance that started between 1 August 2016 and 1 December 2016 inclusive.

b. In **Column 2** record years of instance that you forecast will start between 2 December 2016 and 31 July 2017 inclusive. This may include new entrants or those on the second or subsequent years of an instance.

See **Annex C** for full instructions on whether to record years in Column 1 or Column 2.

c. In **Column 3** enter a forecast of the number of years of instance that will not be completed. Non-completion numbers must be recorded as a negative number. Use the definitions and the methodology for calculating estimates in **Annex D**. You may be asked questions on your methodology during data verification.

d. **Column 4** will be filled automatically with the numbers of completed years, as you enter data into Columns 1 to 3.

e. In **Column 4a** record the full-time equivalence (FTE) for the number of completed years of instance in Column 4. This should be the total full-time equivalent years of instance for that row, not the average FTE per year of instance. Refer to **Annex E** for guidance on how to determine the FTE of part-time students.

f. The totals in the **final rows** will be completed automatically.

65. **Validation failure** messages will occur in Table 3 if:

a. The totals for Columns 1-3 do not add up to whole numbers. If you have courses that are split across price groups, the totals must still be whole numbers. Refer to **Annex G** for how to record this.

b. Column 3 contains a positive number, or any other column contains a negative number.

c. You record numbers to more than two decimal places.

d. The FTE recorded in Column 4a is greater than the years of instance in Column 4.

e. The FTE recorded in Column 4a makes the average FTE for that row less than 0.03. (Years of instance that have an FTE of less than this are not included – see **Annex C**.)

66. **Credibility warnings** will occur in Table 3 if:

a. You do not enter any non-completions for a row where you have recorded at least 50 years of instance across Columns 1 and 2.

b. You record all years of instance in Columns 1 and 2 for a row as non-completions.

c. The total PGT or PGR FTE recorded in Column 4a makes the average FTE for that level 0.8 or more.

d. The total UG or PGT (UG fee) FTE recorded in Column 4a makes the average FTE for that level 0.67 or more.

**Figure 7: Partial screenshot of Table 3_PT**

Column 1 or Column 2: Annex C

Column 3 Non-completions (negative numbers): Annex D

Column 4 Automatically completed

Column 4a Estimated FTE: Annex E

Length: Annex J

Level: Annex I

Fundability status: Annex F

Price Group: Annex G

**Table 3: Part-time counts of years of instance and FTE**

Validation: OK — First stage credibility: OK

| Price group | Length | Level | Column 1 (Years countable between 1 August 2016 and 1 December 2016 inclusive) Home & EU HEFCE-fundable (a) | Column 1 Home & EU Non-fundable (b) | Column 1 Home & EU Island & overseas (c) | Column 2 (Forecast of years countable between 2 December 2016 and 31 July 2017 inclusive) Home & EU HEFCE-fundable (a) | Column 2 Home & EU Non-fundable (b) | Column 2 Home & EU Island & overseas (c) | Column 3 (Forecast of years not completed (negative values)) Home & EU HEFCE-fundable (a) | Column 3 Home & EU Non-fundable (b) | Column 3 Home & EU Island & overseas (c) | Column 4 (Estimated completed years academic year 2016-17 (Columns 1 + 2 + 3)) Home & EU HEFCE-fundable (a) | Column 4 Home & EU Non-fundable (b) | Column 4 Home & EU Island & overseas (c) | Column 4a (Estimated FTE for completed years included in Column 4 for academic year 2016-17) Home & EU HEFCE-fundable (a) | Column 4a Home & EU Non-fundable (b) | Column 4a Home & EU Island & overseas (c) |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| A | Standard | UG | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 |
| | | PGT (UG fee) | | | | | | | | | | | | | | | |
| | | PGT (Masters loan) | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 |
| | | PGT (Other) | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 |
| | | PGR | | 0.00 | 0.00 | | 0.00 | 0.00 | | 0.00 | 0.00 | | 0.00 | 0.00 | | 0.00 | 0.00 |
| | Long | UG | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 |
| | | PGT (UG fee) | | | | | | | | | | | | | | | |
| | | PGT (Masters loan) | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 |
| | | PGT (Other) | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 |
| | | PGR | | 0.00 | 0.00 | | 0.00 | 0.00 | | 0.00 | 0.00 | | 0.00 | 0.00 | | 0.00 | 0.00 |
| B | Standard | UG | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 |
| | | PGT (UG fee) | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 |
| | | PGT (Masters loan) | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 |
| | | PGT (Other) | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 |
| | | PGR | | 0.00 | 0.00 | | 0.00 | 0.00 | | 0.00 | 0.00 | | 0.00 | 0.00 | | 0.00 | 0.00 |
| | Long | UG | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 |
| | | PGT (UG fee) | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 |
| | | PGT (Masters loan) | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 |
| | | PGT (Other) | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 |
| | | PGR | | 0.00 | 0.00 | | 0.00 | 0.00 | | 0.00 | 0.00 | | 0.00 | 0.00 | | 0.00 | 0.00 |
| C1 | Standard | UG | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 |
| | | PGT (UG fee) | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 |
| | | PGT (Masters loan) | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 |
| | | PGT (Other) | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 |
| | | PGR | | 0.00 | 0.00 | | 0.00 | 0.00 | | 0.00 | 0.00 | | 0.00 | 0.00 | | 0.00 | 0.00 |

- Complete all relevant cells in Columns 1, 2 and 3 with count of part-time years of instance.
- Complete all relevant cells in Column 4a with estimate of full-time equivalence.

## Table 4_YA

67. Table 4 records years of instance for undergraduates taking a year abroad in 2016-17 as part of their course. These students will already have been recorded on Table 1 (for full-time students) or Table 2 (for sandwich year out students). We use this information for planning purposes and when we calculate funding provided under our 'Erasmus+ and overseas study programmes' targeted allocation.

68. In this table, you must only include Home and EU students, as defined in **Annex F**. A partial screenshot of Table 4 is shown in **Figure 9**.

69. You need to break down the number of years abroad into the categories shown in **Figure 8**.

**Figure 8: Breakdown of years abroad**

| | **Categories** | **Definitions and guidance** |
|---|---|---|
| Type of year abroad | Outgoing Erasmus+ year abroad<br>Outgoing years abroad outside the Erasmus+ programme | Annex K |
| Mode of study | Full-time<br>Sandwich year out | Annex H |
| Fundability status | Home & EU: HEFCE-fundable<br>Home & EU: Non-fundable | Annex F |

70. When completing Table 4:

a. In **Column 1** record years abroad that started between 1 August 2016 and 1 December 2016 inclusive.

b. In **Column 2** record years abroad that you forecast will start between 2 December 2016 and 31 July 2017 inclusive.

71. **Validation failure** messages will occur in Table 4 if:

a. You do not enter whole numbers.

b. You enter a negative number.

c. You enter numbers that are greater in total than the equivalent totals you recorded in Table 1 or Table 2.

**Figure 9: Partial screenshot of Table 4_YA**

**Table 4: Full-time and sandwich year out, Home & EU undergraduate years abroad**

**Note that this table does not include Island & overseas students**

Column 1 or Column 2: Annex C

Validation: OK

First stage credibility: OK

Validation: OK

First stage credibility: OK

Fundability status: Annex F

Mode of Study: Annex H

Type of year abroad: Annex K

| | Column 1 Years countable between 1 August 2016 and 1 December 2016 inclusive | | | | Column 2 Forecast of years countable between 2 December 2016 and 31 July 2017 inclusive | | | |
|---|---|---|---|---|---|---|---|---|
| | a) Full-time | | b) Sandwich year out | | a) Full-time | | b) Sandwich year out | |
| Type of year abroad | HEFCE-fundable (i) | Non-fundable (ii) | HEFCE-fundable (i) | Non-fundable (ii) | HEFCE-fundable (i) | Non-fundable (ii) | HEFCE-fundable (i) | Non-fundable (ii) |
| Outgoing Erasmus+ year abroad | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| Outgoing year abroad outside the Erasmus+ programme | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| Total | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 |

Complete all relevant cells in Columns 1 and 2 with counts of years of instance

**Validation checks for Table 4 (see Appendix 1 for full definitions of the underlying formulae)**

**1. The following cells contain values that are not whole numbers:**

**2. The following cells contain values that are negative:**

**3. The following totals are greater than the equivalent undergraduate totals in Columns 1 and 2 in Tables 1 (for full-time) and 2 (for sandwich year out):**

## Table 5_HEC

72. Table 5 collects information about students recorded in Tables 1 to 3, broken down into different categories. The table provides more detailed information on qualification level, the number of new entrants and apprenticeships at your institution. This information is collected for planning purposes.

73. In **Table 5**, you need to include the years of instance that you included in Tables 1, 2 and 3, broken down in the ways shown in **Figure 10**. A partial screenshot of Table 5 is shown in **Figure 11**.

**Figure 10: Breakdown of years of instance for planning purposes (Table 5)**

| | **Categories** | **Definitions and guidance** |
|---|---|---|
| Level | **UG**<br>HND<br>Sub-degree (excluding HND)<br>Foundation degree<br>Other UG degree<br>**PG**<br>PGT (UG fee)<br>PGT (Masters loan)<br>PGT (Other)<br>PGR | Annex I |
| Fundability status | HEFCE-fundable<br>Non-fundable<br>Island & overseas | Annex F |
| Mode of study | Full-time and sandwich year out<br>Part-time | Annex H |
| Residential status | UK-domiciled<br>Other Home & EU<br>Island & overseas | Annex F, paragraph 8 |
| Years countable | New entrants (Column 2)<br>Apprenticeships (Column 3) | Annex C<br>Annex B |

74. When completing Table 5:

a. In **Column 1** record all years of instance from Columns 1 and 2 of Tables 1, 2 and 3. This includes all full-time, sandwich year out and part-time years of instance that start in the academic year, whether they start before 1 December or after.

b. The totals for **Column 1a** in this table must be the same as the combined total for Columns 1 and 2 of Tables 1 and 2. (Full-time and sandwich year out numbers are combined in Table 5.)

c. The totals for **Column 1b** in this table must be the same as the combined total for Columns 1 and 2 of Table 3.

d. The totals for 'UK-domiciled' and 'Other Home and EU' combined must match the relevant totals for Home and EU in Tables 1, 2 and 3.

e. In **Column 2** you need to record how many of the years of instance in Column 1 of this table are **new entrants**. See **Annex C**, paragraph 14.

f. In Column 3 you need to record how many of the years of instance in Column 1 of this table are taken as part of an apprenticeship. See **Annex B**, paragraphs 6 to 12.

g. The totals in the **final rows** will be completed automatically.

75. **Validation failure** messages will occur in Table 5 if:

a. You do not enter whole numbers.

b. You enter a negative number.

c. The totals are not the same as the relevant totals in Tables 1, 2 or 3. There are two separate checks, one for UG levels and one for PG levels.

d. In any row, you record more new entrants in column 2 than there are years of instance in column 1.

e. In any row, you record more apprenticeships in column 3 than there are years of instance in column 1.

76. **Credibility warnings** will occur in Table 5 if:

a. You record 70 per cent or more of your full-time and sandwich year out years of instance as new entrants.

b. You record 33 per cent or less of your full-time and sandwich year out years of instance as new entrants.

c. You record 70 per cent or more of your part-time years of instance as new entrants.

d. You record 10 per cent or less of your part-time years of instance as new entrants.

e. You record no new entrants, or all your students as new entrants for Home and EU students.

f. You record 33 per cent or less of your Island and overseas students as new entrants.

g. You record 70 per cent or more of your Island and overseas students as new entrants.

h. You record all years of instance as apprenticeships.

i. You record any postgraduate years of instance as apprenticeships.

**Figure 11: Partial screenshot of Table 5_HEC**

Column 1: sum of years countable

Column 2 (new entrants): Annex C

Apprenticeships: Annex B

Residential status: Annex F

Fundability status: Annex F

Mode of Study: Annex H

Level: Annex I

6 **Table 5: Further student breakdowns for planning purposes**

Validation: OK — First stage credibility: OK

Validation: OK — First stage credibility: OK

Validation: OK — First stage credibility: OK

| 10 | | | | Column 1 Years countable between 1 August 2016 and 31 July 2017 inclusive (as entered in Columns 1 and 2 of Tables 1, 2 and 3) | | | | | | Column 2 New entrants included in Column 1 of this table | | | | | | Column 3 Years countable on apprenticeships included in Column 1 of this table | | | | | |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| | | | | (a) Full-time and sandwich year out | | | (b) Part-time | | | (a) Full-time and sandwich year out | | | (b) Part-time | | | (a) Full-time and sandwich year out | | | (b) Part-time | | |
| 15 | | | | UK-domiciled (i) | Other Home & EU (ii) | Island & overseas (iii) | UK-domiciled (i) | Other Home & EU (ii) | Island & overseas (iii) | UK-domiciled (i) | Other Home & EU (ii) | Island & overseas (iii) | UK-domiciled (i) | Other Home & EU (ii) | Island & overseas (iii) | UK-domiciled (i) | Other Home & EU (ii) | Island & overseas (iii) | UK-domiciled (i) | Other Home & EU (ii) | Island & overseas (iii) |
| 16 | Level | | Fundability | | | | | | | | | | | | | | | | | | |
| 17 | UG | HND | HEFCE-fundable | 0 | 0 | | 0 | 0 | | 0 | 0 | | 0 | 0 | | 0 | 0 | | 0 | 0 | |
| 18 | | | Non-fundable | 0 | 0 | | 0 | 0 | | 0 | 0 | | 0 | 0 | | 0 | 0 | | 0 | 0 | |
| 19 | | | Island & overseas | | | 0 | | | 0 | | | 0 | | | 0 | | | 0 | | | 0 |
| 20 | | Sub-degree (excl. HND) | HEFCE-fundable | 0 | 0 | | 0 | 0 | | 0 | 0 | | 0 | 0 | | 0 | 0 | | 0 | 0 | |
| 21 | | | Non-fundable | 0 | 0 | | 0 | 0 | | 0 | 0 | | 0 | 0 | | 0 | 0 | | 0 | 0 | |
| 22 | | | Island & overseas | | | 0 | | | 0 | | | 0 | | | 0 | | | 0 | | | 0 |
| 23 | | Foundation degree | HEFCE-fundable | 0 | 0 | | 0 | 0 | | 0 | 0 | | 0 | 0 | | 0 | 0 | | 0 | 0 | |
| 24 | | | Non-fundable | 0 | 0 | | 0 | 0 | | 0 | 0 | | 0 | 0 | | 0 | 0 | | 0 | 0 | |
| 25 | | | Island & overseas | | | 0 | | | 0 | | | 0 | | | 0 | | | 0 | | | 0 |
| 26 | | Other UG degree | HEFCE-fundable | 0 | 0 | | 0 | 0 | | 0 | 0 | | 0 | 0 | | 0 | 0 | | 0 | 0 | |
| 27 | | | Non-fundable | 0 | 0 | | 0 | 0 | | 0 | 0 | | 0 | 0 | | 0 | 0 | | 0 | 0 | |
| 28 | | | Island & overseas | | | 0 | | | 0 | | | 0 | | | 0 | | | 0 | | | 0 |
| 29 | Total UG | | HEFCE-fundable | 0 | 0 | | 0 | 0 | | 0 | 0 | | 0 | 0 | | 0 | 0 | | 0 | 0 | |
| 30 | | | Non-fundable | 0 | 0 | | 0 | 0 | | 0 | 0 | | 0 | 0 | | 0 | 0 | | 0 | 0 | |
| 31 | | | Island & overseas | | | | | | 0 | | | 0 | | | | | | 0 | | | 0 |
| 32 | | | | | | | | | | | | | | | | | | | | | |
| 33 | PG | PGT (UG fee) | HEFCE-fundable | 0 | 0 | | 0 | 0 | | 0 | 0 | | 0 | 0 | | 0 | 0 | | 0 | 0 | |
| 34 | | | Non-fundable | 0 | 0 | | 0 | 0 | | 0 | 0 | | 0 | 0 | | 0 | 0 | | 0 | 0 | |
| 35 | | | Island & overseas | | | 0 | | | 0 | | | 0 | | | | | | | | | 0 |
| 36 | | PGT (Masters loan) | HEFCE-fundable | 0 | 0 | | 0 | 0 | | 0 | 0 | | 0 | | | | | | | | |
| 37 | | | Non-fundable | 0 | 0 | | 0 | 0 | | 0 | 0 | | 0 | | | | | | | | |
| 38 | | | Island & overseas | | | 0 | | | 0 | | | 0 | | | | | | | | | 0 |
| 39 | | PGT (Other) | HEFCE-fundable | 0 | 0 | | 0 | 0 | | 0 | 0 | | 0 | | | | | | | | |
| 40 | | | Non-fundable | 0 | 0 | | 0 | 0 | | 0 | 0 | | 0 | | | | | | | | |
| 41 | | | Island & overseas | | | 0 | | | 0 | | | 0 | | | | | | | | | 0 |
| 42 | | PGR | HEFCE-fundable | | | | | | | | | | | | | | | | | | |
| 43 | | | Non-fundable | 0 | 0 | | 0 | 0 | | 0 | 0 | | 0 | 0 | | 0 | 0 | | 0 | 0 | |
| 44 | | | Island & overseas | | | 0 | | | 0 | | | 0 | | | 0 | | | 0 | | | 0 |
| 45 | Total PG | | HEFCE-fundable | 0 | 0 | | 0 | 0 | | 0 | 0 | | 0 | 0 | | 0 | 0 | | 0 | 0 | |
| 46 | | | Non-fundable | 0 | 0 | | 0 | 0 | | 0 | 0 | | 0 | 0 | | 0 | 0 | | 0 | 0 | |
| 47 | | | Island & overseas | | | | | | 0 | | | 0 | | | | | | 0 | | | 0 |
| 48 | | | | | | | | | | | | | | | | | | | | | |
| 49 | All levels | | HEFCE-fundable | 0 | 0 | | 0 | 0 | | 0 | 0 | | 0 | 0 | | 0 | 0 | | 0 | 0 | |

Notes | Table1_FTS | Table2_OUT | Table3_PT | Table4_YA | Table5_HEC | Table6_SUB | Table7_Health | Funding | Comparison 1 | ...

NOTE: Columns 1, 2 and 3 are defined differently for Table 5 than for Tables 1 to 4.

## Table 6_SUB

77. Table 6 collects information on any sub-contractual arrangements that your institution may have with other providers. We collect this information for planning purposes, and to update and inform HEFCE's Register of HE providers[4]. Only students who are registered with your institution, but part or all of whose year is taught by another provider under a sub-contractual arrangement, should be recorded on this table. **Annex A** provides further guidance and definitions of a sub-contractual relationship.

78. Sub-contracted years are often referred to as 'franchised', but you should make sure that only years of instance that meet our definitions in Annex A are returned on Table 6. For example, we would not generally expect any years of instance to be returned for exchange programs or for informal arrangements between institutions.

79. Record the years of instance that are sub-contracted out to other providers (in whole or part) in 2016-17. These years of instance should also be recorded in Tables 1, 2 or 3. Information should be recorded under the categories shown in **Figure 12**. A partial screenshot of Table 6 is shown in **Figure 13**.

**Figure 12: Years of instance taught under sub-contractual arrangements by other providers**

| | **Categories** | **Definitions and guidance** |
|---|---|---|
| UKPRN | Record the UK Provider Reference Number (UKPRN) of the provider that your institution sub-contracts to | Annex A |
| Institution name | This will be filled in automatically after you enter the UKPRN | |
| Mode of study | Full-time and sandwich year out<br>Part-time | Annex H |
| Level of study | UG: undergraduate<br>PGT (UG fee): postgraduate taught study on courses subject to regulated undergraduate fee<br>PGT (Masters loan): postgraduate taught study on courses eligible under the new masters loan arrangements<br>PGT (Other): postgraduate taught study not falling into the previous two categories<br>PGR: postgraduate research | Annex I |
| Fundability status | Home & EU, HEFCE-fundable<br>Home & EU, non-fundable<br>Island & overseas | Annex F |
| Years countable | New entrants | Annex C |

[4] Available at www.hefce.ac.uk/reg/register/.

80. When completing Table 6:

a. Enter the UKPRN for the sub-contracting institution in the **UKPRN column**. This will then automatically populate the **Name column**. You will not be able to edit the Name column. Where you sub-contract to an institution that does not have a UKPRN, you may use the following generic codes (as defined by HESA):

- 4002 Other Non-UK provider
- 4003 Other public body in the UK
- 4004 Other private body in the UK.

Where the UKPRN for a provider is not known, values can be obtained from the UK Register of Learning Providers.

b. Select the **Mode**, **Level** and **Fundability status** using the drop-down menu in each column. A separate line will need to be entered for each combination of these three columns.

c. In **Column 1** record all years of instance from Columns 1 and 2 of Tables 1, 2 and 3 that are contracted out; this means all those that start in the academic year, whether before or after 1 December.

d. In **Column 2** record how many of the years of instance in Column 1 are **new entrants**. See **Annex C** paragraph 14.

81. If there are a group of students for whom the year of instance is sub-contracted out to more than one provider, divide the total number of years of instance for that group according to the proportion taught at each provider, and return them on separate rows for each provider (and for each combination of mode, level and fundability status). Only whole numbers are permitted, so rounding may be required to ensure students are not double counted. For example, if there are 25 students that are sub-contracted equally between two providers, return 13 against one provider and 12 against the other.

82. Years of instance should not be double-counted: the total number of years of instance on Table 6 should be the total number of years of instance that your institution sub-contracts out.

83. **Validation failure** messages will occur in Table 6 if:

a. You enter an invalid UKPRN, or no UKPRN in a row.

b. You leave any cells in a row blank (except for Column 2).

c. You do not enter whole numbers.

d. You enter a negative number.

e. You enter totals for each combination of mode, level and fundability status in Column 1 that are greater than the equivalent totals from Tables 1, 2 and 3.

f. You enter totals for each combination of mode, level and fundability status in Column 2 that are greater than the equivalent totals from Table 5.

g. You enter a count of new entrants in Column 2 that is greater than the years of instance recorded in Column 1.

h. You leave a blank row between filled rows.

i. You select ‘PGR’ and ‘Home and EU, HEFCE-fundable’ in the same row.

84. **Credibility warnings** will occur in Table 6 if:

a. You use a generic code for the UKPRN.

d. You do not enter any new entrants in Column 2.

c. You report all sub-contracted students as new entrants (total of Column 1 = total of Column 2).

**Figure 13: Partial screenshot of Table 6_SUB**

UKPRN and name of institution sub-contracted to: Annex A

Mode of Study: Annex H

Level: Annex I

Fundability status: Annex F

Column 1: sum of years countable

Column 2 (new entrants): Annex C

Validation: OK

First stage credibility: OK

| UKPRN | Name | Mode | Level | Fundability status | Column 1<br>Years countable between 1 August 2016 and 31 July 2017 inclusive | Column 2<br>New entrants included in Column 1 of this table |
|---|---|---|---|---|---|---|
| | | | | Total | 1,350 | 675 |
| 10001452 | CITY AND ISLINGTON COLLEGE | FT + SWOUT | UG | Home & EU, HEFCE-fundable | 50 | 25 |
| 10002835 | HACKNEY COMMUNITY COLLEGE | PT | UG | Home & EU, non-fundable | 100 | 50 |
| 10001452 | CITY AND ISLINGTON COLLEGE | FT + SWOUT | UG | Island & overseas | 50 | 25 |
| 10001452 | CITY AND ISLINGTON COLLEGE | PT | UG | Home & EU, HEFCE-fundable | 100 | 50 |
| 10001452 | CITY AND ISLINGTON COLLEGE | FT + SWOUT | PGT (Masters loan) | Home & EU, non-fundable | 50 | 25 |
| 10002835 | HACKNEY COMMUNITY COLLEGE | PT | PGT (Masters loan) | Island & overseas | 100 | 50 |
| 10001452 | CITY AND ISLINGTON COLLEGE | FT + SWOUT | UG | Home & EU, HEFCE-fundable | 50 | 25 |
| 10002835 | HACKNEY COMMUNITY COLLEGE | PT | UG | Home & EU, non-fundable | 100 | 50 |
| 10001452 | CITY AND ISLINGTON COLLEGE | FT + SWOUT | PGT (Other) | Island & overseas | 50 | 25 |
| 10002835 | HACKNEY COMMUNITY COLLEGE | PT | PGT (Other) | Home & EU, HEFCE-fundable | 100 | 50 |
| 10001452 | CITY AND ISLINGTON COLLEGE | FT + SWOUT | UG | Home & EU, non-fundable | 50 | 25 |
| 10002835 | HACKNEY COMMUNITY COLLEGE | PT | UG | Island & overseas | 100 | 50 |
| 10001452 | CITY AND ISLINGTON COLLEGE | FT + SWOUT | UG | Home & EU, HEFCE-fundable | 50 | 25 |
| 10002835 | HACKNEY COMMUNITY COLLEGE | PT | UG | Home & EU, non-fundable | 100 | 50 |
| 10001452 | CITY AND ISLINGTON COLLEGE | FT + SWOUT | UG | Island & overseas | 50 | 25 |
| 10002835 | HACKNEY COMMUNITY COLLEGE | PT | UG | Home & EU, HEFCE-fundable | 100 | 50 |
| 10001452 | CITY AND ISLINGTON COLLEGE | FT + SWOUT | UG | Home & EU, non-fundable | 50 | 25 |
| 10002835 | HACKNEY COMMUNITY COLLEGE | PT | UG | Island & overseas | 100 | 50 |
| | | | | | 0 | 0 |

Note: institutions and numbers used are for illustrative purposes only

## Table 7_Health

85. Table 7 is new for HESES16. It collects information about non-fundable years of instance that lead to qualifications for the health professions listed in Figure 14. This will be used for planning purposes and to inform funding allocations that we will provide to institutions in 2017-18 when responsibility for funding most of these courses is transferred to HEFCE. These years of instance will have already been included in Tables 1, 2 and 3 as non-fundable. A partial screenshot of Table 7 is shown in **Figure 15**.

