

# Cylchlythyr | Circular

## Higher Education Students Early Statistics Survey 2016/17

**Date:** 10 November 2016  
**Reference:** W16/40HE  
**To:** Heads of higher education institutions in Wales  
Principals of directly-funded further education colleges in Wales  
**Response by:** 15 December 2016 (whole survey)  
09 November 2016 (Table 2)  
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This circular requests institutions to return aggregated student data to enable HEFCW to have early indications of student numbers; monitor recruitment of students under the new fee regime; make estimates of fee grant costs; and inform the allocation of intake quotas to Centres of Teacher Education.

If you require this document in an alternative accessible format, please email [info@hefcw.ac.uk](mailto:info@hefcw.ac.uk).



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## **Introduction**

1. This circular requests institutions to return aggregated student data to enable the Higher Education Funding Council for Wales (HEFCW) to:
  - a) Have early indications of the number of students in the academic year 2016/17;
  - b) Make an estimate of the fee grant costs for the 2016/17 and 2017/18 academic years;
  - c) Inform the allocation of intake quotas to Centres of Teacher Education for 2017/18;
  - d) Enable special arrangements to apply for the Open University (OU) in Wales.
2. The 2016-17 revised remit letter from Welsh Government (WG) (available at [hefcw.ac.uk](http://hefcw.ac.uk), 'About Higher Education in Wales', 'Welsh Government priorities', 'Annual remit letter to HEFCW') included an allocation to HEFCW to address a number of issues including 'the development of investment in higher level apprenticeships'. As part of HEFCW's work on this, we will be gathering information relating to provision being delivered as part of higher level apprenticeships. We are not collecting data on HESES this year, but will be requesting information as part of a separate exercise relating to the remit letter requirements.

## **Main changes for 2016/17**

3. There have been a number of changes to the HESES survey since the 2015 survey. The main changes made since the HESES 2015 survey are:
  - a) Table 4, that collected information about Phase 2 of the Universities Heads of the Valleys Institute (UHOVI) scheme is no longer being collected, as the scheme has now come to an end and the provision has been mainstreamed;
  - b) Table 3, which previously collected data about home and EU fundable (FT) undergraduate (UG) and PGCE new entrants and students in their second to fourth year at the institution now also collects data about students in their fifth year at the institution. As well as the addition of a cohort to the table, the information requested has been reduced and only medicine and dentistry and initial teacher training (ITT) leading to qualified teacher status (QTS) provision are collected separately from other academic subject categories (ASCs). A split into home and EU fundable and home and EU non-fundable has been added to the table in order to capture any non-fundable students (other than those funded by the NHS) that are under the

new fee regime. See Annex H paragraphs 16 to 24 and Annex J paragraphs 18 and 19;

- c) The references to student support regulations have been updated in Annex D paragraph 1 and Annex F, paragraph 5;
- d) From 2016/17, further education institutions (FEIs) that are directly funded by HEFCW will return individualised higher education (HE) student data to the Higher Education Statistics Agency (HESA), and will not return these data on the WG Lifelong Learning Wales Record (LLWR). Therefore, references to HESA data throughout this circular for 2016/17 and the mapping from HESA to HESES contained in Annex J refer to both higher education institutions (HEIs) and HEFCW-funded FEIs;
- e) The definitions and criteria used in the extraction of data from the HESA student record for HEIs and FEIs have been updated to reflect any changes to the tables for 2016/17 and any updates to the HESA student record for 2016/17. See Annex J;
- f) Annex M, which outlines the use HEFCW makes of the data collected, has been updated to reflect the changes made to the survey tables.

## **Survey data**

- 4. HEIs and FEIs that are directly funded by HEFCW are requested to return numbers of all HE students. For FEIs, these are students registered on prescribed HE courses (see Annex B) for which HEFCW funding has been made available directly

## **Contents**

- 5. This circular provides:
  - a) Guidance and definitions for the various categories used to classify students;
  - b) Rules for counting registrations;
  - c) Details of the criteria we will use to extract data from the HESA student record for end of year monitoring and to get information collected on previous HESES surveys;
  - d) Details of the special arrangements for the OU in Wales;
  - e) Copies of the survey tables which will be distributed in Excel 2010 workbooks for institutions to complete and return.

6. The contents of the annexes are as follows:

Annex	Page number
Annex A	Summary guide to the HESES 2016/17 survey
Annex B	Definition of a recognised HE qualification
Annex C	Distance learning, campuses, subsidiaries, franchises and other collaborative arrangements
Annex D	Definition of residential and funding status
Annex E	Definition of ASCs and ITT (QTS) specialist subjects
Annex F	Definition of mode of study
Annex G	Definition of level of study
Annex H	Rules for counting registrations
Annex I	Table and column descriptions
Annex J	HESA/HESES mappings and end of year monitoring data extraction criteria
Annex K	Workbook notes
Annex L	Validation checks
Annex M	Usage of data by HEFCW
Annex N	Open University in Wales
Annex O	Funding status reference grid
Annex P	Sample copies of tables for completion by all institutions directly funded by HEFCW

## Return of data

- Institutions are required to notify student registrations for the whole year, apart from on Table 2 which collects ITT (QTS) registrations between 1 August 2016 and 1 November 2016 inclusive.
- The completed ITT (QTS) table (Table 2) should be returned by email to Rachael Clifford at [hestats@hefcw.ac.uk](mailto:hestats@hefcw.ac.uk) no later than **9 November 2016** and completed workbooks for the whole survey should be returned by e-mail to Rachael Clifford at [hestats@hefcw.ac.uk](mailto:hestats@hefcw.ac.uk) no later than **15 December 2016**.
- On Table 2, institutions with ITT (QTS) provision should return provision delivered at their institution only, and not provision for a whole Centre of Teacher Education. No other institutions are required to return Table 2 by 9 November 2016. The survey submitted on 15 December 2016 should include any Table 2 that has already been submitted.
- Institutions are encouraged to begin to prepare their returns well before the return date so that only final adjustments need to be made before dispatch of the completed returns.

11. It is important that the ITT (QTS) tables are returned on time so that information can be used by HEFCW in their calculations of intake targets for each Centre, and that these targets can be notified to institutions at the earliest possible opportunity. It should be noted that WG will be passed these data.
12. It is important that the whole survey return is made on time so that estimates of fee grant costs can be determined and so that early indications of numbers of students for 2016/17 are available, and to ensure that HEFCW has sufficient time to complete the checking process prior to sending out verifications for sign off.
13. We request that institutions **let us know as soon as possible**, and before the return dates of 9 November 2016 for ITT (QTS) information or 15 December 2016 for the whole survey, **if they envisage that they will have difficulty returning the required information or if they will have difficulty meeting the timetable** given