86. Please note that there are some differences in how years of instance are recorded in Table 7; for example, we are collecting information on **new starters**, which is a slightly different concept to 'new entrants' as collected in Tables 5 and 6. Further guidance on definitions specific to Table 7 is provided in **Annex L**.

### Healthcare professions

87. For the professions listed below, only pre-registration courses at English institutions that are approved by the relevant regulatory body should be included. These are:

a. For Nursing and Midwifery, the Nursing and Midwifery Council.

b. For dental hygiene and dental therapy, the General Dental Council.

c. For all other professions listed, the Health and Care Professions Council.

Further information on these courses is in **Annex L.**

**Figure 14: Breakdown of counts of years of instance and new entrants in pre-registration nursing, midwifery and allied health professions (Table 7)**

| | **Categories** | | **Definitions and guidance** |
|---|---|---|---|
| Profession | Dental hygiene<br>Dental therapy<br>Dietetics<br>Midwifery<br>Nursing (adult)<br>Nursing (children)<br>Nursing (learning disability)<br>Nursing (mental health)<br>Nursing (unclassified)<br>Occupational therapy | Operating department practice<br>Orthoptics<br>Orthotics/prosthetics<br>Physiotherapy<br>Podiatry and chiropody<br>Radiography (diagnostic)<br>Radiography (therapeutic)<br>Speech and language therapy | Annex L |
| Level | UG: undergraduate<br>PGT (Masters loan): postgraduate taught study on courses eligible under the new masters loan arrangements<br>PGT (Other): postgraduate taught study not falling into the previous two categories | | Annex I |
| Mode of study | Full-time and sandwich year out<br>Part-time | | Annex H |
| Years countable | All years<br>Starters from 2016-17 | | Annex L |

88. For all Table 7 Columns as listed below, there are 2 sub-columns:

- **(a) All years**: years of instance for all students in the relevant combination of profession, length of year, level and mode of study.
- **(b) Starters from 2016-17 included in (a)**: years of instance for students that meet the definition given above. These will already have been recorded in sub-column (a). Starters from 2016-17 cannot be sandwich year out.

89. Data to enter:

a. In **Column 1** record years of instance that started between 1 August 2016 and 1 December 2016 inclusive.

b. In **Column 2** record years of instance that you forecast will start between 2 December 2016 and 31 July 2017 inclusive. This may include those on the first or subsequent years of an instance.

See **Annex C** for full instructions on whether to record years in Column 1 or Column 2.

c. In **Column 3** enter a forecast of the number of years of instance that will not be completed. Non-completion numbers must be recorded as a negative number. You should use the definitions and methodology for calculating estimates described in **Annex D**. You may be asked questions on your methodology during data verification.

d. **Column 4** will be filled automatically with the numbers of completed years, as you enter data into Columns 1 to 3.

e. In **Column 4a** enter the full-time equivalence (FTE) for the number of completed part-time years of instance in Column 4. This should be the total full-time equivalent years of instance for that row, not the average FTE per year of instance. To determine the FTE of part-time students refer to **Annex E** for guidance.

90. **Validation failure** messages will occur in Table 7 if:

a. Column 3 contains a positive number, or any other column contains a negative number.

b. The FTE you have recorded in Column 4a is greater than the years of instance in Column 4.

c. The FTE you have recorded in Column 4a makes the average FTE for that row less than 0.03. (Years of instance that have an FTE of less than this are not included – see **Annex C**.)

d. For any cell in Column 4a, the FTE is entered to more than 2 decimal places.

e. You have entered a value that is not a multiple of 0.5 in Columns 1, 2 or 3 for the following professions:

- Nursing – adult
- Nursing – child
- Nursing – learning disability
- Nursing – mental health.

f. You have entered a value that is not a whole number in Columns 1, 2 or 3 for any other profession.

g. For all columns, your ‘All years’ absolute totals (i.e., the number, whether positive or negative) are greater than the corresponding totals from the equivalent columns in Tables 1, 2 or 3.

h. For all cells in each column, you record more ‘Starters from 2016-17’ than there are years of instance recorded under ‘All years’.

91. **Credibility warnings** will occur in Table 7 if:

a. You do not enter any non-completions for a row where you have recorded at least 50 years of instance across Columns 1 and 2.

b. You record all years of instance in Columns 1 and 2 for a row as non-completions.

c. You do not enter any ‘Starters from 2016-17’ in a column.

d. You report all years as ‘Starters from 2016-17’ for any column.

e. You have entered sandwich year out students.

f. For part-time students, the total FTE entered in Column 4a is less than 25 per cent of the total years calculated in Column 4.

g. You have entered students with a long year of instance for any profession.

h. You have entered students for the Nursing (unclassified) profession.

## Figure 15: Partial screenshot of Table 7_Health

Column 1 or Column 2: **Annex C**

Column 3 Non-completions (negative numbers): **Annex D**

Column 4 Automatically completed

Column 4a Estimated FTE: **Annex E**

Mode of Study: **Annex H**

Length: **Annex J**

Level: **Annex I**

Professions: **Annex L**

Starters: **Annex L**

Table 7: Counts of years of instance and starters on pre-registration nursing, midwifery and allied health profession c

All students in this table should be reported as Home & EU, Non-fundable in Tables 1 to 3

Validation: OK — First stage credibility: OK

Validation: OK — First stage credibility: OK

Validation: OK — First stage credibility: OK

Validation: OK — First stage credibility: OK

Validation: OK — First stage credibility: OK

| | | | Column 1 | | | | | Column 2 | | | | | Column 3 | | | | | Column 4 | | | | | Column 4a | |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| | | | Years countable between 1 August 2016 and 1 December 2016 inclusive | | | | | Forecast of years countable between 2 December 2016 and 31 July 2017 inclusive | | | | | Forecast of years not completed (negative values) | | | | | Estimated completed years academic year 2016-17 (Columns 1 + 2 + 3) | | | | | Estimated FTE for completed years included in Column 4 academic year 2016-17 | |
| | | | (a) All years | | | (b) Starters from 2016-17 included in (a) | | (a) All years | | | (b) Starters from 2016-17 included in (a) | | (a) All years | | | (b) Starters from 2016-17 included in (a) | | (a) All years | | | (b) Starters from 2016-17 included in (a) | | (a) All years | (b) Starters from 2016-17 included in (a) |
| Profession | Length | Level | Full-time (i) | Sandwich year (ii) | Part-time (iii) | Full-time (i) | Part-time (iii) | Full-time (i) | Sandwich year (ii) | Part-time (iii) | Full-time (i) | Part-time (iii) | Full-time (i) | Sandwich year (ii) | Part-time (iii) | Full-time (i) | Part-time (iii) | Full-time (i) | Sandwich year (ii) | Part-time (iii) | Full-time (i) | Part-time (iii) | Part-time (iii) | Part-time (iii) |
| Dental hygiene | Standard | UG | 0.00 | | 0.00 | 0.00 | 0.00 | 0.00 | | 0.00 | 0.00 | 0.00 | 0.00 | | 0.00 | 0.00 | 0.00 | 0.00 | | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 |
| | | PGT (Masters loan) | 0.00 | | 0.00 | 0.00 | 0.00 | 0.00 | | 0.00 | 0.00 | 0.00 | 0.00 | | 0.00 | 0.00 | 0.00 | 0.00 | | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 |
| | | PGT (Other) | 0.00 | | 0.00 | 0.00 | 0.00 | 0.00 | | 0.00 | 0.00 | 0.00 | 0.00 | | 0.00 | 0.00 | 0.00 | 0.00 | | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 |
| | Long | UG | 0.00 | | 0.00 | 0.00 | 0.00 | 0.00 | | 0.00 | 0.00 | 0.00 | 0.00 | | 0.00 | 0.00 | 0.00 | 0.00 | | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 |
| | | PGT (Masters loan) | 0.00 | | 0.00 | 0.00 | 0.00 | 0.00 | | 0.00 | 0.00 | 0.00 | 0.00 | | 0.00 | 0.00 | 0.00 | 0.00 | | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 |
| | | PGT (Other) | 0.00 | | 0.00 | 0.00 | 0.00 | 0.00 | | 0.00 | 0.00 | 0.00 | 0.00 | | 0.00 | 0.00 | 0.00 | 0.00 | | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 |
| Dental therapy | Standard | UG | 0.00 | | 0.00 | 0.00 | 0.00 | 0.00 | | 0.00 | 0.00 | 0.00 | 0.00 | | 0.00 | 0.00 | 0.00 | 0.00 | | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 |
| | | PGT (Masters loan) | 0.00 | | 0.00 | 0.00 | 0.00 | 0.00 | | 0.00 | 0.00 | 0.00 | 0.00 | | 0.00 | 0.00 | 0.00 | 0.00 | | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 |
| | | PGT (Other) | 0.00 | | 0.00 | 0.00 | 0.00 | 0.00 | | 0.00 | 0.00 | 0.00 | 0.00 | | 0.00 | 0.00 | 0.00 | 0.00 | | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 |
| | Long | UG | 0.00 | | 0.00 | 0.00 | 0.00 | 0.00 | | 0.00 | 0.00 | 0.00 | 0.00 | | 0.00 | 0.00 | 0.00 | 0.00 | | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 |
| | | PGT (Masters loan) | 0.00 | | 0.00 | 0.00 | 0.00 | 0.00 | | 0.00 | 0.00 | 0.00 | 0.00 | | 0.00 | 0.00 | 0.00 | 0.00 | | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 |
| | | PGT (Other) | 0.00 | | 0.00 | 0.00 | 0.00 | 0.00 | | 0.00 | 0.00 | 0.00 | 0.00 | | 0.00 | 0.00 | 0.00 | 0.00 | | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 |
| Dietetics | Standard | UG | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 |
| | | PGT (Masters loan) | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 |
| | | PGT (Other) | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 |
| | Long | UG | 0.00 | | 0.00 | 0.00 | 0.00 | 0.00 | | 0.00 | 0.00 | 0.00 | 0.00 | | 0.00 | 0.00 | 0.00 | 0.00 | | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 |
| | | PGT (Masters loan) | 0.00 | | 0.00 | 0.00 | 0.00 | 0.00 | | 0.00 | 0.00 | 0.00 | 0.00 | | 0.00 | 0.00 | 0.00 | 0.00 | | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 |
| | | PGT (Other) | 0.00 | | 0.00 | 0.00 | 0.00 | 0.00 | | 0.00 | 0.00 | 0.00 | 0.00 | | 0.00 | 0.00 | 0.00 | 0.00 | | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 |
| Midwifery | Standard | UG | 0.00 | | 0.00 | 0.00 | 0.00 | 0.00 | | 0.00 | 0.00 | 0.00 | 0.00 | | 0.00 | 0.00 | 0.00 | 0.00 | | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 |
| | | PGT (Masters loan) | 0.00 | | 0.00 | 0.00 | 0.00 | 0.00 | | 0.00 | 0.00 | 0.00 | 0.00 | | 0.00 | 0.00 | 0.00 | 0.00 | | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 |
| | | PGT (Other) | 0.00 | | 0.00 | 0.00 | 0.00 | 0.00 | | 0.00 | 0.00 | 0.00 | 0.00 | | 0.00 | 0.00 | 0.00 | 0.00 | | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 |
| | Long | UG | 0.00 | | 0.00 | 0.00 | 0.00 | 0.00 | | 0.00 | 0.00 | 0.00 | 0.00 | | 0.00 | 0.00 | 0.00 | 0.00 | | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 |
| | | PGT (Masters loan) | 0.00 | | 0.00 | 0.00 | 0.00 | 0.00 | | 0.00 | 0.00 | 0.00 | 0.00 | | 0.00 | 0.00 | 0.00 | 0.00 | | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 |
| | | PGT (Other) | 0.00 | | 0.00 | 0.00 | 0.00 | 0.00 | | 0.00 | 0.00 | 0.00 | 0.00 | | 0.00 | 0.00 | 0.00 | 0.00 | | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 |
| Nursing - adult | Standard | UG | 0.00 | | 0.00 | 0.00 | 0.00 | 0.00 | | 0.00 | 0.00 | 0.00 | 0.00 | | 0.00 | 0.00 | 0.00 | 0.00 | | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 |
| | | PGT (Masters loan) | 0.00 | | 0.00 | 0.00 | 0.00 | 0.00 | | 0.00 | 0.00 | 0.00 | 0.00 | | 0.00 | 0.00 | 0.00 | 0.00 | | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 |
| | | PGT (Other) | 0.00 | | 0.00 | 0.00 | 0.00 | 0.00 | | 0.00 | 0.00 | 0.00 | 0.00 | | 0.00 | 0.00 | 0.00 | 0.00 | | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 |
| | Long | UG | 0.00 | | 0.00 | 0.00 | 0.00 | 0.00 | | 0.00 | 0.00 | 0.00 | 0.00 | | 0.00 | 0.00 | 0.00 | 0.00 | | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 |
| | | PGT (Masters loan) | 0.00 | | 0.00 | 0.00 | 0.00 | 0.00 | | 0.00 | 0.00 | 0.00 | 0.00 | | 0.00 | 0.00 | 0.00 | 0.00 | | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 |
| | | PGT (Other) | 0.00 | | 0.00 | 0.00 | 0.00 | 0.00 | | 0.00 | 0.00 | 0.00 | 0.00 | | 0.00 | 0.00 | 0.00 | 0.00 | | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 |
| Nursing - children | Standard | UG | 0.00 | | 0.00 | 0.00 | 0.00 | 0.00 | | 0.00 | 0.00 | 0.00 | 0.00 | | 0.00 | 0.00 | 0.00 | 0.00 | | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 |
| | | PGT (Masters loan) | 0.00 | | 0.00 | 0.00 | 0.00 | 0.00 | | 0.00 | 0.00 | 0.00 | 0.00 | | 0.00 | 0.00 | 0.00 | 0.00 | | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 |

NOTE: 'Starters from 2016-17' is not the same as 'new entrants'.

## Other worksheets

92. The data in these worksheets is completed automatically when you enter data in Tables 1 to 7.

### Funding

93. The funding comparison worksheet compares your 2016-17 funding allocations (which used HESES15 data) with recalculated funding generated using HESES16 data (from data you have entered into Tables 1 to 4) applied to the same 2016-17 funding model. You may be asked questions about large differences in the funding, to check that any changes in data reflect actual changes in higher education provision or student numbers.

94. The allocations in the funding comparison sheet are shown only as a comparison tool. They are only illustrative calculations using the 2016-17 funding method and parameters, and should not be considered to be any kind of funding commitment by HEFCE.

### Comparison 1 and Comparison 2

95. These worksheets contain tables that summarise your HESES16 data and compare it with previous years. There is automatic highlighting where differences are greater than expected, according to pre-set thresholds. Please refer to **Appendix 2** for further details. During data verification you will be asked to check and explain the reasons for unexpected differences.

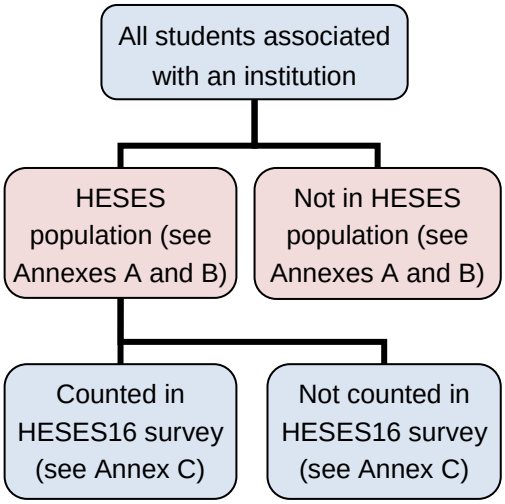
### Comparison 3

96. This contains tables that summarise your HESES16 data and compare it with previous years. We will not routinely ask questions on these tables during the verification process. Please refer to **Appendix 2** for further details.

# Section 2: Funding rules and definitions

# Annex A: Defining the HESES student population

This annex defines an 'instance' and explains which student instances should and should not be included in the HESES student population. It also explains how to treat provision delivered through connected undertakings.




## Annex A contents

Definitions

- The HESES population for 2016-17
- Who is in the HESES population for 2016-17?
- Connected undertakings

Good practice

- Sub-contractual arrangements

## Definitions

### The HESES population for 2016-17

1. HESES16 records counts of **years of instance** for students (regardless of age and whether or not the year of instance is being repeated) aiming for a **recognised higher education (HE) qualification or HE-level credit** that can be counted towards one.

2. For the purposes of HESES:

   a. 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.

   b. A 'year of instance' is defined in **Annex C**. An instance can be split into one or more 'years of instance'. The first year of instance begins when the student starts studying towards the qualification; the second and subsequent years start on or near the anniversary of this date (allowing for minor variations in term dates).

   c. 'Institution' means the institution including its **connected undertakings**, as defined in paragraphs 9 and 10, unless such connected undertakings are subject to a separate funding agreement directly with HEFCE.

   d. The institution with which a student is registered (both for HESES purposes and for the Higher Education Statistics Agency (HESA) student record) means:

      i. For all courses except **joint courses**, the institution which has the full contractual responsibility to the student for the provision of educational services. Where fee payments from the Student Loans Company are concerned, this will also be the institution that collects the student tuition fee. This applies whether the institution provides all the teaching for the course or sub-contracts out some of that teaching to another body.

ii. For **joint courses**, the institution to which the student is assigned for data reporting purposes when they start their course. In joint courses responsibility for the provision of education to a student is held by more than one institution, and there may be variation from year to year as to which of these collects the tuition fee for a year of instance. For data reporting purposes, however, students on courses provided under the Erasmus Mundus Joint Masters Degree scheme[5], students should be registered with and reported by the institution with which they initially start the course. For other joint courses, institutions should determine at the outset what proportion of the initial entry cohort should be reported by each institution. Reflecting this proportion, each student should then be assigned to a single institution when they start their course, and retain this assignment until they finish it. This approach will support student tracking for performance indicators and other longitudinal studies.

e. 'Joint courses' are courses made available by two (or more) institutions with degree-awarding powers, in which each institution has responsibility for the provision of education to students and which lead on successful completion to a joint award or dual or multiple awards from each institution involved. Teaching may be provided in varying proportions by the institutions involved.

f. An 'exchange' is defined as a programme offered in partnership with an overseas institution where there is a movement of students in both directions between the institutions. The movement of students does not have to be balanced. For an exchange programme:

i. In an 'outgoing' exchange the UK institution sends participants from their registered students to undertake a period of study at an institution abroad or work placement under the Erasmus+ scheme.

ii. In an 'incoming' exchange, the UK institution receives students registered at an institution abroad, who are undertaking a period of study with them.

g. A 'recognised HE qualification or HE-level credit' is defined in **Annex B**.

## Who is in the HESES population for 2016-17?

3. Instances meeting **all** the following criteria should be included in the HESES population:

a. At least part of a year of instance, in which the student is registered and actively pursuing studies with the institution, begins within the academic year (1 August 2016 to 31 July 2017). This:

i. Includes outgoing, but not incoming, exchange students.

ii. Excludes students who the institution teaches under a sub-contractual relationship with another institution, where the latter institution has the full contractual responsibility to the student for the provision of education.

[5] See http://ec.europa.eu/programmes/erasmus-plus/ for further details.

iii. Excludes instances for students who are on school-centred initial teacher training programmes.

iv. Excludes instances that are being returned on any other institution's HESES, Higher Education in Further Education: Students Survey (HEIFES) or Higher Education in Alternative Providers: Early Statistics Survey (HEAPES) return.

v. Excludes instances where no year of instance for which the student is actively studying with the institution falls at least partly in the academic year 2016-17, such as:

1) Instances where all years of instance falling in the year are entirely writing up. Writing up is not considered to be 'study' for HESES purposes.

2) Instances where the only activity is assessment. This includes teacher training programmes which consist only of a Qualified Teacher Status assessment.

3) Instances whose course aim is a research qualification awarded primarily on the basis of published works, unless the instance involves a significant amount of research at the institution.

vi. Excludes graduate and undergraduate internships.

b. The instance has a course aim of a recognised HE qualification, or an HE-level credit that can be counted towards such a qualification. This excludes instances where the sole course aim is a National Vocational Qualification, but includes instances which lead to both a recognised HE qualification and a National Vocational Qualification.

c. No more than half of the active study time for the whole instance is spent outside the UK (including through distance learning), unless any of the following apply:

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.

iii. The student is receiving UK student support from the Student Loans Company for the year.

Instances for sandwich students working abroad and language students on years abroad should normally be included in the HESES population, because the year abroad will not constitute most of the instance.

4. All instances included in the HESES population must be included in the institution's HESA individualised student record, even if this is not normally compulsory under the coverage of the record.

HESA notes

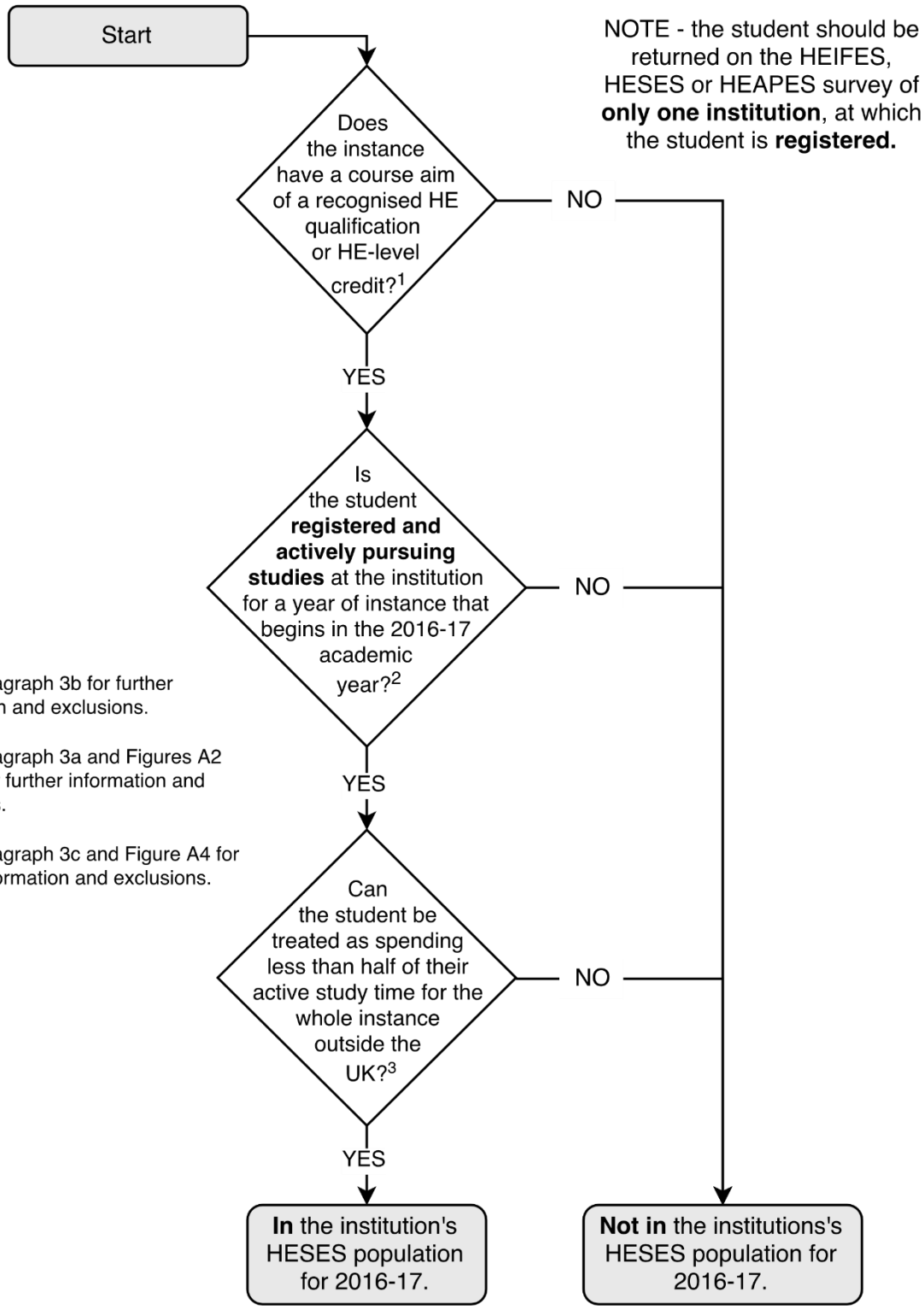
5. Students who are in the HESES population must have a HESA record returned for 2016-17 even if they do not generate a countable year in HESES16. Incoming exchange students should be recorded in the HESA record using the EXCHANGE field, using codes ‘4’ or ‘G’.

6. The responsibility for reporting student data (other than for joint courses) depends on which institution has full contractual responsibility to the student for the provision of education. Students should not, other than in exceptional circumstances, change the institution they are registered with, and no change should be made as to which institution reports data on students who are continuing on the same course without each student’s informed agreement. The only case where we expect this to be common practice is in formal collaborative research programmes (such as Doctoral Training Partnerships or Centres for Doctoral Training), where students will often transfer having completed an MRes. In reporting student data to us, institutions will be confirming their contractual responsibilities for the provision of education to these students.

7. Students who have not completed the institution’s registration process for the instance, and from whom there is no evidence of activity by the census date, should not be included in Column 1 of Tables 1 to 3 in the HESES16 return. However, if there is evidence of activity, students should be included in Column 1 of Tables 1 to 3 of the HESES16 return. Efforts should be made to ensure that all eligible students are fully registered by the census date.

8. The flowcharts provided in **Figures A1 to A4** can be used to determine if a student can be included in the HESES population for 2016-17.

**Figure A1: Determining the HESES population for 2016-17**




[1] See paragraph 3b for further information and exclusions.

[2] See paragraph 3a and Figures A2 and A3 for further information and exclusions.

[3] See paragraph 3c and Figure A4 for further information and exclusions.

**Figure A2: Determining if a student is registered with an institution**

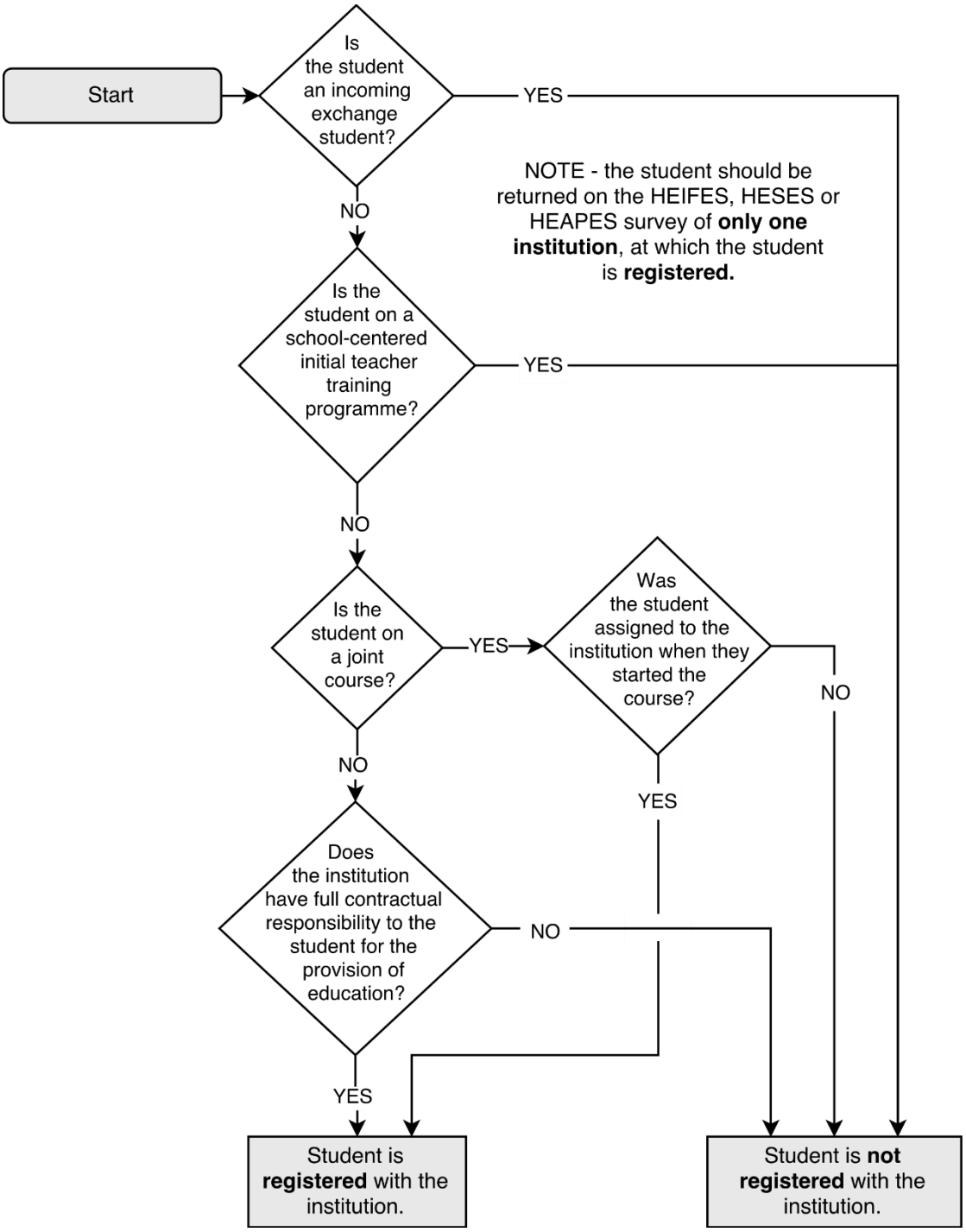
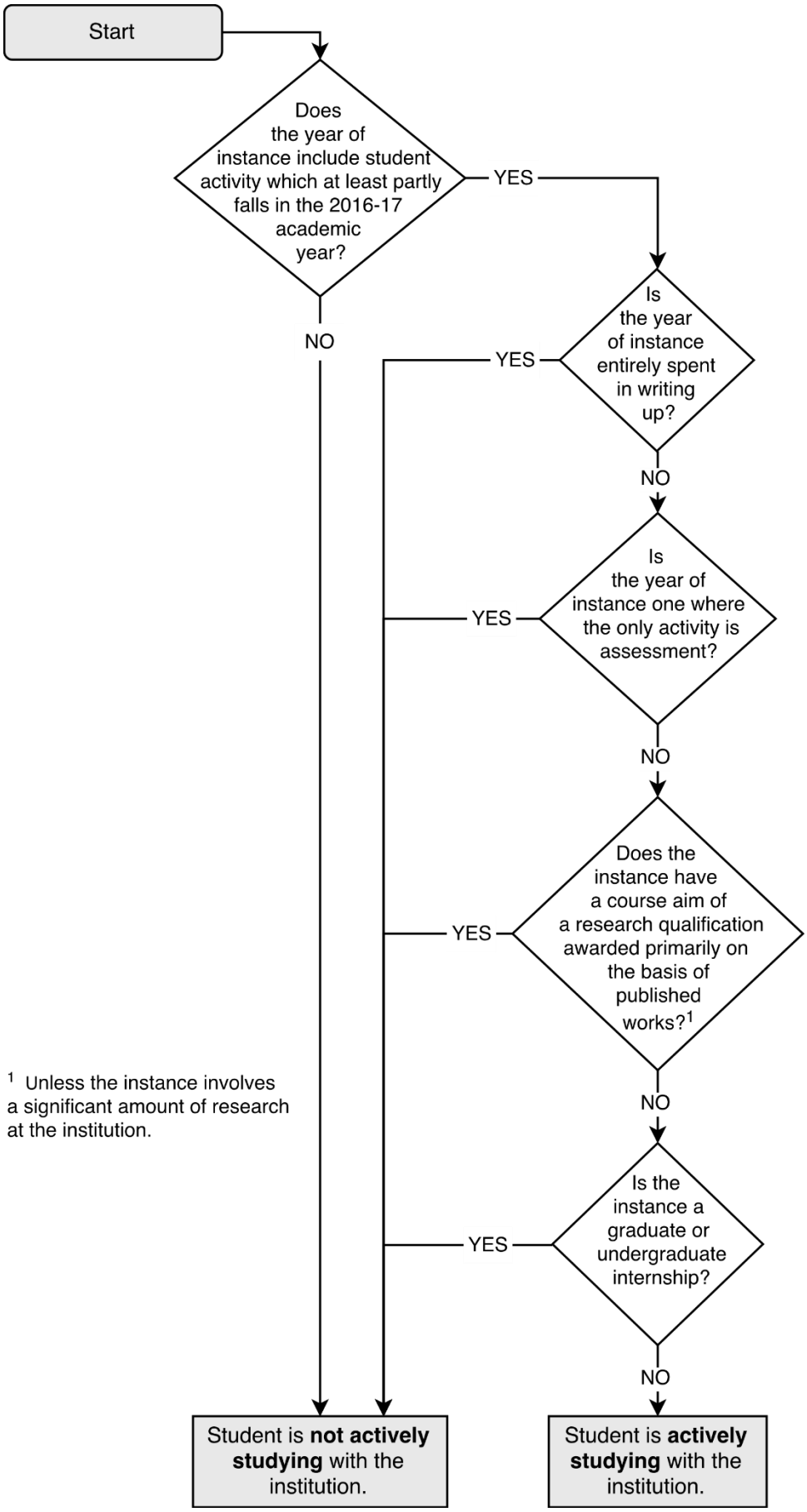
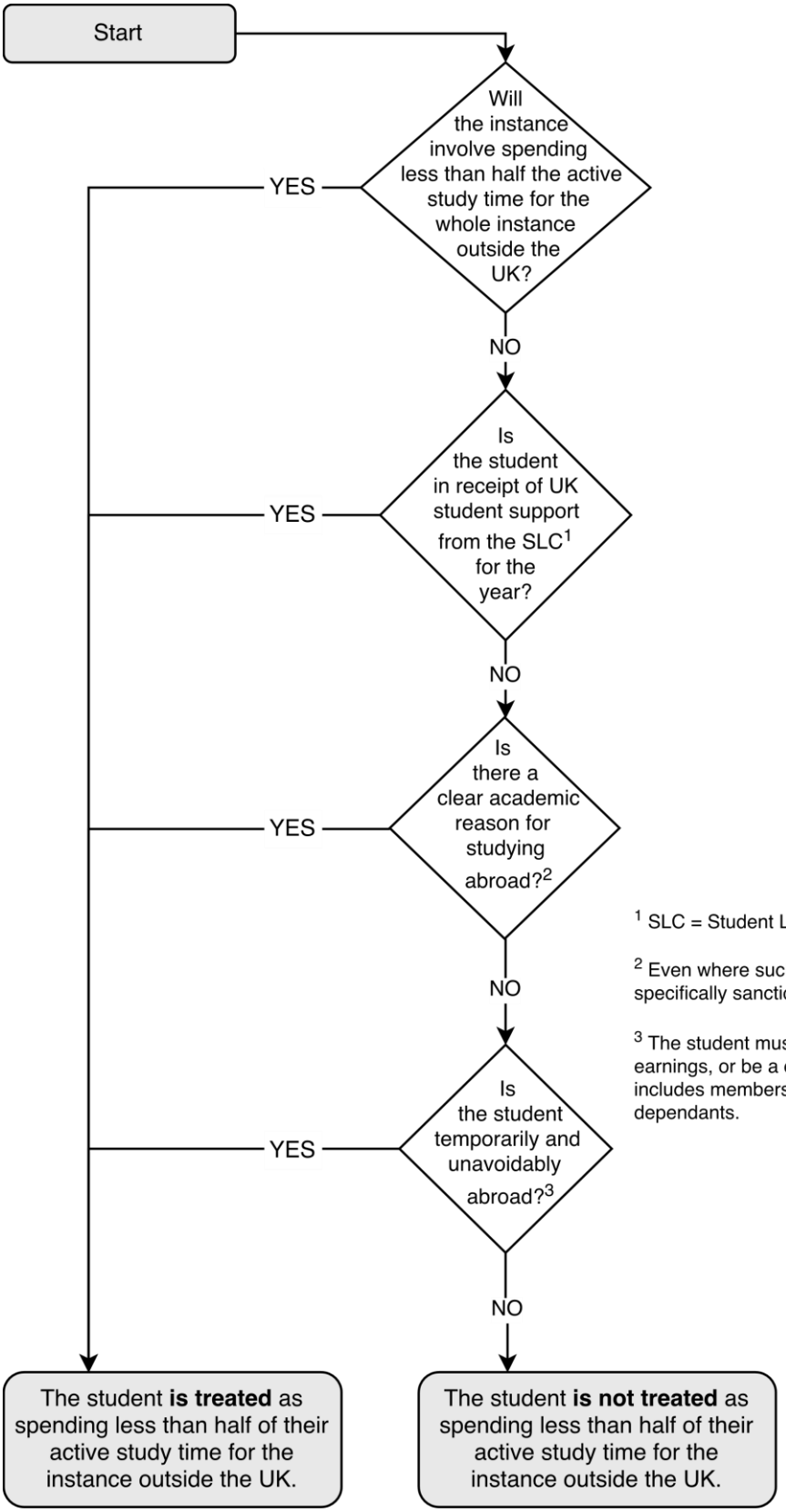


**Figure A3: Determining if a student is actively studying with an institution**




[1] Unless the instance involves a significant amount of research at the institution.

**Figure A4: Instances with less than half of the active study time spent abroad**




[1] SLC = Student Loans Company

[2] Even where such a reason exists, we must specifically sanction the course as eligible.

[3] The student must remain liable to UK tax on their earnings, or be a dependant of such a person. This includes members of HM Forces and their dependants.

## Connected undertakings

9. An ‘undertaking’ includes a body corporate, a partnership, an unincorporated association or a trust. An undertaking will be regarded as a connected undertaking of the institution if any of the following apply:

a. The institution controls that undertaking.

b. The institution and another undertaking or other undertakings connected with the institution together control that undertaking.

c. Another undertaking or other undertakings connected with the institution control that undertaking.

d. That undertaking is recognised by us as a connected institution as defined by section 27 of the Teaching and Higher Education Act 1998.

e. We consider that the sole purpose, or one of the main purposes, of registering students at that undertaking is to avoid those students being included in any control on the institution’s numbers.

10. For the purpose of the previous paragraph, an undertaking is under the ‘control’ of another if any of the following apply[6]:

a. That other holds a majority of the shares in the undertaking.

b. That other holds a majority of the voting rights in the undertaking.

c. That other has the right to appoint or remove a majority of the board of directors or other governing body of the undertaking.

d. That other has the right to exercise dominant influence over the undertaking by virtue of provisions contained in the undertaking’s articles of association or any other constitution, control contract, memorandum of understanding or other document regulating the undertaking or any other undertaking.

e. That other has the right to a share of more than half the assets, or of more than half the income, of the undertaking.

f. Both are managed on a uniform basis.

g. That other has the power, by any other means, to secure that the affairs of the undertaking are conducted in accordance with its wishes.

[6] The expressions ‘voting rights in an undertaking’, ‘right to appoint or remove a majority of the directors’, ‘right to exercise a dominant influence’ and ‘control contract’ have the meanings given in schedule 7 to the Companies Act 2006.

## Sub-contractual arrangements

11. Guidance was provided on the definition of sub-contractual arrangements in 'Institutions' responsibilities in partnership arrangements' (HEFCE Circular letter 18/2015)[7]. Institutions should refer to the circular letter, but broadly it separates partnerships between institutions into:

a. **Validation arrangements**, where a course is taught by one institution that leads on successful completion to a qualification awarded by another institution.

b. **Sub-contractual (or franchise) arrangements**, where a course is made available by one institution with some or all of the teaching sub-contracted out to a different institution. This does not include informal arrangements that are not governed by contracts between institutions, such as those that might exist for shared teaching between constituent parts of the University of London, or for study abroad under the Erasmus+ programme. It may include some exchange programmes, if there is a formal contract between institutions.

c. **Joint courses**, where a course is made available by two or more institutions and which leads on successful completion to a qualification awarded by each institution.

12. While the nature of any partnership arrangement is for institutions to decide, we would consider this to be determined by the details of the contract between the relevant institutions and therefore who, as mentioned in paragraph 2d of this annex, has the full contractual responsibility to the student for the provision of educational services.

13. We would expect institutions to be clear on the nature of any partnership agreements and to ensure that this is communicated to students.

## Good practice

14. It is the responsibility of the registering institution to ensure the quality of all the data it returns, including those relating to activity at its sub-contractors.

15. It is essential that the exchanges of information and communications between the partners are frequent, timely, open and effective. In particular, we highlight the importance of a registering institution being told promptly by its partner institutions about any withdrawing students. This may require clear protocols among partner institutions regarding exchange of information.

16. The different roles of each partner in collecting and managing data will vary. The principle applied at audit is that student data should be managed with equal professionalism at all partner institutions. When entering into sub-contractual arrangements, the systems in operation and the exchange of information should form part of the negotiations and final agreement.

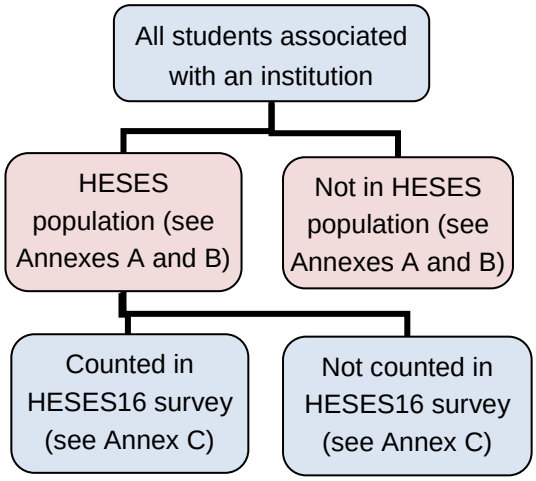
[7] Available online at www.hefce.ac.uk/pubs/year/2015/CL,182015/.

17. It is important that students are returned on the HEFCE survey (HESES or HEIFES) and the HESA student record (or the Individualised Learner Record) by the registering institution only. An institution's student record system should contain all sub-contracted students' records in the same way as it does its 'own' students. However, institutions' student record systems should clearly identify those students taught under a sub-contractual arrangement as to be returned by them, and should ensure that those not eligible are excluded from the HEFCE survey. This will help to ensure that sub-contracted out students are correctly returned in HESES, and that an audit trail for such students is available.

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

# Annex B: Recognised higher education

This annex defines the recognised higher education courses which students must be studying if they are to be included in HESES16. It also details the treatment of students on higher, degree or advanced apprenticeships which include both higher and further education elements.




## Annex B contents

Definitions

- Recognised higher education qualifications
- Foundation years ('Level 0')
- Funding for higher, degree and advanced apprenticeships

## Definitions

### Recognised higher education qualifications

1. To be included in the HESES population for 2016-17 and therefore potentially counted in HESES16, an instance must have a course aim of a recognised higher education (HE) qualification or an HE-level credit that can be counted towards such a qualification.

2. Recognised HE qualifications are those awarded on successful completion of 'Courses of higher education' as 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 National Vocational Qualifications.

3. Instances that do not lead, upon successful completion, towards a recognised HE qualification, or an HE-level credit that can be counted towards one, are excluded from the HESES population.

### Foundation years ('Level 0')

4. Instances for foundation years, access provision and other provision commonly referred to as 'Level 0' will be included in the HESES population only if they are an integrated part of a recognised HE qualification, such that both of the following apply:

   a. Students are already registered for the recognised HE qualification at the same institution.

   b. Progression to the recognised HE qualification is guaranteed, subject to satisfactory completion of the foundation year.

5. Free-standing foundation years and other free-standing Level 0 provision are not recognised HE courses. The requirement that students are already registered for the recognised HE qualification at the same institution means that, where the foundation year is taught by a different institution, this will be treated as integrated – and therefore within the HESES population – only if it is done under a sub-contractual arrangement from the institution offering the recognised HE qualification.

## Recognised higher education provided as part of an apprenticeship

6. Apprenticeships are programmes of study in which an apprentice is employed for a minimum of 30 hours a week while studying towards qualifications. They can be studied at several specific levels, including degree apprenticeships where apprentices study towards a first degree, or masters degree, qualification.

7. Although the majority of the finance for apprenticeships is provided through the Skills Funding Agency, this does not in itself affect whether years of instance taken as part of an apprenticeship are included in HESES16, or whether home and EU students are reported as HEFCE-fundable or non-fundable.

8. HEFCE provides funding to institutions where such years of instance meet the criteria for particular elements of teaching grant. HEFCE funding is treated as complementary to finance provided by the Skills Funding Agency and employers, which is more analogous to finance that for other higher education provision would be provided through tuition fees or student support.

9. Only the activity within a higher, degree or advanced apprenticeship that meets the definition of recognised HE courses given in this annex should be included. This means that a student who has commenced such an apprenticeship but is not undertaking the recognised HE part of that apprenticeship during the year of instance, should not be included in HESES.

10. Years of instance taken as part of an apprenticeship should not be treated as part of a closed course. They may therefore be treated as HEFCE-fundable subject to meeting all other criteria necessary for that status.

11. As with all postgraduate taught (PGT) students, those on apprenticeships should be split between the three categories of PGT (UG fee), PGT (Masters loan) and PGT (Other) according to the characteristics of their recognised higher education course, rather than their own personal eligibility for any such student support.

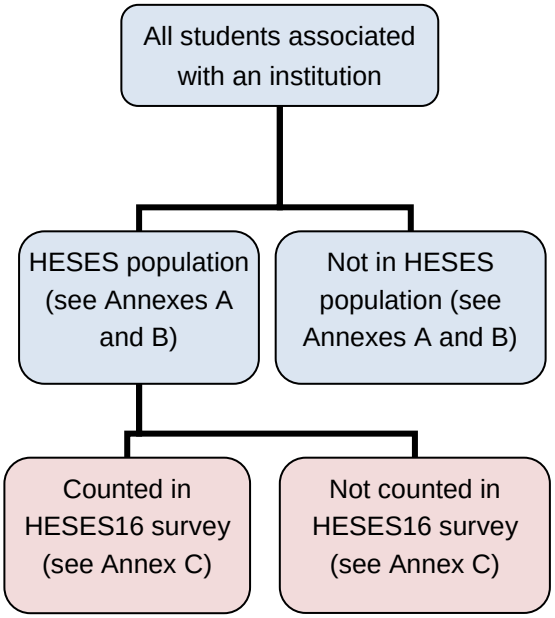
12. Where higher education institutions or franchise partners are also providing other elements of training as part of a higher, degree or advanced apprenticeship, they should report two instances on the Higher Education Statistics Agency (HESA) student record for each student on the apprenticeship:

a. One of these should relate to study towards the qualifications, or credits, that meet the definition of recognised HE courses in this annex and which may be HEFCE-fundable.

b. The other should relate to study towards any other qualifications. Where institutions return further education activity directly to the Skills Funding Agency on the Individualised Learner Record, the further education instance should not be included on the HESA record.

# Annex C: Counting student activity

This annex gives the definition of a year of instance and explains how to count them in HESES16. This includes the criteria for counting a year of instance in HESES16, the definitions of standard and non-standard years of instance, flow charts to aid with determining how years of instance should be counted, and guidance on counting some short courses that are sometimes known as 'summer schools'.




## Annex C contents

Definitions

- Year of instance
  - Further notes on years of instance
- Counting years of instance

Guidance

- How to count years of instance
  - Students who withdraw before the census date
  - Standard and non-standard years
- New entrants
- Assigning modules to year of instance
- Summer schools
  - Summer schools for potential HE students
  - Access provision
  - Within-course periods of study in vacation time
  - Foundation degree bridging courses

Examples

Good practice

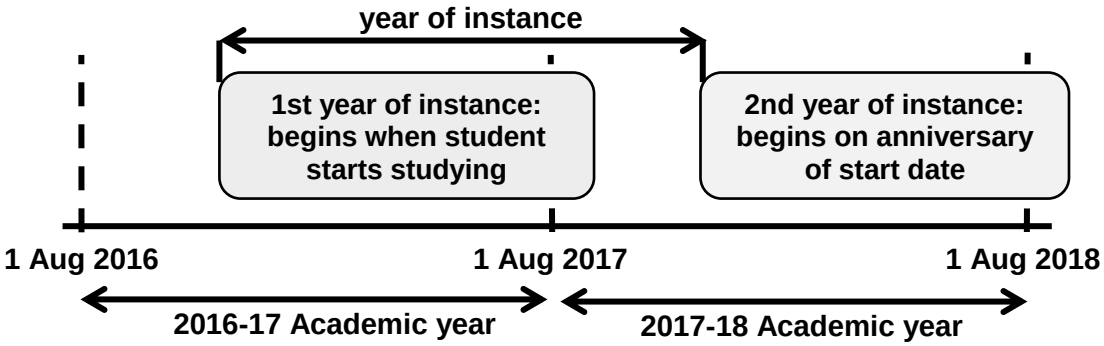
## Definitions

### Year of instance

1. Paragraph 2 of **Annex A** defines an 'instance' as 'a coherent engagement with the institution by a student aiming towards the award of one or more qualifications, or of credit'. An instance can be split into one or more 'years of instance'. The first year of instance begins when the student starts studying towards the qualification; the second and subsequent years start on or near the anniversary of this date (allowing for minor variations in term dates). **Figure C1** illustrates a year of instance.

2. HESES counts years of instance for students studying towards recognised higher education (HE) qualifications or credits. 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.

**Figure C1: Year of instance**




### Further notes on years of instance

3. Exceptionally, a student may be on two courses at the same time, aiming for two independent recognised HE qualifications. Each instance then generates its own countable year of instance. Thus, a student studying towards a PhD and an unrelated undergraduate professional qualification would generate two years of instance each year. However, a student studying for several institutional credits that could count towards the same final qualification would generate only one year of instance each year. Usually, independent instances link to different course aims on the Higher Education Statistics Agency (HESA) student record.

4. Where a student completes a foundation degree and then undertakes 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 instance. However, it will not be a separate instance on the HESA record, as explained in paragraphs 28 of this annex.

5. In all cases where a student is studying for two or more separate and independent qualifications, each should be returned as a separate instance on the HESA record. Guidance on when separate instances should be generated can be found at www.hesa.ac.uk/collection/c16051/uhn/.

## Counting years of instance

6. To be counted, years of instance must be generated by a student in the HESES population for 2016-17, 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. Other than for sandwich year out students it should not be waived for all students on a course, and the criteria which determine if fees may be waived should not be tantamount to waiving them for all students.

   b. The full-time equivalence (FTE) for the year of instance is at least 0.03.

c. The student is not writing up a thesis or similar piece of work throughout the whole of the year of instance. Students are considered to be writing up when they have completed their research work and will not undertake any significant additional research. It is common practice for such students to receive a small amount of supervision, and they may still have access to other facilities at the institution. However, such students should still be treated as writing up. Writing up is not considered to be 'study' for HESES purposes; therefore time spent writing up for part of a year of instance should be taken into account and excluded when calculating the student's FTE.

d. The student has not withdrawn, and is not forecast to withdraw, within two weeks of starting their instance.

7. In some cases a fee may not be charged in the current year because a fee for the activity has already been paid in a previous year. This would not be treated as a fee waiver. Rather the student should be treated as having been charged a fee for the year.

## Guidance

### How to count years of instance in the HESES survey

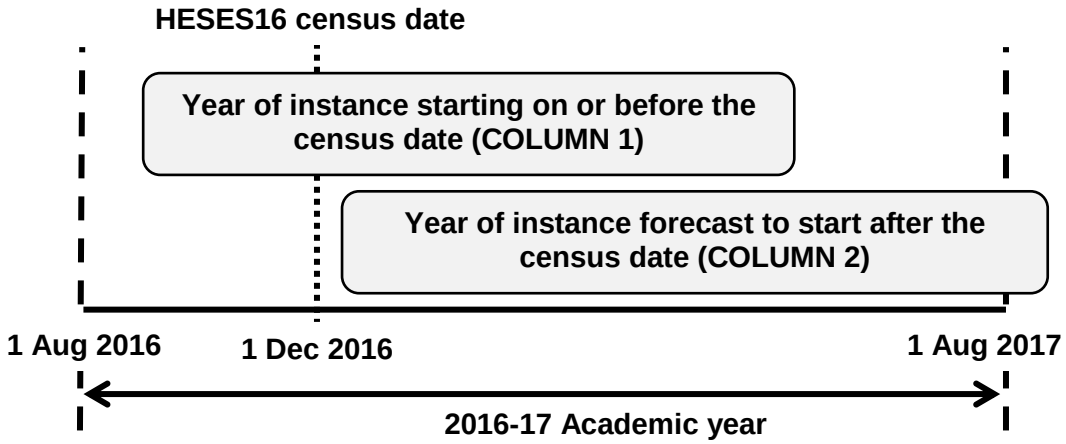
8. To be counted in HESES16, a student's year of instance must start in the 2016-17 academic year. The start date for the year of instance is the date when the student first started studying towards the qualification, or its anniversary. This should then be compared to the HESES census date, which will be 1 December 2016 for HESES16:

a. If a year of instance starts **on or before the census date** (between 1 August 2016 and 1 December 2016, inclusive) then that year of instance is recorded in **Column 1** of Tables 1 to 3.

b. If a year of instance starts **after the census date** (between 2 December 2016 and 31 July 2017, inclusive) then that year of instance is recorded in **Column 2** of Tables 1 to 3.

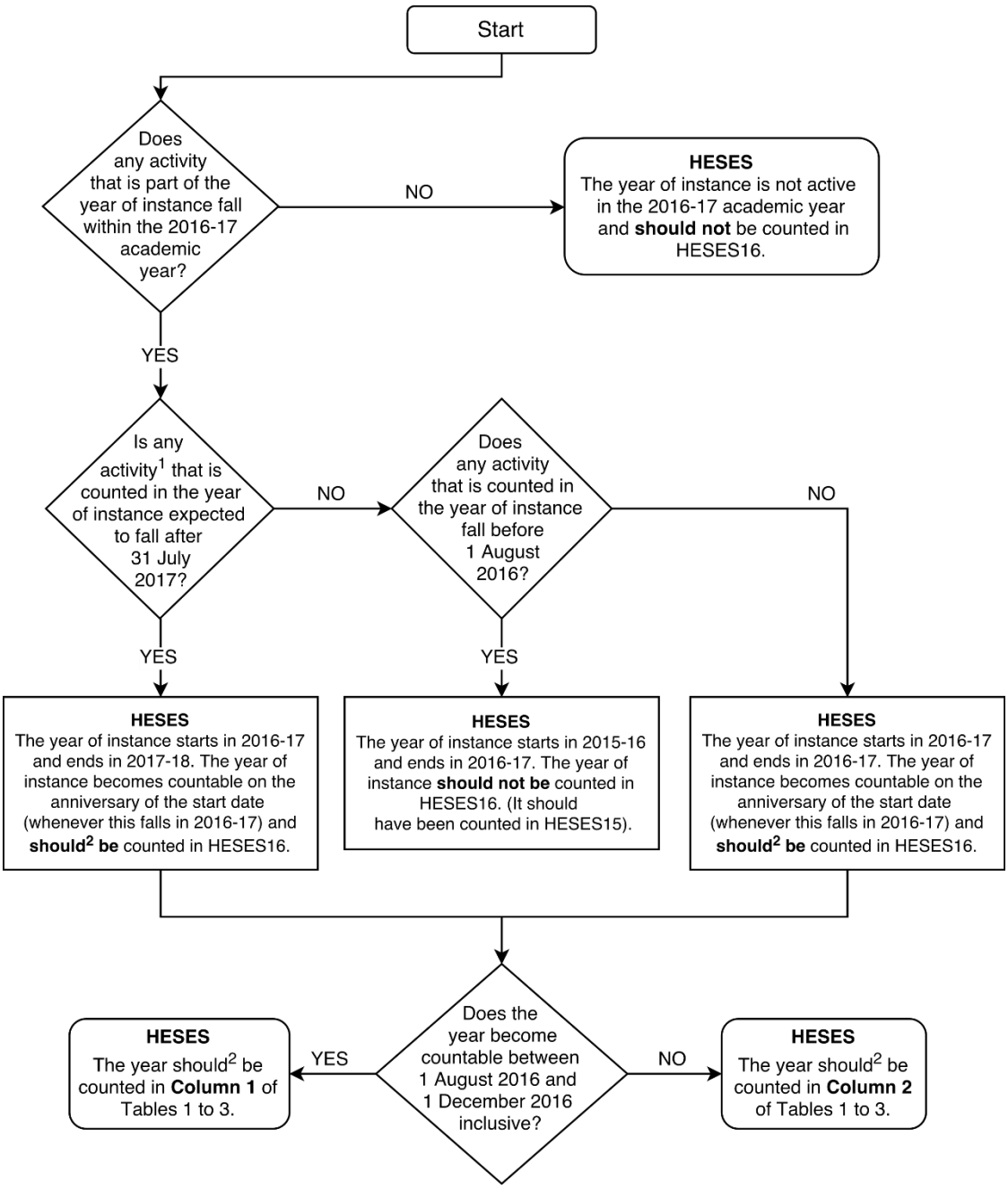
**Figure C2** illustrates this concept.

**Figure C2: Years of instance recorded in Column 1 or Column 2**




9. The flow chart in **Figure C3** can be used to determine if the year of instance should be counted in HESES16, and if so, whether it should be returned in Column 1 or 2 of Tables 1 to 3.

**Figure C3: How to determine if a year of instance should be returned in HESES16, and whether in Column 1 or 2 in Tables 1 to 3**




[1] For this purpose, periods of work experience that would cause the year of course to span academic years should be ignored.
[2] Subject to meeting the other conditions to be counted in HESES.

## Students who withdraw before the census date

10. If a student has withdrawn from their course on or before 1 December 2016 without completing the year of instance, their year of instance should not be returned.

### Standard and non-standard years

11. There are two types of year of instance, standard and non-standard:

    a. A **standard year** is one where all activity for the year of instance is entirely within one academic year (1 August to 31 July). Most undergraduate students are on standard years.

    b. A **non-standard year** is one where all activity for the year of instance is **not** entirely within one academic year – that is, where the activity for the year of instance crosses from one academic year into the next.

Students whose years of instance are normally standard but in one year undertake a period of work experience should not be treated as non-standard solely because the work experience spans academic years.

12. In both standard and non-standard years, **students become countable at the start of each year of instance**. The FTE returned should be the FTE for the whole year of instance (See **Annex E** for further details):

    a. For students on standard years, the FTE for the whole year of instance will usually be the same as the FTE for the academic year.

    b. For students on non-standard years, the FTE for the whole year of instance will not necessarily be the same as the FTE for the academic year. The final academic year during which the student is active will not usually generate a countable year of instance. 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.

13. **Figure C4** shows how to count standard and non-standard years in HESES16:

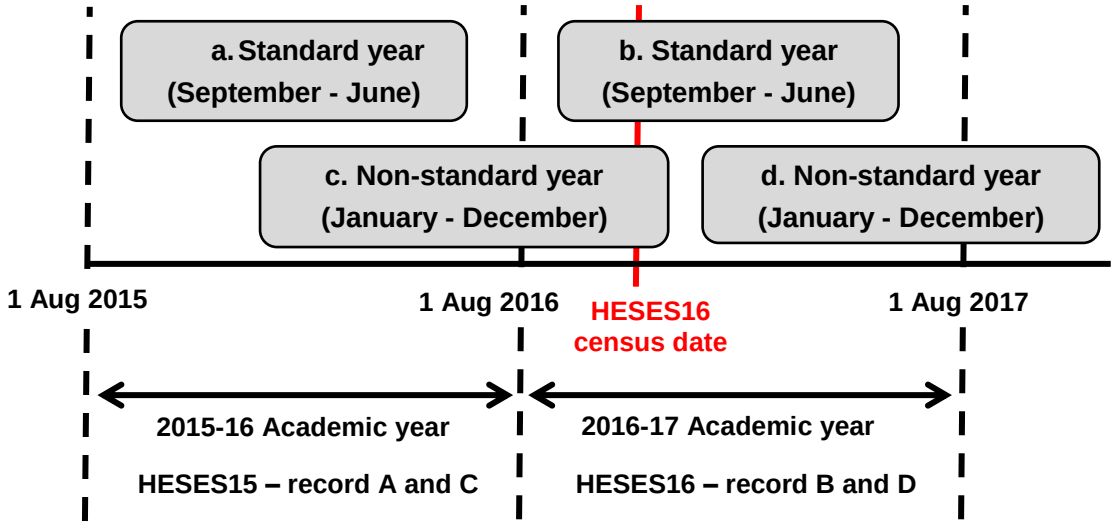
    a. Year of instance A is a standard year that was completely within the 2015-16 academic year, and should have been recorded in HESES15.

    b. Year of instance B is a standard year that starts before the census date in the 2016-17 academic year and is recorded in Column 1 of HESES16.

    c. Year of instance C is a non-standard year that spans the census date, but started in the 2015-16 academic year. It should have been recorded in HESES15, not HESES16.

    d. Year of instance D is a non-standard year that starts after the census date in the 2016-17 academic year and is recorded in Column 2 of HESES16.

**Figure C4: How to record standard and non-standard years**




## New entrants

14. For Tables 5 and 6, students should be classed as new entrants when they meet both the following criteria:

    a. They first generate a countable year for the instance.

    b. They have not been active at the same broad level (undergraduate, postgraduate taught or postgraduate research) at the registered institution in either of the two previous academic years.

Students repeating the first year of a course should not therefore be included as new entrants, whereas those entering directly into the second or later year of a course could be.

### Starters from 2016-17 on Table 7

15. For Table 7, students should be classified as starters from 2016-17 if they are receiving an NHS bursary for the first time in 2016-17. This should:

    a. **Include** students who transfer in 2016-17 onto a pre-registration nursing, midwifery or allied health profession course from one that is not a pre-registration nursing, midwifery or allied health profession course. (Such a student transferring within an institution would not be a 'new entrant' for the purposes of Tables 5 and 6).

    b. **Exclude** students who transfer in 2016-17 between different types of pre-registration nursing, midwifery or allied health profession course in 2016-17, if their previous pre-registration nursing, midwifery or allied health profession course started prior to 1 August 2016.

    c. **Exclude** students repeating the first year of a pre-registration nursing, midwifery or allied health profession course.

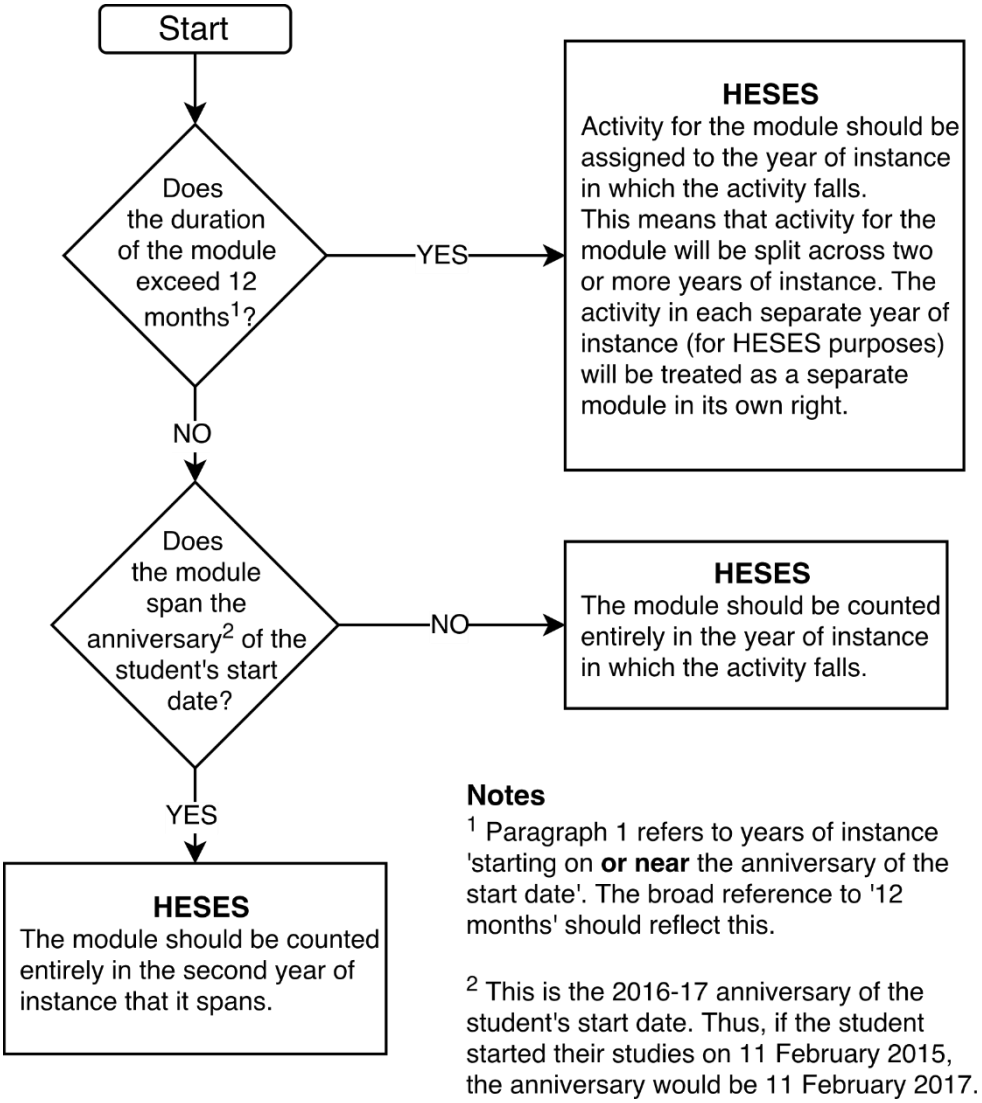
16. Students classified as starters from 2016-17 will not necessarily be new entrants, though the two populations will overlap significantly.

## Assigning modules to years of instance

17. If a module spans two years of instance then all activity for that module should be counted in the second year of instance in which it occurs. Exceptionally, where the duration of the module is greater than 12 months, the activity for the module should be assigned to the year of instance in which the activity falls. This means that the module is countable across two or more years of instance. In such cases, and for HESES purposes only, the module activity in each year of instance will be treated as a separate module in its own right. Consequently this includes where the HESES year of instance concept is used to determine HESA field values: such as FUNDCOMP, LOADYRA, and FUNDLEV.

18. The flow chart in **Figure C5** can be used to determine which year of instance a module should be assigned to.

**Figure C5: How to assign modules to a year of instance**



HESA notes

19. Data returned on the HESA record mainly relates to the HESA reporting year and is not separated across years of instance. To allow institutions to return accurate data on activity within years of instance, the HESA record includes four fields: INSTAPP, LOADYRA, LOADYRB and MODYR. The latter three fields are optional.

20. For monitoring purposes, where institutions do not complete these fields, we will make assumptions about the FTE for the year of instance. Broadly, we assume patterns of activity across years are constant and are equivalent for similar students. Full details of the algorithms we expect to use are shown in the documentation for 'HESA funding and monitoring data 2015-16: Web facility', which is available on the HEFCE website at www.hefce.ac.uk/data/famd/latest/. Institutions should, where possible, avoid making an approximation of activity for the year of instance in completing HESES.

## Summer schools

21. Four types of short course are sometimes referred to as 'summer schools'. They are described in more detail below.

### Summer schools for potential HE students

22. These are intended for potential HE students to experience a short period of study in an HE environment, normally in the summer vacation. Such students are not included in the HESES population because the provision is not HE.

### Access provision

23. In some cases, institutions offer short preparatory or access courses for individual students to facilitate progression to an initial HE qualification. These courses are taken immediately before the start of their HE qualification. Where such provision is an integral part of a course leading to a recognised HE qualification, the students are included in the HESES population: see paragraphs 4 and 5 of **Annex B** for when such provision is considered integrated. The short access course and the first year of the HE course will typically count as one year of instance. This may result in the year of instance being counted as long, as defined in **Annex J**.

24. If the access provision is not an integrated part of the course leading to a recognised HE qualification, it is not HE and the students are not part of the HESES population.

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

25. These are short periods of study within a course which generally take place in vacation time, and are normally for students to catch up with others on the course. They usually fall between the normal periods of activity for years of instance, but within a course. They are counted as part of the preceding year of instance and may result in that year of instance being counted as long, as defined in **Annex J**.

26. Where the short period of study occurs during the summer vacation, this may cause students who would normally be following standard years of instance to generate a non-standard year for the year that includes the short period. However, for data collection purposes these should be treated as standard years of instance.

HESA notes

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

### Foundation degree bridging courses

28. These are short courses which come after a foundation degree has been completed, but before the final year of an honours degree course. They are not an integral part of the course from which they are bridging. Progression is assured from successful completion of a foundation degree bridging course to the final year of an honours degree. For the purposes of HESES, such a course is counted as a separate year of instance and is returned as part-time with an FTE of 0.3. If the bridging course spans two academic years, it should be recorded in the academic year in which the bridging course ends.

HESA notes

29. Where a student is studying a foundation degree bridging course, the FTE recorded in the STULOAD field on the HESA student record should be increased to reflect this. Where the bridging course spans academic years, the FTE should all be returned in the second academic year; this differs from the method used for other non-standard years of instance. Institutions should also indicate in the BRIDGE field that the student has studied a foundation degree bridging course in the year in which the FTE is increased. It may be that including a foundation degree bridging course means that the year of instance becomes non-standard. Where the year would otherwise have been recorded as a standard year of instance, it should still be recorded as such.

30. Where a student's only activity during the academic year is a foundation degree bridging course (for instance if they withdraw during or following completion of the course, or transfer in from another institution before starting the course), the COURSEAIM field should be returned with a value of H90, I90 or J90 depending on the level of credit awarded for the bridging course.

31. 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, the FUNDCOMP field should reflect if 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, the BRIDGE field should be coded as 1 and the FUNDCOMP field should reflect if the student completed the bridging course. Similarly, where the student progresses to a degree after completing the bridging course, FUNDCOMP should reflect the completion status of the year of instance of the degree.

32. Full guidance on how to return foundation degree bridging courses on the HESA record is available at: www.hesa.ac.uk/collection/c16051/a/bridge.

# Examples

## Counting years of instance

Example 1: Standard year (Column 1)

33. A full-time student starts a degree programme on 22 September 2016, with each year of the course finishing at the end of June: each year is a standard year. The student becomes countable on 22 September 2016 and on or around the anniversary of this date each subsequent year.

34. As the first year of instance becomes countable between 1 August 2016 and 1 December 2016, it would be included in Column 1 of Table 1 in HESES16. Later years would similarly be returned in Column 1 of subsequent HESES returns.

Example 2: Standard year (Column 2)

35. A full-time student starts an HNC on 9 December 2016, with all activity completed before the end of July 2017: therefore the year is a standard year. The student becomes countable on 9 December 2016.

36. As the year of instance becomes countable between 1 December 2016 and 31 July 2017, it would be included in Column 2 of Table 1 in HESES16.

Example 3: Non-standard year

37. A full-time student starts a three-year degree programme on 18 January 2017 with each year of the course finishing in November: each year is a non-standard year. The student becomes countable on 18 January 2017 and on or around the anniversary of this date in each subsequent year.

38. As the first year of instance becomes countable between 1 December 2016 and 31 July 2017, it would be included in Column 2 of Table 1 in HESES16. Later years would similarly be returned in Column 2 of subsequent HESES returns.

Example 4: Non-standard year, final year of course

39. In January 2017, a full-time student begins the final year of a degree programme they started on 18 January 2015. Each year of the course runs from January to November: each year is a non-standard year.

40. The student initially became countable on 18 January 2015, the date they started their course. As they progressed through the course they were counted on or around the anniversary of this date in each subsequent year.

41. For HESES16, as the final year of instance becomes countable between 1 December 2016 and 31 July 2017, the student would be included in Column 2 of Table 1 in HESES16, as happened in HESES15 and HESES14. All activity for this final year would be recorded on HESES16.

42. If the student successfully completes their final year, no activity would be recorded on HESES17 (for the period from August to November 2017), as all activity would have been returned on HESES16.

Example 5: Standard year, student starting late

43. A full-time Higher National Diploma (HND) course starts on 10 October 2016 and runs from 10 October to 30 June each year. A student starts the HND programme late, on 12 December 2016, but intends to catch up with the rest of the students on the course and follow the same pattern of activity as them. As all the activity for that student's year of instance remains entirely within one academic year, it is a standard year.

44. As that student's year of instance starts on 12 December 2016 and on the anniversary of that date in subsequent years, the student should be included in Column 2 of Table 1 in HESES16, and similarly in subsequent HESES returns as they continue their studies.

Example 6: Standard year, student who interrupts their course

45. A full-time student starts in September 2016 intending to study eight modules before June 2017. At the end of the first semester in February 2017, having completed four modules, they interrupt the course and return 12 months later to complete the remaining four modules by June 2018.

46. The first year of instance becomes countable in September 2016 and is therefore returned in Column 1 of Table 1 of HESES16. The data entered in Column 3 of Table 1 of HESES16 should reflect a forecast of such students entered in Column 1 or 2 who will intermit (and therefore non-complete) after 1 December 2016.

47. The second year of instance becomes countable at the start of the year of instance in September 2017 (and not in February 2018 when the student returns), and is therefore returned in Column 1 of Table 3 of HESES17 (as the activity in this second year of instance does not meet the criteria to be classed as full-time as set out in paragraph 1 of Annex H).

## New entrants on Tables 5 and 6

Example 7: Students topping up from a foundation degree (Table 5)

48. A HEFCE-fundable student studies full-time for a foundation degree at a college in the academic years 2014-15 and 2015-16, then tops up to a full-time bachelors degree at a university in 2016-17:

a. If the foundation degree was delivered by the college under a sub-contractual arrangement from that university, then the student would be considered to be studying at the same institution (the university) and at the same broad level throughout the period 2014-15 to 2016-17. They should **not** therefore be reported as a new entrant for 2016-17 in Table 5.

b. If the foundation degree was **not** delivered under a sub-contractual arrangement, but was funded directly at the college, then the student would be considered to be a student of the college for 2014-15 and 2015-16, and of the university in 2016-17. Because the study is not at the same institution, the student should be reported as a new entrant in Table 5 when they top up to the bachelors degree in 2016-17.

Example 8: Students topping up from a foundation degree (Table 6)

49. A HEFCE-fundable student starts a full-time foundation degree at a college under a sub-contractual arrangement from a university, intending to complete this in the academic years 2016-17 and 2017-18, and then topping up to a full-time bachelors degree at that university in 2018-19.

50. As the foundation degree was delivered by the college under a sub-contractual arrangement, the student is a registered student of the university for all academic years 2016-17 to 2018-19, and the university would have the responsibility for returning the student on its HESES return. As such, for the academic years 2016-17 and 2017-18 the university would need to record the student as follows on Table 6:

a. In 2016-17, the university would record the student in both Columns 1 and 2 of Table 6.

b. In 2017-18, the university would record the student in column 1 only.

c. In 2018-19, the student would not be recorded on Table 6.

51. In each of the years, the student would also be returned on Table 1.

Example 9: Students who switch modes

52. A student started studying towards an HND on a part-time basis in 2014-15. In 2016-17 they switch to full-time study. The student is considered to be studying at the same institution and at the same broad level throughout the period 2014-15 to 2016-17. They should not therefore be reported as a new entrant for 2016-17 in Table 5.

### Summer schools

Example 10: Within-course periods of study in vacation time

53. A student studies full-time for a degree over three years, with activity for each year of instance 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 is not a separate instance.

## Good practice

### Removing duplicate records

54. Data held on the student record system should be reviewed before it is extracted for the return, to check for duplicate records. This should be normal practice throughout the year, particularly when new student records are being set up on the system. Exceptionally there may be genuine reasons why a student has two records, and these will need to be established. Where it is not correct for a student to have two records, the student record system should be amended at the earliest opportunity.

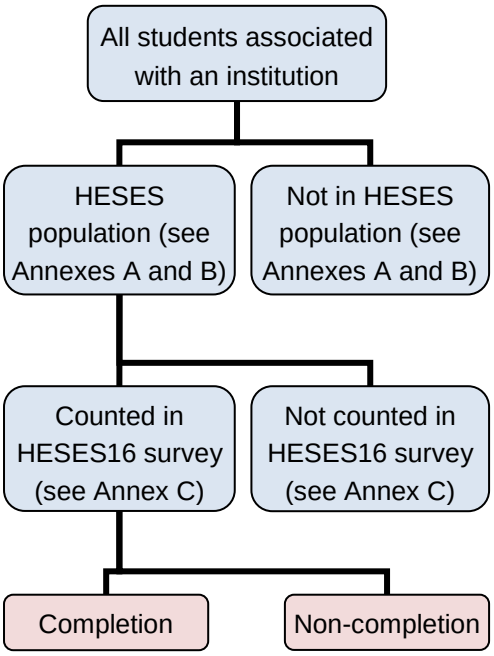
55. Part-time students are sometimes incorrectly counted as more than one headcount for different modules within the same instance. It is important that if students generate only one instance they should only have one headcount in the return. Processes should be designed to ensure this. This tends to be particularly relevant to continuing education students.

## Evidence relating to fee waivers

56. Where the fee has been waived for an individual student, evidence of the reason for the waiver must be retained.

# Annex D: Completion and non-completion

This annex explains how to determine the completion status of a year of instance in HESES16.




## Annex D contents

Definitions
- Module
- Final assessment
- Fees
- Completion

Guidance
- Estimates of non-completion

Special cases
- Mode changes
- Modules taken in addition to standard requirements
- Substituted or retaken modules
- Years of instance or modules with no formal assessment
- Modules where assessment is optional
- Withdrawing from a module before it starts
- Changing study intentions within the year due to accredited prior learning

Examples

Good practice

## Definitions

### Module

1. For the purposes of HESES16, a ‘module’ is a discrete component within a programme of study, sometimes referred to as a ‘unit’, ‘course’ or ‘option’. Where a student is studying a number of modules that can all count towards the same qualification, this should be treated as a single instance.

### Final assessment

2. The final assessment for a module is the one that has its first occurrence on the latest normal due date: the timing of resits and coursework extensions should therefore be disregarded. Whether an assessment is considered to be the final assessment does not depend on its associated weight. For example, if a module is assessed by an exam which accounts for 90 per cent of the marks, with the remainder assessed via coursework due after the exam (and not solely because of an extension) the coursework, rather than the exam, is the final assessment.

3. Where the last two assessments for the module are due on the same day, either one can be considered the final assessment.

4. Where the final assessments for a module comprise an assessment at a fixed date for all students (such as an exam) and another assessment at a variable date (such as a performance or presentation) which may be timetabled for individual students either before or after the fixed assessment, then the fixed assessment should be treated as the final assessment.

5. A viva voce examination should not be treated as the final assessment unless all students are required to undertake it.

## Fees

6. 'Fees' has the meaning set out in Section 41 of the Higher Education Act 2004 and in the Education (Student Fees) (Exceptions) (England) Regulations 1999, which continue to apply[8].

## Completion status

7. Where a student has a clear intention at the start of the year of instance of completing a specified activity within that year, completion is measured against this intention. To be counted as a completion (and thus be included in Column 4 of Tables 1, 2 or 3), a student must complete all the modules they intended to complete in the year of instance. They must do this within 13 calendar months of the start of the year of instance: that is to say, within 13 calendar months of the anniversary of their commencement date, which defines the start of the year of instance.

8. To complete a module, the student must do one of the following:

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

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

9. A student who fails to complete any module counted in the year of instance is to be returned as a non-completion for all activity in that year. Thus a student who starts the year intending to follow a certain pattern of activity, but does not complete all of it, would be a non-completion. Therefore institutions should collect information on students' initial study intentions for the year, so that completion status can be assessed appropriately.

10. If a student has not formally withdrawn from the institution by the year end, this does not in itself qualify as a completion. Continuation of study to the following year should not be taken as evidence of, or a proxy for, completion in the previous year.

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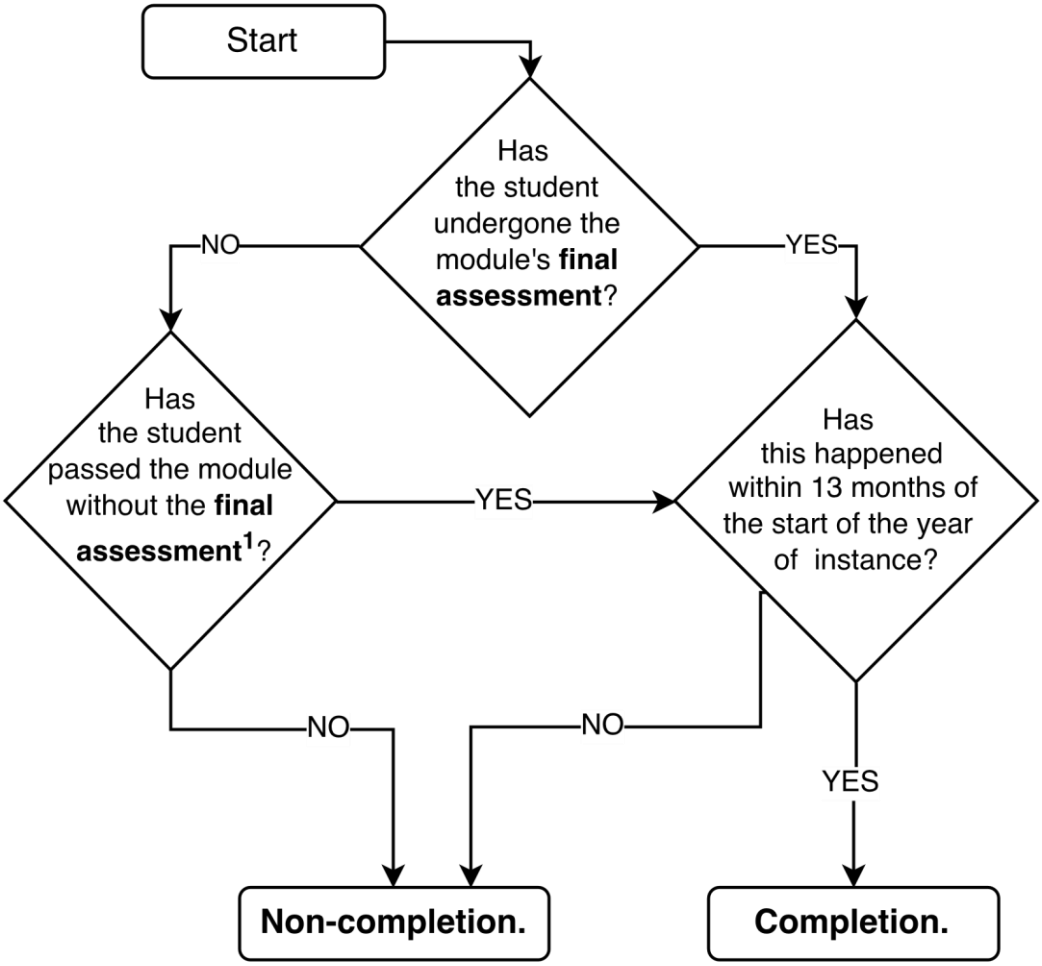
[8] Statutory Instrument 1999/2265 – available at www.legislation.gov.uk/uksi/1999/2265/contents/made.

11. The flowchart in **Figure D1** can be used to determine a student's completion status for a module.

**Figure D1: Determining a student's completion status for a module**




[1] This should not be due to credit attained in other modules. See paragraph 8b for further detail.

## Guidance

### Estimates of non-completions

12. Institutions should base their estimates on historical non-completion data from the previous three to five years, with due weight given to more recent figures. Where the non-completion rate used in the return differs significantly from past data, there should be a clear rationale for the change; institutions may be asked for evidence of this during data verification of HESES16. We would not expect estimates to be adjusted in line with aspirations or targets.

13. Institutions should ensure that the historical data used to make their estimates of non-completion is not skewed by exceptional circumstances such as industrial action affecting exams. Institutions should ensure that the completion status of students on the HESA record reflects their actual completion status.

14. Institutions should note that non-completion rates will typically vary by course, year of course and mode of study. Institutions should therefore ensure that such variation is accounted for in their estimates, with non-completion rates based on data for equivalent students in previous academic years. For example, non-completion rates for first years of a course are typically higher than later years, and non-completion estimates should reflect this difference. Similarly, non-completion rates for distance-learning courses are often much higher than other provision, and estimates should therefore be based only on other distance-learning courses.

15. Where the number of students on a course is small, or the course is new, institutions should base the estimates for each year of the course on (groups of) similar courses to ensure that estimates are robust.

16. Institutions should not use previous years' HESES estimates as a basis for determining the estimates for the current year. If Higher Education Statistics Agency (HESA) data is used, institutions should make adjustments to account for students whose completion status was unknown (FUNDCOMP = 3) when the HESA data was submitted.

## Special cases

### Mode changes

17. If a student formally switches mode from full-time to part-time as defined in paragraph 11 of **Annex H**, their completion status should be determined with reference to their revised study intentions.

### Modules taken in addition to the standard requirements

18. Occasionally students may study modules as part of an instance in addition to the standard requirements for full-time study. In this case, a student who completes the number of modules normally required in the year for full-time study may be treated as a completion for the year of instance, even if they fail to complete other modules.

### Substituted or retaken modules

19. Within their overall study intentions, students may substitute or retake modules without affecting their completion status. For substitute or retaken modules to be counted and the original modules to be disregarded in assessing completion and full-time equivalence, both the following criteria must apply:

a. The total number of credit points in any substituted modules would need to be greater than or equal to that in the original module or modules.

and

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

20. Exceptionally, a student may take a module in two years of instance, and complete the module for the second year of instance within 13 months of the start of the first year of instance. In this case the institution may count the module in either but not both of the years.

## Years of instance or modules with no formal assessment

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

## Modules where assessment is optional

22. 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 the module that they will not undergo assessment for it. In this case, the module will not be reported at all in HESES, and the completion status of the student will not be affected by their completion or non-completion of the unassessed module.

## Withdrawing from a module before it starts

23. Where the pattern of activity within the year is not specified, students will occasionally register for a module then withdraw before it starts. Provided the fee for this module is refunded in full, the module should not be reported at all in HESES, and should be disregarded in determining completion and full-time equivalence. Full-time students will not fall into this category, as it will not be possible to refund the fee while retaining the full-time fee status of the student.

## Changing study intentions within the year due to accredited prior learning

24. Where a student's study intentions change partway through the year of instance because they are awarded accredited prior (experiential) learning equivalent to one or more modules, their completion status should be judged against these revised study intentions. In some cases the reduced study intentions might mean that the student no longer meets the full-time attendance requirements. Provided the student meets the requirements to be treated as a mode switcher (see paragraph 11, **Annex H**) they should be treated as a part-time student, with completion judged against their revised study intentions.

## Examples

Example 1: Final assessment taken within 13 months

25. A standard year of instance commences on 29 September 2016. Final assessment for a particular module counted within the year of instance takes place in June 2017, with an opportunity to resit or resubmit in September 2017. The student does not take the assessment in June 2017, but does so for the first time at the resit or resubmission opportunity in September 2017. The module is treated as **completed**, because the assessment was taken within 13 calendar months of 29 September 2016, the start of the year of instance.

Example 2: Final assessment taken after 13 months

26. A standard year of instance commences on 29 September 2016. Final assessment for a particular module counted during the year of instance takes place only in June each year. The student does not take the assessment in June 2017 and has not otherwise passed the module, but does take the assessment at the next opportunity in June 2018. The module is treated as **not completed**, because the assessment was not taken within 13 calendar months of 29 September 2016, the start of the year of instance. This would be the case whether or not the student had been given permission to defer their assessment for a year.

27. In the following examples, unless otherwise specified, final assessments were taken within 13 calendar months of the start of the year of instance.

Example 3: Module already passed without taking final assessment

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

Example 4: Student undertaking all final assessments but failing a module

29. A student studies for eight modules during a year of instance. They undergo the final assessments for all modules, but in one module their performance is insufficient to meet the academic standards required to pass that module. In this case, the year of instance would be treated as a **completion**, because the student underwent the final assessments in all modules.

Example 5: Credit awarded for a module where the student did not take the final assessment

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

Example 6: Substituted modules

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

Example 7: Break in study

32. A full-time student starts in September intending to study eight modules during a year of instance. At the end of the first semester they interrupt the course having completed four modules, and return 12 months later to complete the remaining four modules. The student is a full-time **non-completion** for the first year of instance, because they did not complete four of the modules that they intended to take within the year of instance. They will be a completion for the second year of instance – though normally this will be part-time because they will not meet the attendance requirements to be full-time.

Example 8: Repeating modules

33. A student on a standard year of instance begins a module in October, but withdraws from it after undertaking some activity and before completing the final assessment. The following February (within the same year of instance) the student retakes the module and completes it. Providing no additional fee is charged, the first attempt at the module from October would not be reported at all in HESES, and should be disregarded in determining the completion status for the year of instance.

Example 9: Failure to complete overall study intentions

34. A full-time student on a standard year of instance has a clear intention of completing eight modules within the year. One particular module that they start in the first semester is not completed, but the student retakes it in the second semester in place of another one, and completes it. In this case, the year of instance would be a **non-completion**, because the student completed only seven modules, rather than their overall study intention of eight.

HESA notes

35. In completing the HESA record, it should be noted that some students may still have opportunities after 31 July to undergo the final assessment within 13 months of the start of their year of instance. Wherever possible, the institution should seek to update its HESA record to reflect the latest known completion status of the student. In doing so, institutions will need to have due regard to HESA's data collection timescales and the need to ensure high-quality returns. We may seek further information from institutions that have high numbers of students with undetermined completion status. Students should be recorded with undetermined completion status only where an opportunity still exists for the student to undergo the final assessment within 13 months. They should not be treated as having undetermined completion status simply because the 13 months have not fully elapsed.

36. In the HESA data, the module outcome field (MODOUT) should be reported in accordance with these completion rules. The FUNDCOMP status of a student should in turn reflect the overall position of the student for the year of instance.

## Good practice

### Estimation of non-completions

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

38. Non-completion status should be established in a timely fashion, and the student record system updated to reflect the student's change in status. Reconciliations should be made with the student record system, to ensure that it is up to date and accurately reflects what is being reported elsewhere.

39. Use of a central database, rather than separate records held locally at departmental, school or faculty level, will help to ensure that the main student record is up to date and useful as a management tool.

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

### Assessment of headcount and completion status for part-time students

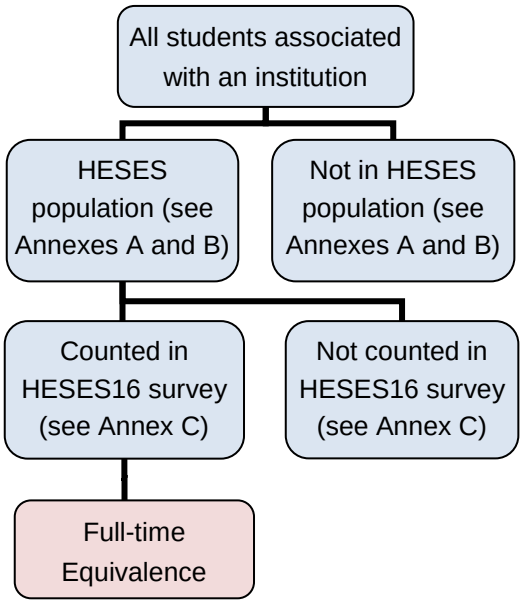
41. Assessment of completion status for part-time students should normally take account of all modules undertaken by an individual student within the year. Headcount and completion status of part-time students (particularly those on continuing education courses) should not be based on an individual module extract, as this does not take into account that a student may be taking more than one module during the year.

## Exception reports

42. Exception reports should be used to establish if unlikely combinations of MODOUT and FUNDCOMP status are being reported (for example, a student who has any module recorded as non-completed, but has a FUNDCOMP of 1), so that corrections can be made before data is submitted. Institutions should also check cases where students have withdrawn or interrupted early in the year of instance but have a FUNDCOMP of 1.

# Annex E: Full-time equivalence for part-time years of instance

This annex explains how full-time equivalence for part-time years of instance should be calculated in HESES16. This includes guidance on how to treat students who are exempt from part of a course, and full-time students who change mode within a year of instance to become part-time students.




## Annex E contents

Definitions

- Estimates for flexible part-time study (including distance-learning courses)

Examples

## Definitions

1. The full-time equivalence (FTE) for a part-time course is defined with reference to 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 FTE relative to a full-time student. Where such a judgement is made, the rationale should be recorded for audit purposes.

2. Calculation of the FTE can be based on either of the following:

- credit points studied
- duration of the course.

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 the duration of the course is used, the calculation should be based on the number of years of instance. Where a student repeats a year or enters the second, or later, year of the course directly, the total FTE returned for that student should be increased or decreased to reflect this.

3. Where no equivalent full-time course exists at the institution, calculations of FTE should be based on a typical full-time pattern of 120 credit points per standard year (or 180 credit points for a long year).

4. Credit awarded based on accredited prior learning (APL) modules should be excluded from the calculation of the FTE. However, activity that is preparation of a portfolio of evidence for APL may be counted (in such cases, a nominal FTE may be included to reflect such activity). This may mean that a student is on a full-time programme but because of APL may be studying only at a part-time rate.

HESA notes

5. In completing the STULOAD field on the Higher Education Statistics Agency (HESA) record institutions should generally exclude APL activity. Where some FTE is included as described in paragraph 4, this should be included in STULOAD.

6. The FTE for a foundation degree bridging course is 0.3 (as defined in **Annex C**, paragraph 28).

7. Writing up is not considered to be 'study' for HESES purposes; therefore time spent writing up for part of a year of instance should be taken into account and excluded when calculating the student's FTE.

8. Where a student does not complete a year of instance, their FTE should not be recorded on HESES. This differs from the treatment of the FTE returned on the HESA student record. When comparing the HESA student record with HESES, we will make adjustments to the FTE returned to HESA to reflect years not completed.

9. Where students change mode during a year of instance to become part-time students (see paragraph 11, **Annex H**), their FTE should be calculated in the usual way, by comparison with the equivalent full-time course.

HESA notes

10. Student FTE recorded in HESES16 should relate to the years of instance being counted. In some cases this may not be consistent with the FTE returned on the HESA student record. However, it should be consistent with HESA data when summed over the instance.

## Estimates for flexible part-time study (including distance-learning courses)

11. For flexible part-time study programmes where students can study at their own pace, institutions should ensure that estimates of the FTE are supported by historical data. Any data used in this way should not be skewed by exceptional circumstances. Institutions should ensure that the FTE of students on the HESA record reflects their actual activity for the academic year.

12. Estimates of the FTE for a particular year of a course should normally be based on the average FTE for an equivalent flexible course from the previous academic year. Institutions should note that rates of study for flexible courses will often vary from course to course, and should therefore ensure that such variation is accounted for in their estimates. Institutions should ensure that over the course, the total FTE is equal to the total FTE for a full-time course leading to the same qualification.

13. Where the number of students on a course is small, or the course is new, institutions should base the estimates for each year of the course on (groups of) similar courses to ensure that estimates are robust.

14. Institutions should not use previous years' HESES estimates as a basis for determining the estimates for the current year. Institutions should be able to demonstrate the validity of their estimates by analysing the FTE for different courses over three to five years. This will help to identify trends, and years where the result is atypical compared with the trend. Where the FTE used differs significantly from past data, there should be a clear rationale for the change; institutions may be asked for evidence of this during data verification of HESES16.

## Examples

Example 1: Calculating FTE based on credit points

15. A full-time course is studied over three years, with 120 credits taken each year. The equivalent part-time course lasts six years. In each of the first three years 90 credits are studied, 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 2: Calculating FTE based on duration of the course

16. A full-time course is studied over three years, so has a total FTE of 3. The equivalent part-time course is studied over six years, so would have an FTE of 0.5 in each year.

Example 3: Repeating a year

17. As in Example 2, but the student resits year two. The FTE returned each time the student becomes countable is still 0.5; the student becomes countable six times, so the total FTE returned over all years is $7 \times 0.5 = 3.5$

Example 4: Student with accredited prior learning

18. As in Example 2, but the student has accredited prior learning and enters directly onto year three of the part-time course. The FTE returned each time the student becomes countable is still 0.5. The student becomes countable four times, so the total FTE returned over all years is $4 \times 0.5 = 2$.

Example 5: Changing from full-time to part-time within the year

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

Example 6: Calculating FTE where some students take longer than expected

20. A 1.0 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 FTE should be ((90 x 0.5) + (10 x 0.33)) ÷ 100 = 0.48, and not 0.5.

Example 7: Calculating FTE for a two-year masters with work placement

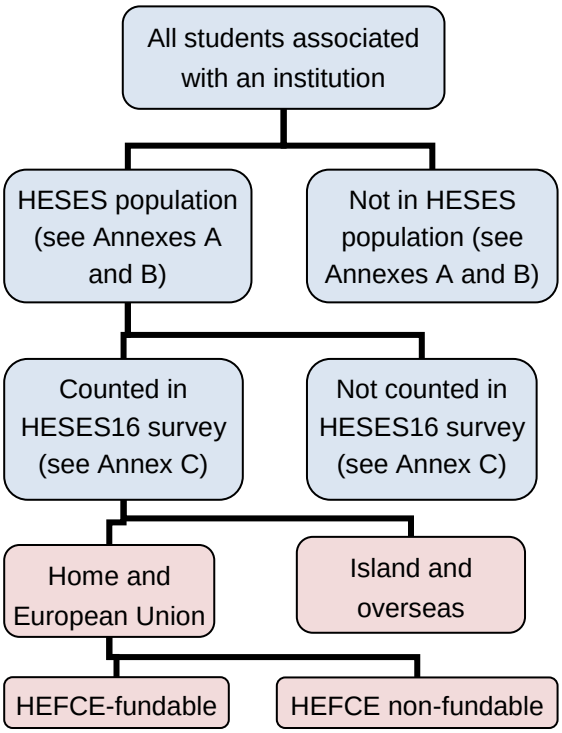
21. A masters degree is studied over two years, with year one consisting entirely of taught modules worth 120 credits points and year two consisting of a 60 credit point dissertation. Alongside the dissertation, the student undertakes a 40-week work placement.

22. The FTE would be 1.0 in the first year and 0.5 in the second year, based on comparison to a typical full-time pattern for a standard year of 120 credit points. As such, the student would be returned as full-time in year one, and part-time in year two.

# Annex F: Residential and fundability status

This annex provides guidance on identifying the residential and fundability status of a student for the purposes of HESES16. It includes guidance on:

- which students should be classified as Home and European Union (EU), and which are Island and overseas
- categorising Home and EU students as HEFCE-fundable or non-fundable
- how to determine the fundability status of students aiming for equivalent or lower qualifications (ELQ), and of those supported from other EU public sources.




## Annex F contents

Definitions

- Home and EU students
- Island and overseas students
- HEFCE-fundable students
- HEFCE non-fundable students

Students aiming for ELQs

- Students with multiple stated qualification aims
- Students exempt from ELQ policy for HEFCE funding purposes
- Determining level of qualification
- Reviewing ELQ status
- Relationship to fee regulations

Examples

Good practice

## Definitions

### Home and EU students

1. Students are classified as 'Home and EU' if they can be regarded as eligible students as defined in Schedule 1 of the Education (Fees and Awards) (England) Regulations 2007 (SI 2007 No. 779), as amended[9]. These regulations can be found on the website www.legislation.gov.uk. Students from specified overseas territories may be classified as Home and EU if they meet the criteria set out in these regulations. A list of these overseas territories and countries is available on the HEFCE website at www.hefce.ac.uk/data/collect/heses/ under 'Frequently asked questions'.

[9] A recent amendment in Statutory Instrument 2016 No. 584 introduces a new eligible category for students who are not settled in the UK but have been residing in the UK for a long time.

### Where a country accedes to the EU during the year

2. Where a country accedes to the EU during the academic year, years of instance for students from that country should be treated as overseas if they commence before the date of accession, and as Home and EU if they commence on or after the date of accession.

### Other students treated as EU nationals

3. Students from Gibraltar should be treated as if they were from a country in the EU.

4. Turkish Cypriots who are recognised by the Government of the Republic of Cyprus as being Cypriot nationals are eligible to be treated as EU nationals irrespective of where they live in Cyprus. Therefore, providing they hold a Republic of Cyprus passport and meet the residency requirements, they are considered as Home and EU students.

5. Students from countries that are in the European Economic Area but not the EU (Iceland, Liechtenstein and Norway) will only be considered in the same way as Home and EU students if they meet the criteria laid down in the regulations mentioned in paragraph 1 of this annex.

6. Students from Switzerland should be treated as if they were from a country that is in the European Economic Area but not the EU.

### Obtaining guidance on fee eligibility

7. Student Finance England provides a student support helpline to provide advice and guidance on the fees and awards regulations (including eligibility). If you are unsure if an individual student meets the eligibility requirements as set out in paragraphs 1 to 6 of this annex, call the student support helpline on 0300 100 0607. If Student Finance England says that the student is eligible, this means that the student is also regarded as Home and EU for HESES purposes.

### UK-domiciled in Table 5

8. For the purposes of Table 5, UK-domiciled students are those entitled to pay Home and EU fees and whose DOMICILE field on the Higher Education Statistics Agency (HESA) student record is coded as XF, XG, XH, XI or XK for England, Northern Ireland, Scotland, Wales or UK not otherwise specified, respectively.

## Island and overseas students

9. All students who fall outside the definition of ‘Home and EU’ in paragraphs 1 to 6 of this annex should be recorded as ‘Island and overseas’. This will include students ordinarily resident in the Channel Islands and the Isle of Man.

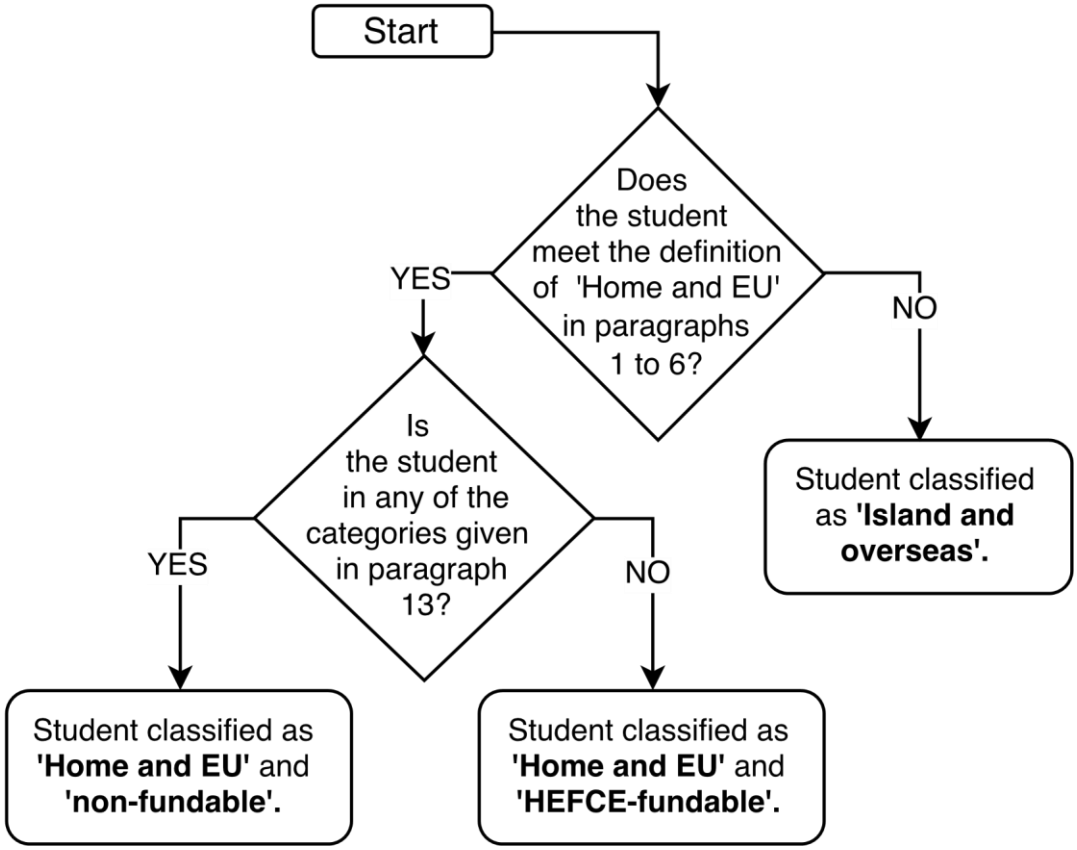
## HEFCE-fundable students

10. Home and EU students are eligible to be counted towards HEFCE recurrent funds for teaching (HEFCE-fundable) if they are in the HESES population, as defined in **Annex A**, and do not meet any of the criteria in paragraph 13 of this annex. Island and overseas students are not HEFCE-fundable.

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

12. The flowchart in **Figure F1** can be used to determine a student's residential and fundability status.

**Figure F1: Classifying students in the HESES population**




## HEFCE non-fundable students

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

a. Postgraduate research students.

| HESA notes |
| --- |
| Postgraduate research students who are recorded as non-fundable for HESES purposes solely by virtue of sub-paragraph 13a should still be returned as fundable on the HESA student record. Further guidance on the fundability status of research students can be found in the FUNDCODE field on the HESA student record. |

b. Students on initial teacher training (ITT) courses leading to Qualified Teacher Status (QTS) or to Early Years Teacher Status (EYTS), and all students holding QTS who are on an in-service education and training (INSET) course.

c. Students on pre-registration nursing or midwifery courses, and courses (including postgraduate courses) leading to a recognised professional qualification in dietetics, speech and language therapy, chiropody, podiatry or prosthetics and orthotics.

d. Students on courses provided under a contract with an NHS organisation which lead to professional registration as a dental hygienist, dental therapist,

occupational therapist, operating department practitioner, orthoptist, physiotherapist, radiographer or radiotherapist.

e. Students on courses commissioned and funded by an NHS organisation, where the tuition fee charged to the student is zero because an NHS organisation is meeting the tuition costs of the course. A course is commissioned by an NHS organisation if there is a contractual agreement with it that the institution will provide a certain number of places on the course. Other students on the same course who are not funded by an NHS organisation should be returned as fundable, where they meet all other relevant criteria.

f. Postgraduate taught students on a course, other than an ITT course, funded by another EU public source where the tuition fee charged to the student is zero because that source is meeting the tuition costs.

g. Students on closed courses. These are courses that are not generally available to any suitably qualified candidate, but only to employees of particular companies or organisations that are meeting the costs of students' studies. This being the case, few students on such courses will be claiming student support. Closed courses will not commonly be marketed or advertised in general prospectuses or in course searches on an institution's main website, because enrolment on them is not open to the general public. The content of such courses will also commonly be tailored towards the needs of the employers concerned. Higher education qualifications taken as part of an apprenticeship should not be treated as closed courses.

h. Students who are aiming for an ELQ, unless they are exempt from the ELQ policy, as defined in paragraphs 14 to 35 of this annex.

i. Undergraduate and postgraduate taught students at the Open University who are domiciled in Scotland, Wales, or Northern Ireland.

## Students aiming for ELQs

14. An ELQ is a qualification that is no higher than one that a given student has already achieved. The two key considerations in determining if a student is aiming for an ELQ are the academic levels of the qualifications already awarded to the student; and the academic levels of the qualifications that the student has stated they are aiming for. If the qualifications already achieved are not known, the student should be treated as if aiming for an ELQ.

15. The flowchart in **Figure F2** can be used to determine the ELQ status of a student.

### Identifying entry qualifications through other sources

16. Institutions should take reasonable steps to test the accuracy of the entry qualifications reported by their students, taking into account the availability of other sources of information such as data from UCAS, the Learning Records Service, the Student Loans Company, application forms and students' certificates. This does not require an institution to test the qualifications achieved by all its students. For many students, the data provided by UCAS through the awarding body linking (often referred to as ABL) will be sufficient. However, this will not apply in some cases, such as students

who achieved their Level 3 qualifications some time ago or whose qualification types are not included. In these circumstances we expect institutions to verify entry qualifications using the Learning Records Service. Otherwise, institutions should use a random sample to test the overall accuracy of their entry qualifications data, plus selective samples where doubts may exist about the entry qualifications reported by individual students or where there is a higher possibility that the student is aiming for an ELQ.

## Students with multiple stated qualification aims

17. Where students currently have multiple higher education qualification aims stated as part of the same instance, they should be recorded against the lower aim. Where the student's currently stated qualification aim for that instance is at a higher level than their highest existing qualification, then the year of instance should not be treated as an ELQ, even where a given year is at the same or lower level than a qualification already achieved.

18. The ELQ policy applies regardless of where a student's previous qualifications were obtained, or how they were financed.

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

## Students exempt from the ELQ policy for HEFCE funding purposes

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

a. They receive the Disabled Students' Allowance (DSA) for at least some of their year of instance reported in the HESES return. Institutions should make estimates for HESES purposes of the numbers of students whose receipt of the DSA for the year of instance will be confirmed after 1 December 2016.

b. They have stated that their qualification aim is a foundation degree.

c. They are on a course of initial or in-service teacher training (in any mode or level of study). In-service teacher training courses are defined as courses whose primary (but not necessarily only) purpose is to improve the effectiveness of teachers, lecturers or trainers.

d. They are on a year of instance (in any mode or level of study) for which an NHS bursary is payable. More information on NHS bursaries can be found at www.hefce.ac.uk/data/collect/heses/ under 'Frequently asked questions'.

e. They are on an undergraduate course (in any mode of study) which leads to a first registrable qualification with one of the following.

i. General Medical Council.

ii. General Dental Council.

iii. Nursing and Midwifery Council.

iv. Health and Care Professions Council for the professions of:

- chiropodist or podiatrist
- dietician
- occupational therapist
- orthoptist
- paramedic
- physiotherapist
- prosthetist or orthotist
- radiographer
- social worker
- speech and language therapist.

v. Scottish Social Services Council.

vi. Care Council for Wales.

vii. Northern Ireland Social Care Council.

viii. Royal College of Veterinary Surgeons.

f. They are on an undergraduate course (in any mode of study) whose primary (but not necessarily only) purpose is to improve the effectiveness of practitioners registered with one of the professional bodies listed in sub-paragraph 20e. In the case of the Health and Care Professions Council, this must additionally relate to practitioners in the professions listed in sub-paragraph 20e.iv.

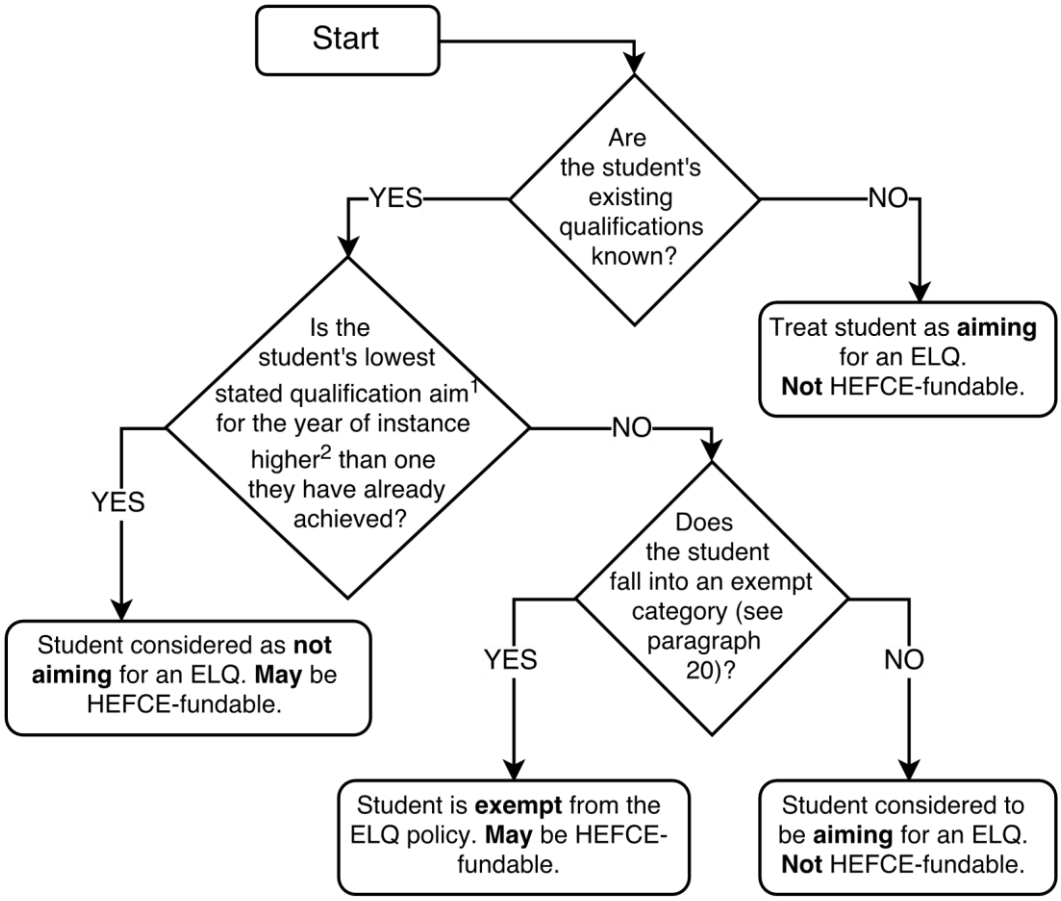
g. They are on an undergraduate course (in any mode of study) which leads to a professional qualification that has been professionally validated by the National Youth Agency or the Youth Council for Northern Ireland. These are courses leading to qualification to practise as a youth and community worker.

h. They are on an undergraduate course (in any mode of study) whose primary (but not necessarily only) purpose is to improve the effectiveness of professionally qualified youth and community workers.

i. They are on a full-time course (for student support purposes) which leads towards registration with the Architects Registration Board.

j. They are aiming for a postgraduate research qualification.

**Figure F2: Establishing ELQ status**




[1] See paragraph 4, Annex I.
[2] See paragraph 21.

## Determining level of qualification

21. It is not possible for HEFCE to provide a full hierarchical list of the qualifications that are awarded in the UK, or indeed elsewhere. In most cases, whether or not a student will be aiming for an ELQ will be clear. However, in a minority of cases, institutions will need to make a reasonable academic judgement about whether or not a student's qualification aim is at a higher level than their highest existing qualification achieved. Institutions should bear in mind the guidance in paragraphs 22 to 35 of this annex.

### Frameworks for Higher Education qualifications of UK Degree-Awarding Bodies

22. From August 2015, the Framework for Higher Education Qualifications in England, Wales and Northern Ireland (FHEQ) and the Framework for Qualifications of Higher Education in Scotland (FQHEIS) are combined into a single publication, 'The Frameworks for Higher Education Qualifications of UK Degree-Awarding Bodies' (available at www.qaa.ac.uk/assuring-standards-and-quality/the-quality-code/qualifications). These frameworks should generally be used to determine a basic hierarchy of qualifications, and any revisions should be reflected as they are introduced. Further guidance on the use of the frameworks is provided below.

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

a. Within Level 7 on the FHEQ, it may be appropriate to consider a masters qualification to be at a higher level than a postgraduate diploma, which in turn may be at a higher level than a postgraduate certificate. However, this may not apply in all cases and will depend on the nomenclature adopted by different awarding bodies.

b. Within Level 6 on the FHEQ, it will normally be appropriate to consider a bachelors degree with honours to be at a higher level than a bachelors degree without honours.

c. Within Level 5 on the FHEQ, it will normally be appropriate to consider a foundation degree bridging course (which gives access to the final year of an honours degree) to be at a higher level than a foundation degree.

24. For a student who already holds an honours degree, their classification in HESES as either undergraduate or postgraduate taught should not in itself determine whether or not they are aiming for an ELQ. The ELQ policy is about the academic level of qualifications, so the level of the final qualification for which the student is aiming will determine their ELQ status. By contrast, whether or not a student is recorded as postgraduate taught in HESES is determined by whether or not a degree-level qualification is a normal condition of entry to their course, and does not necessarily indicate the academic level of their study or final qualification aim. In particular, the following considerations will apply to any student whose highest qualification already achieved is an honours degree:

a. Where they are undertaking a graduate conversion course, they should be recorded as a postgraduate taught student, but also considered as aiming for an ELQ. In this context, a graduate conversion course is one for which a normal condition of entry is an honours degree, but whose academic level is no higher than Level 6 on the FHEQ. Some such courses may be designed to enable access to postgraduate courses for those whose first degree was in a different subject area.

b. Where they are undertaking an integrated masters programme (such as a four-year Master of Engineering (MEng), Master of Physics (MPhys) or Master of Chemistry (MChem)), they should be recorded at undergraduate level in HESES, because a degree is not a normal entry requirement for such study. However, with the exception of the Master of Pharmacy (MPharm) (see paragraph 26), they should not be treated as aiming for an ELQ, because the academic level of the final qualification of the integrated masters programme is at Level 7 on the FHEQ. This also means that (again with the exception of students who hold an MPharm) a student who holds an integrated masters qualification and who wishes to enrol on a taught postgraduate masters qualification (such as a Master of Arts (MA) or Master of Business Administration (MBA)) should be treated as aiming for an ELQ.

25. As is stated in the frameworks, MAs granted by the universities of Oxford and Cambridge are not academic qualifications. Students holding such awards should be treated as holding Level 6 qualifications on the FHEQ (reflecting if these qualifications are degrees with honours for the purpose of the guidance at sub-paragraph 23b of this annex. A number of universities in Scotland also have a tradition of awarding MAs as opposed to Bachelors of Arts (BAs) at undergraduate degree level. These should also be treated in the same way as bachelors degrees, reflecting also whether they are with honours.

### Exceptions to the frameworks for higher education qualifications

26. The MPharm should be treated as a Level 6 qualification on the FHEQ for ELQ purposes. This means that the following hold true:

a. A student whose highest qualification already achieved is a bachelors degree with honours and who is studying for an MPharm should be treated as aiming for an ELQ.

b. A student who holds an MPharm as their highest qualification already achieved and is now studying for a taught postgraduate masters qualification at Level 7 (such as an MA or MBA) should not be treated as aiming for an ELQ.

27. The Frameworks for Higher Education Qualifications of UK Degree-Awarding Bodies state (in paragraph 4.17.5) that the final outcomes of first degrees in medicine, dentistry and veterinary science typically meet the expectations of the descriptor for a higher education qualification at Level 7. However, for ELQ purposes only, these qualifications should continue to be treated as if they were at Level 6. This means that the following hold true:

a. A student whose highest qualification already achieved is a bachelors degree with honours and who is studying for a first registrable degree in medicine, dentistry or veterinary science should be considered to be aiming for an ELQ. However, they are exempt from the ELQ policy by virtue of sub-paragraph 20e of this annex and (assuming they meet all other criteria for that status) can be recorded as HEFCE-fundable.

b. A student who holds a first registrable degree in medicine, dentistry or veterinary science as their highest qualification already achieved and who is studying on a taught postgraduate masters qualification (such as an MSc or MBA) should not be treated as aiming for an ELQ.

28. All postgraduate initial teacher training courses, such as PGCEs (whether Postgraduate Certificates in Education or Professional Graduate Certificates in Education) should be treated, for the purpose of the ELQ policy only, as being equivalent to Level 6. This means that a student whose highest qualification already achieved is a PGCE, and who has no other postgraduate qualification, would not be treated as aiming for an ELQ if they enrolled on a postgraduate masters qualification. Students aiming for a PGCE of either type are exempt from the ELQ policy, as explained in sub-paragraph 20c of this annex.

29. Where students do not have a stated qualification aim and are studying by accumulating credit on a succession of 'courses' or modules, they should not be treated as aiming for an ELQ if they do not have a previous higher education (HE) qualification. Such accumulation of credit should be treated as progression towards a final undergraduate qualification. However, if the student has an HE-level qualification (as well as having potentially accumulated undergraduate level credit from recent study), then the student would be treated as aiming for an ELQ if that qualification is at a level equivalent to, or higher than, the credit towards which they are now studying. A similar approach should be adopted where students are accumulating credit at postgraduate level: credit previously achieved should not generally be used to determine that a student aiming for further postgraduate credit is aiming for an ELQ, but a previous postgraduate-level qualification generally should.

**Professional qualifications and qualifications awarded abroad**

30. Institutions may wish to take advice from the National Recognition Information Centre for the UK (UK NARIC, www.ecctis.co.uk/naric/) about the relative level of professional qualifications and those awarded abroad. UK NARIC is the national agency responsible for providing information, advice and expert opinion on vocational, academic and professional skills and qualifications from over 180 countries worldwide.

31. There may be cases where UK NARIC advises that, for example, the academic level of a degree awarded in another country is below that of a degree in the UK. In such a case it is acceptable to treat a student whose highest HE qualification is a degree from that country, and who is studying for a degree in the UK, as not aiming for an ELQ. Other sources of information that may help in determining the academic level of qualifications are identified at www.hefce.ac.uk/data/collect/heses/ under 'Frequently asked questions'.

## Reviewing ELQ status

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

- while following two separate programmes of study, receives a qualification for one before the other is complete
- changes their qualification aim
- begins to receive the DSA.

In general, and subject to the guidance in paragraph 20a, we would not expect institutions to change the ELQ status of their students within a year of instance.

## Relationship of HEFCE policy on ELQs to fee regulations

33. The Student Fees (Qualifying Courses and Persons) (England) Regulations (statutory instrument 2007 No. 778, as amended in particular by statutory instrument 2008 No. 1640 for the ELQ policy), define which categories of students and courses are covered by the regulated undergraduate fee regime – that is, those for whom institutions cannot charge a fee that exceeds prescribed limits, including the limits stated in their access agreement with the Office for Fair Access.

34. The Education (Student Support) Regulations 2011 (statutory instrument 2011 No. 1986), as amended, define entitlements to student support. In particular, amendments to those regulations in the Education (Student Support) (Amendment) Regulations 2014 (statutory instrument 2014 No. 2765) define entitlements to student support for 2016-17. The statutory instrument 2011 No. 1986 contains definitions of ELQs.

35. There are some differences in the treatment of students between whether they may be recorded as HEFCE-fundable following the guidance in HESES, and whether they are liable to regulated tuition fees or are eligible for student support. In particular, there will be cases where a student can be treated as exempt from the ELQ policy for HEFCE funding purposes, but where they are not covered by the Student Fees (Qualifying Courses and Persons) Regulations – thus they can, if the institution chooses, be charged a non-regulated tuition fee. We do not, however, expect there to be cases where a student is non-fundable by HEFCE because of their ELQ status, but where the institution is still restricted to charging a regulated tuition fee. Any questions about these statutory instruments should be raised with the Student Finance England helpline on 0300 100 0607.

## Examples

Example 1: Student aiming for both HND and degree

36. A student with a stated aim of both a Higher National Diploma (HND) and a degree as part of the same instance should be treated as aiming for an HND for ELQ purposes.

Example 2: Student who acquires undergraduate certificate (not stated aim)

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

Example 3: Student aiming for honours degree with foundation degree as highest qualification

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

Example 4: Student with honours degree studying for foundation degree and then topping up to a second degree

39. A student enters already holding an honours degree as their highest qualification, and intends to study for a foundation degree over two years then top up to an honours degree in one year. If they have a stated qualification aim of both a foundation degree and an honours degree as part of the same instance, then the student is exempt from the ELQ policy in the first two years when studying for the foundation degree. However, when topping up to an honours degree in the final year, the student will be treated as aiming for an ELQ.

Example 5: Student studying a succession of continuing education courses

40. A student without any prior HE qualification is undertaking a succession of 20 credit-point undergraduate continuing education courses, all at the same academic level. After successful completion of such a course, the student is permitted to be awarded a university certificate. If the student completes 120 credit points from such courses, they can be awarded a Certificate of Higher Education. In this example:

a. A student who has successfully completed a 20 credit-point course, but has not been awarded the university certificate, should not be treated as aiming for an ELQ for any study towards another 20 credit-point course.

b. Where the student has been awarded a university certificate for successfully completing a 20 credit-point course, then:

i. They should be treated as aiming for an ELQ if they are taking another 20 credit-point course, and either have a stated qualification aim of a university certificate or have not stated a qualification aim (that is, they are assumed to be studying towards further credit at the same level as a qualification already awarded).

ii. They should not be treated as aiming for an ELQ if they are taking another 20 credit-point course, but have a sole qualification aim of a Certificate of Higher Education. This is because the Certificate of Higher Education would be considered a higher qualification than the university certificate already achieved. If the student has stated qualification aims of both a university certificate and the Certificate of Higher Education, then (following the guidance in paragraph 14) they would be treated as aiming for an ELQ, by virtue of sub-paragraph 40b.i.

Example 6: Student who acquires ELQ status part way through a course

41. A student with no previous HE qualifications is concurrently aiming for a first degree and a part-time two-year HNC. The student completes the degree mid-way through the first year of the HNC. In this example, the student should not be treated as aiming for an ELQ for the first year of the HNC. However, the student should be treated as aiming for an ELQ in their second year of instance for the HNC, because their ELQ status should be reviewed annually to take account of any newly achieved HE qualifications.

## Good practice

### Collecting qualification data from students

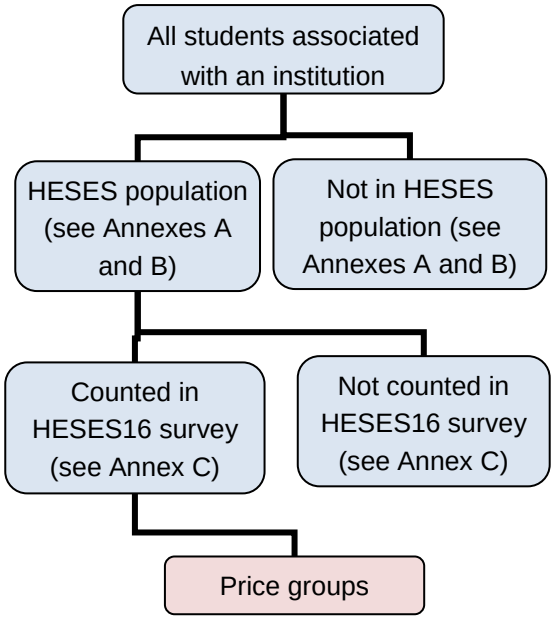
42. Institutions should ask students to confirm annually that they have not achieved any new qualifications since they last enrolled.

### Recording of non-exempt students aiming for an ELQ

43. Home and EU students aiming for an ELQ and not covered by an exemption should be clearly identified on the student record system.

# Annex G: Price groups

This annex explains how years of instance should be mapped to price groups for the purposes of HESES16, including guidance on the special cases of medicine, dentistry, veterinary science, education, social work and social policy, computing and sandwich years out. Examples are given for cases where a year of instance can be split across price groups or where provision is contracted out.




## Annex G contents

Tables relating cost centres to price groups

Special cases

- Sandwich years out
- Medicine, dentistry and cost centres 101 and 102
- Veterinary science and cost centre 109
- Social work and cost centre 131
- ITT, INSET and cost centre 135
- Attribution of computing to cost centres 119 and 121

Allocation of years of instance to price groups

- Activity delivered under a sub-contractual arrangement
- Students on a study year abroad

Good practice

## Tables relating cost centres to price group

1. Price groups are defined in terms of academic cost centres. Full details of how to assign departments to cost centres are in 'Assignment of departments to academic cost centres: 2005-06' (HEFCE Circular letter 32/2005)[10].

[10] Available online at webarchive.nationalarchives.gov.uk/20120118171947/http:/www.hefce.ac.uk/pubs/circlets/2005/cl32_05/.

**Table G1: Attribution of academic cost centres to price groups**

| Cost centre | Price group(s) |
|---|---|
| 101 Clinical medicine | A, B |
| 102 Clinical dentistry | A, B |
| 103 Nursing and allied health professions | C2 |
| 104 Psychology and behavioural sciences | C2 |
| 105 Health and community studies | C2 |
| 106 Anatomy and physiology | B |
| 107 Pharmacy and pharmacology | B |
| 108 Sports science and leisure studies | C2 |
| 109 Veterinary science | A, B |
| 110 Agriculture, forestry and food science | B |
| 111 Earth, marine and environmental sciences | B |
| 112 Biosciences | B |
| 113 Chemistry | B |
| 114 Physics | B |
| 115 General engineering | B |
| 116 Chemical engineering | B |
| 117 Mineral, metallurgy and materials engineering | B |
| 118 Civil engineering | B |
| 119 Electrical, electronic and computer engineering | B |
| 120 Mechanical, aero and production engineering | B |
| 121 Information technology, systems sciences and computer software engineering | C1 |
| 122 Mathematics | C2 |
| 123 Architecture, built environment and planning | C2 |
| 124 Geography and environmental studies | C2 |
| 125 Area studies | D |
| 126 Archaeology | C1 |
| 127 Anthropology and development studies | D |
| 128 Politics and international studies | D |
| 129 Economics and econometrics | D |

| Cost centre | Price group(s) |
|---|---|
| 130 Law | D |
| 131 Social work and social policy | C2, D |
| 132 Sociology | D |
| 133 Business and management studies | D |
| 134 Catering and hospitality management | C2 |
| 135 Education | C2, D |
| 136 Continuing education | D |
| 137 Modern languages | C2 |
| 138 English language and literature | D |
| 139 History | D |
| 140 Classics | D |
| 141 Philosophy | D |
| 142 Theology and religious studies | D |
| 143 Art and design | C1 |
| 144 Music, dance, drama and performing arts | C1 |
| 145 Media studies | C1 |
| 999 Cost centre not assignable | D |

**Table G2: Cost centres within each price group**

| Price group | Cost centres |
|---|---|
| A | 101*, 102*, 109* |
| B | 101*, 102*, 106, 107, 109*, 110, 111, 112, 113, 114, 115, 116, 117, 118, 119, 120 |
| C1 | 121, 126, 143, 144, 145 |
| C2 | 103, 104, 105, 108, 122, 123, 124, 131*, 134, 135*, 137 |
| D | 125, 127, 128, 129, 130, 131*, 132, 133, 135*, 136, 138, 139, 140, 141, 142, 999 |

* For definitions see following paragraphs.

# Special cases

## Sandwich years out

2. Regardless of academic cost centre, students on a sandwich year out should be recorded in price group C2.

## Medicine, dentistry and cost centres 101 and 102

3. Medical and dental years of instance recorded in price group A must be generated by students in one of the following categories:

a. Clinical medical students on the final three years of a first registrable medical qualification for doctors taken at one of these points:

i. After the pre-clinical part of the course.

ii. After a free-standing pre-clinical course.

iii. As part of an integrated pre-clinical and clinical course.

b. Clinical dental students on the final four years of a first registrable dental qualification for dentists taken at one of these points:

i. After the pre-clinical part of the course.

ii. After a free-standing pre-clinical course.

iii. As part of an integrated pre-clinical and clinical course.

c. Clinical medical (including clinical psychology) and clinical dental postgraduate taught students whose course meets the following three criteria:

i. The course bears very high average annual costs of at least £15,000 per full-time equivalent.

ii. 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.

iii. Nearly all of the course is taught in a clinical environment.

d. Research students, the focus of whose research is in a clinical environment and whose lead supervisor is a clinical academic.

4. Students who meet the criteria in paragraph 3 should have all of their activity for the year of instance attributed to price group A, irrespective of activity in any academic cost centre. All other activity in cost centres 101 and 102 should be returned in price group B.

5. Where, and only where, a postgraduate course meets the criteria set out in paragraph 3, the subject of the course aim should be coded as A3 (clinical medicine), A4 (clinical dentistry), C842 (clinical psychology) or C845 (clinical neuropsychology) on the Higher Education Statistics Agency (HESA) student record.

## Veterinary science and cost centre 109

6. 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 activity in any academic cost centre. All other undergraduate veterinary science activity, including foundation years, should be returned in price group B.

7. To be included in price group A, clinical veterinary science postgraduate taught students must be on courses which meet the following three criteria:

   a. The course bears very high average annual costs of at least £15,000 per full-time equivalent.

   b. A substantial proportion of the staff teaching time contributed to the course is provided by veterinary-qualified, university-funded, clinical academic staff.

   c. Nearly all of the course is taught in a clinical environment.

8. For veterinary science 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.

9. Students who meet the criteria in paragraphs 7 or 8 should have all of their activity for the year of instance attributed to price group A, irrespective of any activity in any academic cost centres. All other postgraduate activity in cost centre 109 should be returned in price group B.

10. Where, and only where, a postgraduate course meets the criteria set out in paragraph 7 or 8, the subject of course aim should be coded as D2 (clinical veterinary medicine and dentistry), on the HESA student record.

## Social work and cost centre 131

11. Students on courses leading to registration as a social worker with one of the UK regulatory bodies, or providing post-registration qualifications for social workers, should be entirely attributed to price group C2, irrespective of activity in any academic cost centre.

12. For the purposes of paragraph 11, the UK regulatory bodies are the Scottish Social Services Council, the Care Council for Wales, the Northern Ireland Social Care Council and the Health and Care Professions Council (identifiable on the HESA record where REGBODY = 09, 10, 11, 54 respectively).

<u>HESA notes</u>

13. Post-registration courses for social workers will commonly be coded on the HESA record using COURSEAIM = H76 or M76. Pre-registration courses for social workers will commonly be coded on the HESA record using COURSEAIM = H16 or M16.

14. All other activity in cost centre 131 should be attributed to price group D.

### ITT, INSET and cost centre 135

15. Students on initial teacher training (ITT) courses, whether or not leading to Qualified Teacher Status (QTS), qualified teacher learning and skills (QTLS) or Early Years Teacher Status (EYTS), should be entirely attributed to price group C2, irrespective of activity in any academic cost centre. All Home and European Union (EU) students on ITT courses leading to QTS or EYTS should be returned as non-fundable.

16. In-service education and training (INSET) courses are defined as courses whose primary (but not necessarily only) purpose is to improve the effectiveness of teachers, lecturers or trainers. Students who do not hold QTS, QTLS or EYTS but are studying for an ITT qualification via an INSET course should be recorded in price group C2. Other students on INSET courses should be attributed to price groups in the normal way. Home and EU students holding or aiming for QTS on INSET courses should be returned as non-fundable.

17. Students studying for a foundation degree to become a teaching assistant should be returned in price group C2.

18. All other activity in cost centre 135 should be returned in price group D.

### Attributing computing to cost centres 119 and 121

19. Only computer engineering departments in the area of computer hardware development – specification, design (via computer-aided design), simulation, verification, construction and testing of the hardware of computer systems using logic, memory and interconnection technologies – should be included in cost centre 119.

20. All other computing departments should be returned in cost centre 121.

## Allocating years of instance to price groups

21. Except where noted in paragraphs 2 to 20 of this annex, years of instance should be allocated to price groups according to the mix of cost centres in which activity takes place. Student activity 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 modules in the HESA record. If a module or part of a course is provided by a different cost centre from the rest of the course, this should be identified on the HESA record and on HESES by mapping the relevant student activity to the correct price group.

HESA notes

22. Institutions should ensure that where a student's provision does not fall entirely within a single cost centre and under a single subject of study, this is clearly specified on the HESA student record. The HESA student record links subjects and cost centres with students through the subjects and cost centres associated with the modules attached to the student.

23. In general, staff will be associated with only a single cost centre even where their department is split across cost centres. 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 activity to the appropriate cost centre. In general this approach will not be consistent with pro-rating student activity to the staff cost centre split

at departmental level. Where two or more members of staff from different cost centres are associated with a particular activity, the student activity should be split according to the proportion contributed by each member of staff. Up to two decimal places may be used for this.

### Activity delivered under a sub-contractual arrangement

24. Where activity is delivered under a sub-contractual arrangement it should normally be returned in the cost centre or centres of the department that arranges it. Alternatively, the institution may choose to return the contracted-out activity in the cost centre or centres most closely matching the academic content of the provision. Institutions **must** do the latter if one of the following applies:

a. The student activity is at least 20 per cent of the total student activity in the department that arranges it.

b. The contracted-out full-time equivalent student numbers are at least 100.

25. Provision delivered under a sub-contractual arrangement may not be naturally attributable to a cost centre in which the institution is active. In this case institutions should create a virtual cost centre in which to return this activity and its related expenditure. If institutions return such activity using cost centre 999 on the HESA record, it should be treated as falling into price group D.

### Students on a study year abroad

26. For students taking a whole or partial study year abroad, the price group attribution should be determined in the same way as if the provision was delivered under a sub-contractual arrangement.

## Examples

27. The following examples relate to a student who aims to study for four 30-credit-point modules in a year:

<u>Example 1: Allocation to price group based on staff cost centre</u>

28. The first of these modules is taught by a member of staff in the Classics Department (cost centre 140). The student would therefore be allocated to price group D for this module.

<u>Example 2: Allocation to price group in department with split cost centres</u>

29. The second module the student studies is taught by the Department of Geographical Studies (split between cost centres 124 and 125). This module is taught by a member of staff allocated to the area studies cost centre (cost centre 125), and the student would therefore be entirely allocated to price group D for this module.

Example 3: Allocation to price group for activity delivered under sub-contractual arrangement

30. The third module the student studies is delivered under a sub-contractual arrangement. This module has been arranged by the Classics Department (cost centre 140) and is delivered by the Faculty of Archaeology (cost centre 126) in the partner institution. As the cost is delivered under a sub-contractual arrangement, the institution has two options:

a. Return the activity under the cost centre of the department that arranged the provision, in which case the student would be returned under cost centre 140 and the activity would therefore be allocated to price group D for this module.

b. Return the activity under the cost centre most closely matching the academic content of the provision, in which case the student would be returned under cost centre 126 and the activity would therefore be allocated to price group C1 for this module.

Example 4: Allocation to price group for activity in Computing Department

31. The fourth module the student studies is delivered by the Computing Department (cost centre 119 or 121). As the module is **not** relating to the development of computer hardware (cost centre 119), the activity **must** therefore be allocated to cost centre 121. The student would therefore be allocated to price group C1 for this module.

## Good practice

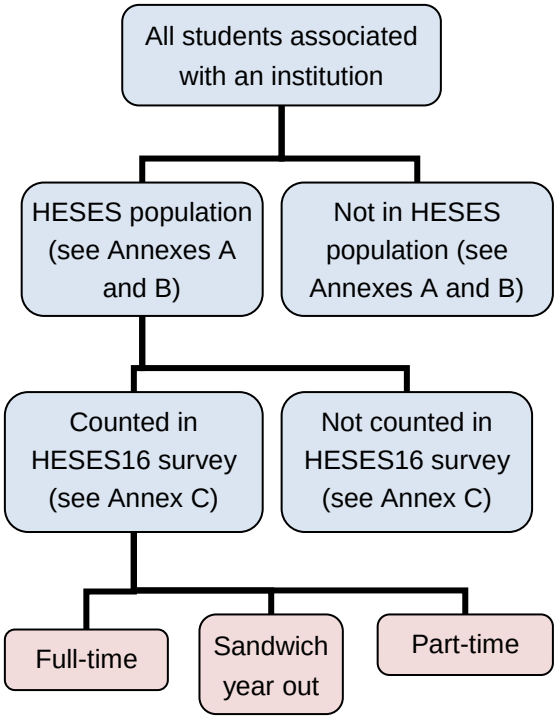
### Assigning departments to cost centres

32. Institutions should be able to provide evidence of how they have allocated particular departments to cost centres, and their compliance with the guidance in HEFCE Circular letter 32/2005. This should include the rationale for splitting or not splitting departments.

33. The assignment of departments to cost centres should be reviewed regularly to ensure that the guidance is being followed.

# Annex H: Mode of study

This annex explains how to determine, for the purposes of HESES16, the mode of study for a year of instance (full-time, sandwich year out or part-time). It includes guidance on how to treat learning in the workplace and work experience when determining mode of study. In general, all students on a given course with a broadly similar pattern of activity, for a given year of instance, should be recorded as having the same mode.




## Annex H contents

Full-time

- Part-time students in receipt of full-time student support
- Accredited prior learning

Sandwich year out

Part-time

Additional guidance on mode of study

- Students only active for part of a year
- Students who change from full-time to part-time within a year of instance
- Treatment of learning in the workplace and work experience for the purposes of determining mode of study

Examples

## Full-time

1. A year of instance is counted as full-time if it meets **all** of 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 instance, and during that time they are expected to undertake periods of study, tuition, learning in the workplace, or sandwich work placement that does not meet the criteria to be sandwich year out, which amount to an average of at least 21 hours per week.

   b. Full-time fees are chargeable for the course for the year. Exceptionally, all or part of the fee may be waived for individual students based on their particular personal rather than course-related circumstances. This does not include cases where fees are reduced because students are studying less intensively than is normally expected for a full-time student. It should not be waived for all students on a course, and the criteria that determine if fees may be waived should not be tantamount to waiving them for all students.

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

### Part-time students in receipt of full-time student support

3. Some students may receive full-time student support, but not meet the criteria given in paragraph 1a. Such students should be returned as part-time, unless they fall under the definition of 'sandwich year out' given below.

### Accredited prior learning

4. Students who are on a full-time programme but because of accredited prior learning do not meet the attendance requirements to be full-time should be returned as part-time.

## Sandwich year out

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

   a. The course falls within the definition of a 'sandwich course' in Regulation 2(10) of the Education (Student Support) Regulations 2011 (SI 2011 No. 1986) as amended, or the year of instance is an Erasmus+ year abroad spent working.

   b. It is a year of instance:

      i. During which any periods of full-time study are in aggregate less than 10 weeks; or

      ii. For which, in respect of that year of instance and any previous year(s) of instance, the aggregate of any one or more periods of attendance which are not periods of full-time study (disregarding intervening vacations) exceeds 30 weeks.

   c. A reduced fee is chargeable for the course for the year, compared with what would be chargeable if the student were studying full-time in the year.

6. Students spending a full year abroad working, including under the Erasmus+ scheme, should be returned as sandwich year out. This includes students under the British Council's Language Assistants scheme.

## Part-time

7. A year of instance is counted as part-time if it does not meet the requirements to be either full-time or a sandwich year out. This includes Higher National Certificate students who are expected to complete in one year, but whose course is not subject to full-time regulated fees and student support.

## Additional guidance on mode of study

8. 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, if the second year does not have 24 weeks of study.

HESA notes

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

## Students only active for part of a year

10. In general, where a student plans to study at a full-time rate for a portion of the year – for example only for the first semester – they will be part-time, even though they are 'full-time' for that period of study. The mode of attendance must be established with reference to the intended activity for the whole year of instance.

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

11. Where full-time students change mode within a year of instance to become part-time, the year of instance should be recorded as part-time only. This applies only when the student continues to study actively on their year of instance, where there is a formal process for agreeing the change in mode, including confirmation by the student and a recalculation of their tuition fee to reflect their part-time status. It may also result in the student losing entitlement to full-time student support. Their full-time equivalence should be calculated in the usual way, by comparison with the equivalent full-time course.

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

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

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

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

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

## Examples

Example 1: Student intermitting their studies

15. A student intends to study full-time in 2016-17 for the second year of their course. They complete all modules in term one, but then intermit their studies for a year. They return to full-time study in term two of 2017-18 and complete all remaining modules.

    a. For 2016-17, the student would have a full-time mode of study for the year of instance, though they would be a non-completion.

    b. For 2017-18, the student would have a part-time mode of study for the year of instance, as they would not meet the criteria given in paragraph 1a.

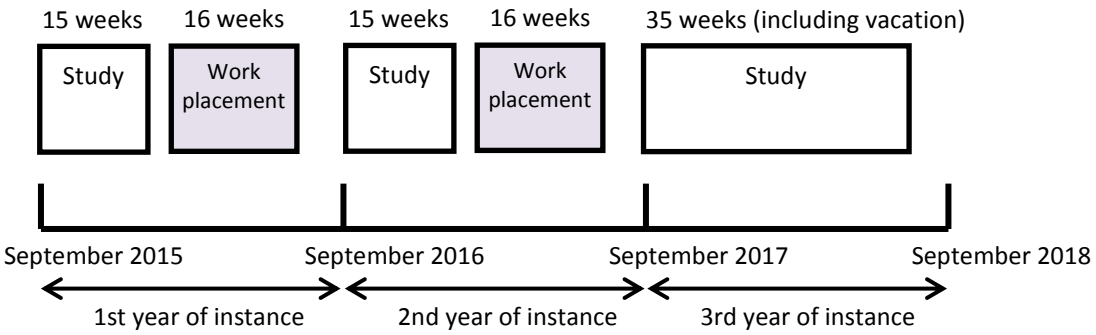
Example 2: Student on the final year of a full-time course

16. A student is studying on the final year of a full-time course, which is ordinarily completed in less than 24 weeks. The student would have a part-time mode of study for the year.

Example 3: Student repeating part of the year

17. A student is studying full-time in 2015-16, but fails three modules. In 2016-17 the student repeats these modules on a part-time basis, studying for an average of seven hours per week. The student is still eligible to claim full-time student support. As the year of instance would not meet criteria given in paragraph 1a, the student would have a part-time mode of study for the year.

Example 4: Year in which total sandwich placement exceeds 30 weeks



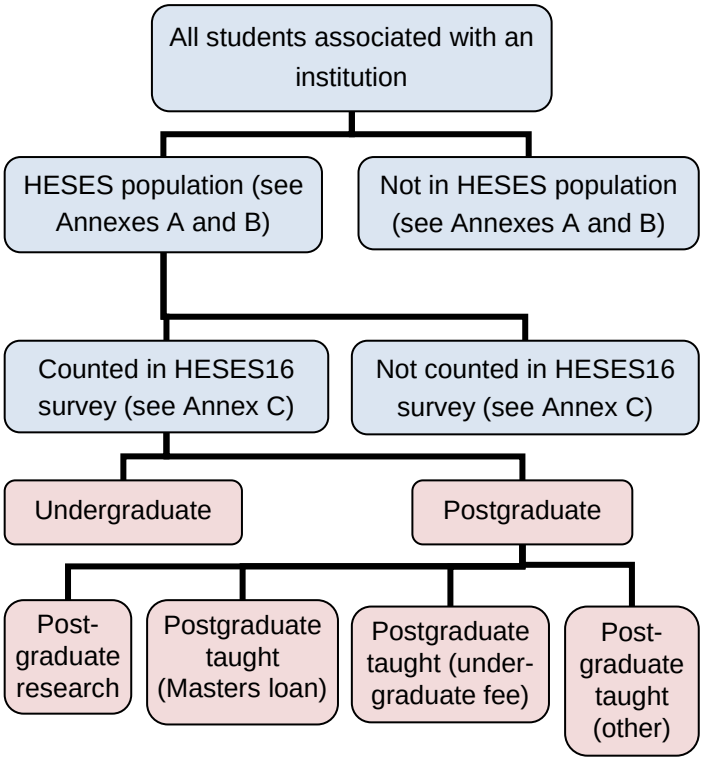

18. A student studies for an HND over three years. This includes two periods of work placement, taken in the first and second years of instance.

    a. The first year of instance is full-time, as the period of full-time study is more than 10 weeks, the cumulative period on work placement to date is less than 30 weeks, and the total attendance is greater than 24 weeks.

    b. The second year of instance is a sandwich year out. Though the pattern of activity is the same as for the first year, the cumulative period on work placement exceeds 30 weeks (16 + 16 = 32 weeks total work placement). This meets the definition in paragraph 5b(ii).

# Annex I: Level of study

This annex explains how to determine a student's level of study (undergraduate or postgraduate) for the purposes of HESES16. It also explains how the undergraduate data on Table 5 is split, and how to separate postgraduate students into postgraduate taught and postgraduate research.




## Annex I contents

Undergraduate (UG)

Postgraduate

- postgraduate research (PGR)
- postgraduate taught (undergraduate fee) (PGT (UG fee))
- postgraduate taught (Masters loan) (PGT (Masters loan))
- postgraduate taught (other) (PGT (Other))
- Examples

Further information

## Undergraduate (UG)

1. Undergraduates are students studying towards a first degree (including foundation degree), integrated masters programme (such as a four-year Master of Engineering (MEng), Master of Physics (MPhys) or Master of Chemistry (MChem)), higher education (HE) certificate, HE diploma or equivalent, or registered for an institutional HE-level credit that can be counted towards one of these qualifications.

2. The undergraduate data in Table 5 is split between:

   - students on Higher National Diploma (HND) courses
   - students on sub-degree level courses excluding HNDs (such as those aiming for a Higher National Certificate (HNC), Diploma of Higher Education (DipHE) or Certificate in Education (CertEd))
   - students on foundation degree courses
   - students on other undergraduate degrees (excluding foundation degrees but including foundation degree bridging courses).

3. Where a student registers, without stating a qualification aim, for credits which may count towards a qualification at either undergraduate degree or sub-degree level, they should be counted as sub-degree level.

4. Where students have stated multiple qualification aims as part of the same instance, 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 6 of the Framework for Higher Education Qualifications in England, Wales and Northern Ireland, published by the Quality Assurance Agency for Higher Education. There are two groups, postgraduate research (PGR) and postgraduate taught (PGT).

### Postgraduate research (PGR)

6. Postgraduate research (PGR) students are those whose qualification aim is a research-based higher degree. This is a postgraduate programme comprising a research component (including a requirement to produce original work) which is larger in terms of student effort than any accompanying taught component. The arrangements for assuring and maintaining the academic standards and enhancing the quality of these programmes should be fully compliant with Chapter B11 of the Quality Assurance Agency for Higher Education's UK Quality Code for Higher Education on postgraduate research programmes.

### Postgraduate taught (PGT)

7. Postgraduate taught (PGT) students are postgraduates who do not meet the requirements to be a research student.

8. Postgraduates include those on graduate conversion courses and all on postgraduate initial teacher training courses such as PGCEs (whether Postgraduate or Professional Graduate Certificates in Education). We split PGT students between those who are on courses that are eligible under the undergraduate student support regime, those who are on courses that are eligible under the new masters loan arrangements, and all others.

#### Postgraduate taught (undergraduate fee) (PGT (UG fee))

9. This category is for PGT students on courses that are designated under the undergraduate student support arrangements. It applies only to students aiming for a postgraduate initial teacher training qualification, and some students studying architecture – specifically those who are on Parts 2 or 3 of the qualification leading towards registration with the Architects Registration Board.

### Postgraduate taught (Masters loan) (PGT (Masters loan))

10. Inclusion in this category is dependent on the eligibility of the course, rather than the student's own characteristics. The (PGT (Masters loan) category applies only to postgraduate taught students on courses that are designated under Regulation 4 of The Education (Postgraduate Master's Degree Loans) Regulations 2016 (Statutory Instrument 2016/606)[11]. In particular, this applies to courses that are one of the following:

a. A full-time course of one or two academic year's duration.

b. A part-time course which it is ordinarily possible to complete in no more than twice the period ordinarily required to complete its one or two academic year full-time equivalent.

c. A part-time course that does not have a full-time equivalent and which it is ordinarily possible to complete in up to three academic years.

11. Masters loans are available only where the student is undertaking a full stand-alone masters course, not a partial masters course requiring a lesser number of credits, be that as a result of either the student's previous study or their experience[12]. Therefore, students who are topping up to a masters qualification from another postgraduate qualification, such as a diploma or certificate, should not be recorded against this category. Because assignment to this category is not dependent on the characteristics of the student, it includes those who are not personally eligible for a masters loan because of, for example:

a. Their age.

b. Their nationality or domicile.

c. Their status as a student aiming for an equivalent or lower qualification (ELQ).

d. Their having started their course prior to 1 August 2016.

e. Any intention they may have to take longer to complete a part-time course than the definition of designated courses allows as being 'ordinarily possible'.

12. Students who are aiming for a masters degree through a PGR programme may also be eligible for a masters loan. However, such students should continue to be classified in HESES16 as PGR. No breakdown of PGR students between those on programmes eligible for a masters loan and others is required.

### Postgraduate taught (Other)

13. PGT students who do not fall under the previous two categories should be recorded as PGT (Other).

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[11] Available from www.legislation.gov.uk/uksi/2016/606/contents/made.

[12] See the section on 'Previous study' on page 13 of the guidance on postgraduate loans for masters courses at www.practitioners.slc.co.uk/media/7715/pgl-masters-guidance.pdf.

## Examples

Example 1: Student topping up to a masters qualification from another postgraduate qualification

14. A student registers for a 60-credit postgraduate certificate (PGCert). Upon successful completion of the PGCert, they then register for a 120-credit postgraduate diploma (PGDip), for which the 60-credit PGCert counts towards the PGDip credit requirement. Upon successful completion of the PGDip, they then register for a 180-credit masters, for which the 120-credit PGDip already counts towards the masters credit requirement.

15. In this case the student would be recorded as PGT (Other) throughout their studies. This is because while studying for the PGCert and PGDip, they are not explicitly studying for a masters; and when they do finally register for a masters, they are using PGT credit previously achieved to top up.

Example 2: Student registering for a masters, but instead completing a PGDip

16. A student registers for a 180-credit masters, with no previously achieved credit being used to count towards it. They do not complete the full course, but complete sufficient to be awarded a 120-credit PGDip.

17. The student would be recorded as PGT (Masters loan), because they are aiming for a full PGT masters qualification. They may or may not be reported as a non-completion in HESES, depending on how they complete their year(s) of instance.

Example 3: Student awarded an intermediate qualification

18. A student registers for a 180-credit masters, with no previously achieved credit being used to count towards it, and while continuing to study towards it they are awarded an intermediate qualification (of a PGCert or PGDip).

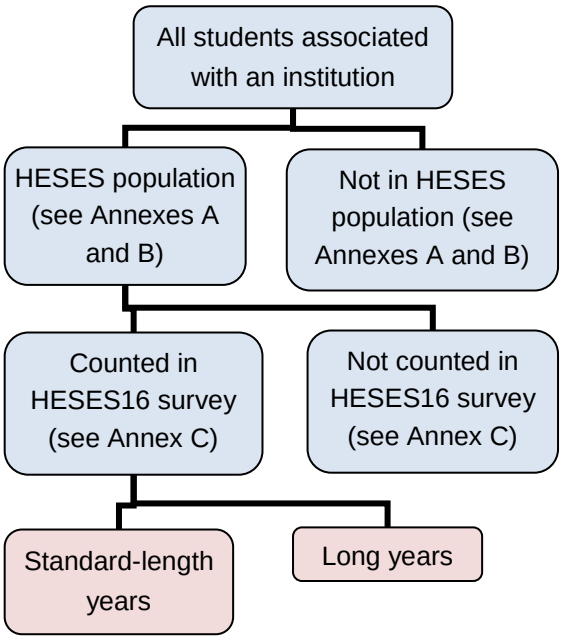
19. They will continue to be reported as PGT (Masters loan), even after being awarded the intermediate qualification, because they are continuing on the same masters course. However, if the intermediate qualification was awarded because the student formally withdrew from the masters course at that point, and the student then returned (perhaps after a break) to register afresh to top up the intermediate qualification to a masters, they would reported as PGT (Other) for the top-up study.

## Further information

20. This annex provides information on determining a student's level of study at a broad level of undergraduate or postgraduate. Further information on how to determine level in relation to equivalent or lower qualification (ELQ) status can be found in **Annex F** under 'Students aiming for ELQs'. This includes further guidance on the Framework for Higher Education Qualifications.

# Annex J: Long years of instance

This annex explains how to determine if a full-time or part-time year of instance should be classed as 'long' for the purposes of HESES16. It also contains guidance on how to treat learning in the workplace and work experience when determining the length of a year of instance, as well as examples of how to treat mixed-length courses.




## Annex J contents

Definitions

- Full-time long years of instance
- Part-time long years of instance
- Mixed-length courses

Examples

## Definitions

### Full-time long years of instance

1. For full-time courses, the year of instance will be classified as 'long' if students are normally required to attend for 45 weeks or more within that year of instance.

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

3. If the year of instance is 45 weeks or more in length because of a period of work-based study, then the year of instance is not counted as long. This applies to both learning in the workplace and work experience. Sandwich years out cannot therefore be recorded as long, nor would we generally expect foundation degrees to be recorded as long.

4. For undergraduate students, long years of instance typically occur in accelerated programmes where the qualification is achieved in a much shorter time than normal. The number of credit points studied in the year is not a criterion in defining a long year of instance.

5. For postgraduate students, most long years of instance will be for higher degrees.

### Part-time long years of instance

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 instance for part-time students is irrelevant in determining whether the year of instance is long. The equivalent full-time course used should be the same as that used in calculating the full-time equivalence (FTE).

7. If an equivalent full-time course does not exist, the method for determining whether a part-time year of instance is long should be consistent with the approach taken to determine the FTE, following the guidance in paragraph 2 of **Annex E**. The rationale for such a judgement should be recorded for audit purposes.

### Mixed-length courses

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

   a. The FTE over the entire part-time 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 courses.

## Examples

Example 1: Foundation degree with work-based study

9. A full-time student on a foundation degree studies for 47 weeks in the year of instance, 10 of which are work-based study. The year of instance is not counted as long, because without the work-based study the number of weeks studied within the year of instance is 37.

10. Similarly, a full-time student on a foundation degree studies for 47 weeks in the year of instance entirely in the workplace. The year of instance is not counted as long.

Example 2: Calculating the length of year for a part-time course from the full-time equivalent

11. A full-time, one-year course has a 30-week year of instance; the equivalent part-time course lasts for two years, each with a 45-week year of instance. The part-time course would not be long.

12. Conversely, if each year of the part-time course lasted for 30 weeks, but the year of instance for the full-time course was 45 weeks, then the part-time course would be classified as long. The FTE for the part-time course would be 0.5 in both cases.

Example 3: Taking a foundation degree bridging course after a foundation degree

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

Example 4: Mixed length part-time course – standard-length

14. A four-year part-time course has an equivalent two-year full-time course where year one is long and year two is standard-length. As the proportion of FTE recorded as long should be the same on both full and part-time courses, 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 to ensure the total FTE over the whole part-time course is the same as the equivalent full-time course (4 x 0.5 = 2 FTE).

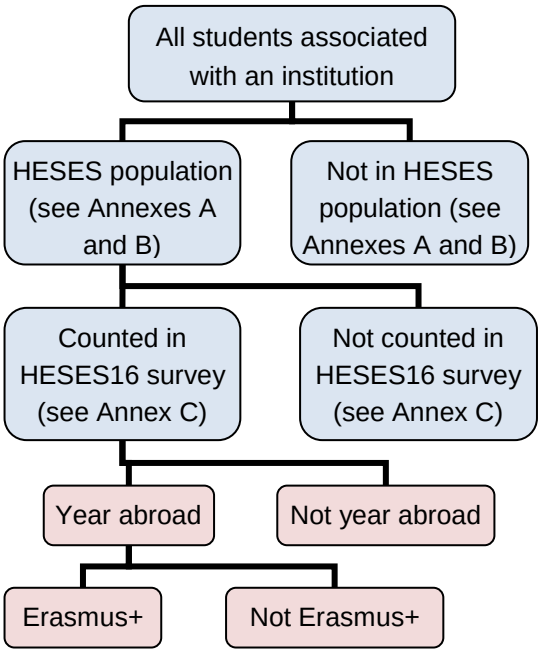
Example 5: Mixed length part-time course – accelerated

15. A part-time course lasts two and a half years and has an equivalent two-year full-time course where year one is long and year two is standard-length. The part-time course has FTE of 0.8, 0.8 and 0.4 in the three years respectively, which ensures the total FTE over the whole course is the same as the full-time course (0.8 + 0.8 + 0.4 = 2 FTE).

16. To ensure the proportion of FTE reported as long for the part-time course is equivalent to the full-time course (as per sub-paragraph 8b), all first years of study can be recorded as long (0.8 FTE), and all activity for half of the students in the final years of study recorded as long, and the activity of the other half as standard-length. The second year would be recorded as standard-length.

# Annex K: Year abroad categories in Table 4

This annex provides guidance on how to assign years of instance to the appropriate category of year abroad in Table 4 of HESES16.




## Annex K contents

Year abroad

Erasmus+

Examples

1. Table 4 collects information about a subset of Home and European Union (EU) undergraduate students included in Columns 1 and 2 of Tables 1 and 2: those undergraduates taking a year abroad in 2016-17 as part of their instance.

2. We will use the information on Table 4 to determine the 2017-18 'Erasmus+ and overseas study programmes' funding allocation to support institutions' participation in such programmes.

## Year abroad

3. A full-time year of instance is a year abroad if it is provided in conjunction with an overseas educational institution and:

   a. During which any periods of full-time study at the institution in the United Kingdom are in aggregate less than 10 weeks;

   **or**

   b. For which, in respect of that academic year and any previous academic year(s) of the course the aggregate of any one or more periods of attendance which are not periods of full-time study at the institution in the United Kingdom (disregarding intervening vacations) exceeds 30 weeks.

4. A 'sandwich year out' year of instance is a year abroad if one of the following applies:

   a. All periods of attendance that are not full-time study are spent outside the United Kingdom.

   b. At least one period of attendance in the year of instance that is not full-time study is taken under the Erasmus+ programme.

5. Some years abroad may comprise a combination of work experience and full-time study at an institution outside the United Kingdom. Where the period of work experience is not sufficient for the year of instance to meet the definition of sandwich year out, it should be categorised as a full-time year abroad.

## Erasmus+

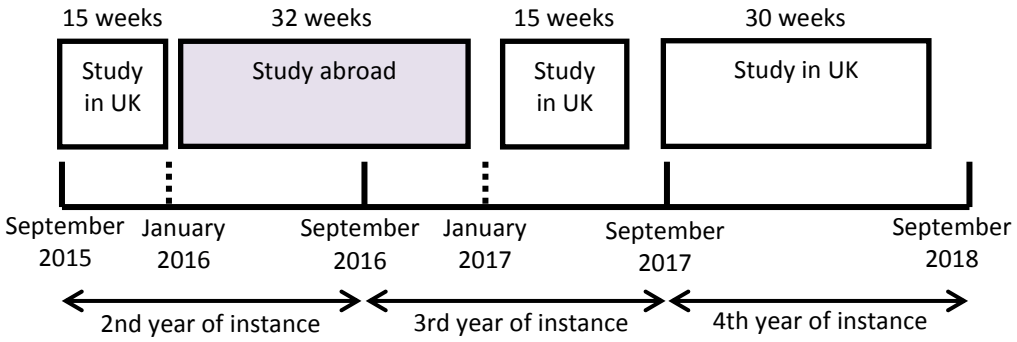
6. Years abroad are split between those taken under the Erasmus+ programme and other years abroad[13]. An Erasmus+ year abroad is an Erasmus year as defined in 'The Education (Student Support and European University Institute) (Amendment) Regulations 2013', SI 2013/1728, Regulation 4(b)[14]. If a year abroad comprises more than one period of study or work placement abroad, not all of which are taken under the Erasmus+ programme, the year of instance should be recorded as follows:

a. As an Erasmus+ year abroad if at least one study or work placement is taken under the Erasmus+ programme during the current year of instance.

b. As a non-Erasmus+ year abroad otherwise. This may include cases where an Erasmus+ study or work placement, which counts towards categorising the current year of instance as a year abroad, was taken in a previous year of instance but not in the current one.

## Examples

Example 1: Student spending a calendar year abroad




7. A student studies a four-year full-time undergraduate course from September 2014 to June 2018. The student spends a year abroad studying at an overseas institution for the calendar year 2016, which incorporates parts of their second and third years of instance; all other study is in the UK.

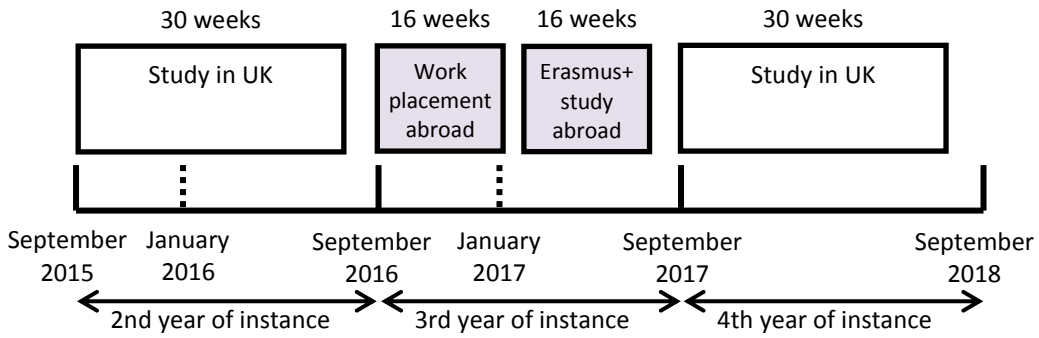
8. The second year of instance does not meet the definition of a year abroad, because the student has spent at least 10 weeks studying at their UK institution between September and December 2015, and they have not yet spent over 30 weeks studying abroad by the end of the year of instance.

[13] Erasmus+ is the European Union programme for education, training, youth and sport for the period from 2014 to 2020. Further information about it can be found at www.erasmusplus.org.uk/ and the Erasmus+ programme guide, available online at www.erasmusplus.org.uk/key-resources.

[14] See www.legislation.gov.uk/uksi/2013/1728/regulation/4/made#text%3Derasmus.

9. The third year of instance meets the definition of a year abroad, because (including the time abroad during their second year of instance) the student will have spent over 30 weeks studying abroad by the end of that year. If the year abroad is taken under the Erasmus+ programme, the year of instance should be identified as a full-time Erasmus+ year abroad.

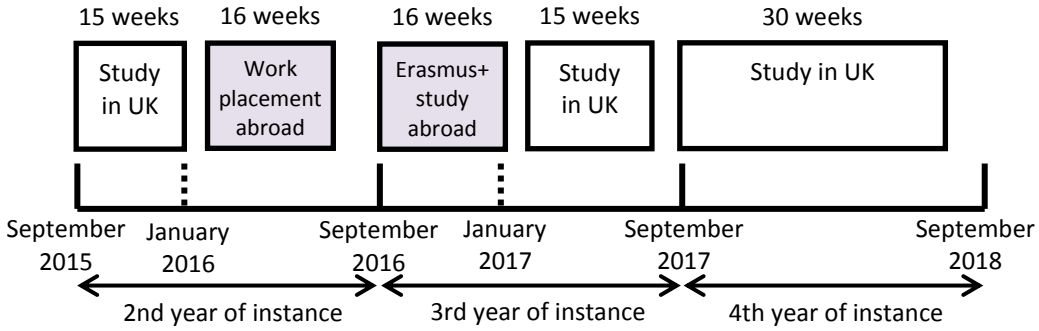
Example 2: Student spending an academic year abroad




10. A student studies a four-year full-time undergraduate course from September 2014 to June 2018. The student spends a year abroad between September 2016 and June 2017, contained entirely within their third year of instance; all other study is in the UK. The year abroad comprises one semester which is a 16-week work placement not taken under the Erasmus+ programme, and another semester which is a 16-week study placement at an overseas university which is taken under the Erasmus+ programme.

11. The work placement is not in itself sufficient for the year of instance to count as a sandwich year out. Because at least one study or work placement is taken under the Erasmus+ programme in the current year of instance, the year of instance is categorised as a full-time Erasmus+ year abroad.

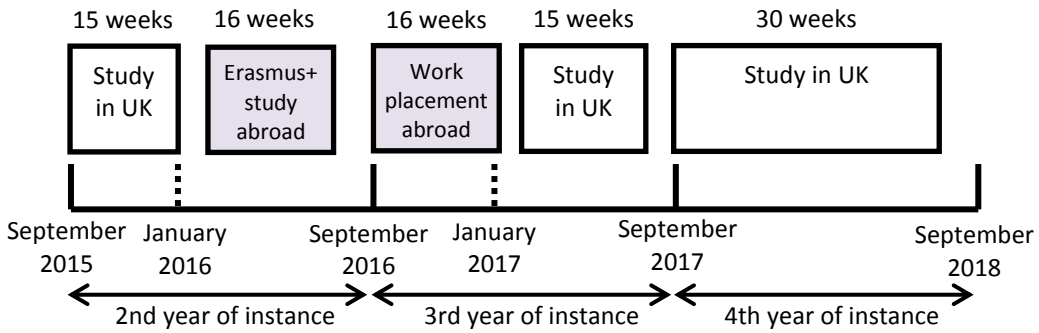
Example 3: Work then Erasmus+ study abroad




12. As in Example 1, but the calendar year abroad comprises one 16-week semester (taken at the end of the second year of instance) which is a work placement abroad not taken under the Erasmus+ programme, and another 16-week semester (at the start of the third year of instance) which is a study period at an overseas institution taken under the Erasmus+ programme. As with Example 1, the second year of instance does not meet the definition of a year abroad.

13. The third year of instance meets the definition of a year abroad, but the work placement is not in itself sufficient for any year of instance to count as a sandwich year out. Because at least one period of study or work placement in the current year of instance is taken under the Erasmus+ programme, that year of instance counts as a full-time Erasmus+ year abroad.

Example 4: Erasmus+ study then work abroad

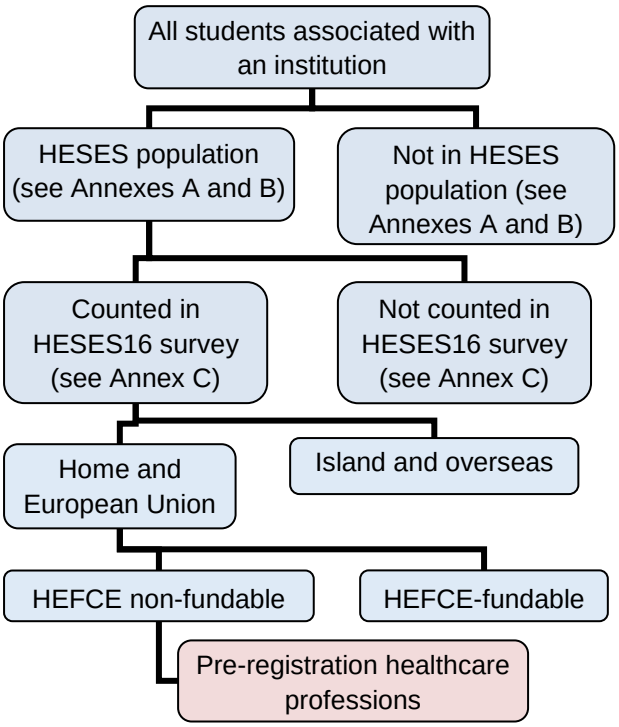



14. As in Example 3, but the semesters are reversed: the calendar year abroad comprises one 16-week semester (taken at the end of the second year of instance) which is a study period at an overseas institution taken under the Erasmus+ programme, and another 16-week semester (at the start of the third year of instance) which is a work placement abroad not taken under the Erasmus+ programme. As in examples 1 and 3, the second year of instance would not meet the definition of a year abroad.

15. The third year of instance still meets the definition of a year abroad. The work placement is not in itself sufficient for the year of instance to count as a sandwich year out. No study or work placement in the current year of instance is taken under the Erasmus+ programme (even though one was in the previous year of instance). Therefore the third year of instance counts as a full-time non-Erasmus+ year abroad.

# Annex L: Nursing, midwifery and allied health for Table 7

This annex defines the pre-registration healthcare profession courses which must be included in HESES16. It also details definitions specific to Table 7. Only institutions delivering these courses in 2016-17 need to complete this table.




## Annex L contents

Definitions

- HESES nursing, midwifery and allied health professions population for 2016-17
- Healthcare professions
- Starters from 2016-17

Guidance

- Mode
- Length

## Definitions

### HESES nursing, midwifery and allied health professions population for 2016-17

1. The Table 7 HESES16 population includes Home & EU years of instance for students on pre-registration nursing, midwifery and allied health profession courses (defined below) which are currently funded by Health Education England (HEE). This information will be used for planning purposes and to inform funding allocations for institutions in 2017-18 when responsibility for funding most of these courses is transferred to HEFCE.

2. These years should continue to be included as appropriate in Tables 1 to 6 as Home & EU, non-fundable (see Annex F) reflecting that the funding responsibility for them in 2016-17 rests with the Department of Health.

### Healthcare professions

3. For the professions listed in **Figure L1**, only pre-registration courses at English institutions that are approved by the relevant regulatory body should be included. These are:

   a. For nursing and midwifery, the Nursing and Midwifery Council.

   b. For dental hygiene and dental therapy, the General Dental Council.

   c. For all other professions listed, the Health and Care Professions Council.

**Figure L1: Courses for which activity should be included in Table 7**

<table>
<tr><th>Pre-registration courses in</th><th>Leading to registration with</th></tr>
<tr><td>Nursing – adult</td><td rowspan="4">Nursing and Midwifery Council (NMC).<br>Relevant courses are those at English institutions listed at www.nmc.org.uk/education/approved-programmes/ by selecting the relevant course type from the drop-down menu headed ‘Qualification’. In general these are, respectively:<br>• ‘Pre-registration nursing – Adult’<br>• ‘Pre-registration nursing – Child’<br>• ‘Pre-registration nursing – Learning Disabilities’<br>• ‘Pre-registration nursing – Mental Health’<br>In addition, the NMC website identifies six types of ‘Dual award – pre-registration nursing’ courses (for each possible combination of two of the four specialisms). Years of instance or course for students on such courses should also be included on Table 7, but split equally between the two nursing specialisms concerned. For example for a course identified on the NMC website as ‘Dual award – pre-registration nursing – mental health/child’, years of instance should be split equally on Table 7 between the categories ‘Nursing – children’ and ‘Nursing – mental health’.</td></tr>
<tr><td>Nursing – children</td></tr>
<tr><td>Nursing – learning disability</td></tr>
<tr><td>Nursing – mental health</td></tr>
<tr><td>Nursing – unclassified</td><td>NMC. In some cases, pre-registration nursing courses may share a common first year, during which students will choose their nursing specialism for later years of the course. Any such years of instance that cannot yet be assigned to one of the nursing specialisms above should be recorded under ‘Nursing – unclassified’. They must, however be part of a pre-registration course listed at www.nmc.org.uk/education/approved-programmes/ by selecting the relevant course type from the drop-down menu headed ‘Qualification’.</td></tr>
<tr><td>Midwifery</td><td>NMC. Relevant courses are those at English institutions listed at www.nmc.org.uk/education/approved-programmes/ by selecting ‘Pre-registration midwifery – Three-year programme – 18 month programme’ from the drop-down menu headed ‘Qualification’</td></tr>
<tr><td>Dietetics</td><td>Health and Care Professions Council (HCPC).<br>Relevant courses are those at English institutions listed at www.hcpc-uk.org/education/programmes/register/ by selecting ‘Dieticians’ from the drop-down menu under ‘Profession’.</td></tr>
<tr><td>Occupational therapy</td><td>HCPC. Relevant courses are those at English institutions listed at www.hcpc-uk.org/education/programmes/register/ by selecting ‘Occupational therapists’ from the listing under ‘Profession’.</td></tr>
<tr><td>Operating department practice</td><td>HCPC. Relevant courses are those at English institutions listed at www.hcpc-uk.org/education/programmes/register/ by selecting ‘Operating department practitioners’ from the listing under ‘Profession’.</td></tr>
</table>

**Section 2: Funding rules and definitions** – Annex L: Nursing, midwifery and allied health for Table 7

| **Pre-registration courses in** | **Leading to registration with** |
|---|---|
| Orthoptics | HCPC. Relevant courses are those at English institutions listed at www.hcpc-uk.org/education/programmes/register/ by selecting 'Orthoptists' from the listing under 'Profession'. |
| Orthotics and prosthetics | HCPC. Relevant courses are those at English institutions listed at www.hcpc-uk.org/education/programmes/register/ by selecting 'Prosthetists / Orthotists' from the listing under 'Profession'. |
| Physiotherapy | HCPC. Relevant courses are those at English institutions listed at www.hcpc-uk.org/education/programmes/register/ by selecting 'Physiotherapists' from the listing under 'Profession'. |
| Podiatry and chiropody | HCPC. Relevant courses are those at English institutions listed at www.hcpc-uk.org/education/programmes/register/ by selecting 'Chiropodists / podiatrists' from the listing under 'Profession'. |
| Radiography (diagnostic) | HCPC. Relevant courses are those at English institutions listed at www.hcpc-uk.org/education/programmes/register/ by selecting 'Radiographers' from the listing under 'Profession'. Institutions will then need to distinguish between the two types of radiography according to the aim and content of their particular courses. |
| Radiography (therapeutic) | |
| Speech and language therapy | HCPC. Relevant courses are those at English institutions listed at www.hcpc-uk.org/education/programmes/register/ by selecting 'Speech and language therapists' from the listing under 'Profession'. |
| Dental hygiene | General Dental Council (GDC).<br>Relevant courses are those at English institutions listed at www.gdc-uk.org/Dentalprofessionals/Education/Pages/Dental-therapist-qualifications.aspx. Institutions will then need to distinguish between the two types of programme reflecting the courses they offer and the qualification aim of their students. Where a student has a single aim for a qualification in dental hygiene, they should be recorded under dental hygiene. Otherwise, they should be recorded under dental therapy (including where they are aiming for qualifications in both dental hygiene and therapy). |
| Dental therapy | |

HESA note:

4. Students recorded on Table 7 should be separately identifiable on the HESA record using a combination of the HESA fields COURSEAIM and REGBODY.

   a. For COURSEAIM, the codes are M16, M26, M86, H16, H62, I16, J16, J26.

   b. For 2015-16, the REGBODY codes are 06, 32, 42, 44, 46, 47, 48, 50, 52, 53 and 55.

   c. For 2016-17 the REGBODY codes are 36, 37, 42, 44, 46, 47, 48, 50, 52, 55, 56, 57, 61, 62, 63, 64 and 65.

### Starters from 2016-17

5. In Table 7, the definition of 'Starters from 2016-17' is not the same as for 'new entrants' in Tables 5 and 6. Starters on Table 7 are students who receive an NHS bursary for the first time in 2016-17, in order to identify an equivalent 2016-17 population to that which will be affected by the changed finance arrangements for these courses from 2017-18. We may issue further guidance on this in the HESES and HEIFES surveys to reflect any further decisions, following the recent Department of Health consultation on how the changed finance arrangements might affect particular categories of student.

6. 'Starters from 2016-17' on Table 7 should:

   a. Include students who transfer in 2016-17 onto a pre-registration nursing, midwifery or allied health profession course from one that is not.

   b. Exclude students who transfer in 2016-17 between different types of pre-registration nursing, midwifery or allied health profession course in 2016-17, if their previous course started prior to 1 August 2016.

   c. Exclude students repeating the first year of a pre-registration nursing, midwifery or allied health profession course. Such students would, however, be included in the total population recorded on Table 7.

## Guidance

### Mode

7. On Table 7, students can be returned as full-time, part-time or sandwich year out, as defined in Annex H. However, sandwich year out students can only be entered for Dietetics. The vast majority of Table 7 students will undertake learning in the workplace, which can count towards full-time study and will therefore not meet the definition of sandwich year out. If you think that students on any other course meet the definition of sandwich year out, contact recurrentgrant@hefce.ac.uk. Starters from 2016-17 cannot be sandwich year out.

### Length

8. Years of instance can either be standard-length or long, as defined in **Annex J**. We do not generally expect years of instance for pre-registration courses to meet the definition of 'long', because periods of work-based study should not be counted in determining whether such years meet the minimum 45 week attendance requirement in the year. Postgraduate masters courses may be an exception to this.

# Annex M: List of abbreviations

| | |
|---|---|
| **APL** | Accredited prior learning |
| **CertEd** | Certificate in Education |
| **CertHE** | Certificate of Higher Education |
| **DipHE** | Diploma of Higher Education |
| **DSA** | Disabled Students' Allowance |
| **ELQ** | Equivalent or lower qualification |
| **EU** | European Union |
| **EYTS** | Early Years Teacher Status |
| **FHEQ** | Framework for Higher Education Qualifications in England, Wales and Northern Ireland |
| **FTE** | Full-time equivalence |
| **HE** | Higher education |
| **HEAPES** | Higher Education in Alternative Providers Early Statistics survey |
| **HEFCE** | Higher Education Funding Council for England |
| **HEIFES** | Higher Education in Further Education: Students Survey |
| **HESA** | Higher Education Statistics Agency |
| **HESES** | Higher Education Students Early Statistics Survey |
| **HNC** | Higher National Certificate |
| **HND** | Higher National Diploma |
| **INSET** | In-service education and training |
| **ITT** | Initial teacher training |
| **PG** | Postgraduate |
| **PGCE** | Postgraduate Certificate in Education or Professional Graduate Certificate in Education |
| **PGR** | Postgraduate research |
| **PGT** | Postgraduate taught |
| **QTS** | Qualified Teacher Status (HEFCE non-fundable) |
| **QTLS** | Qualified teacher learning and skills (HEFCE fundable) |
| **UCAS** | Formerly the Universities and Colleges Admissions Service |
| **UG** | Undergraduate |
| **UK NARIC** | UK National Recognition Information Centre |
| **UKPRN** | UK Provider Reference Number |

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References are to paragraph numbers in the text of the section indicated, or to the annex letter and paragraph numbers of references within **Section 2** of the guidance.

Note that some words and phrases are defined in the list of abbreviations at **Annex M**.


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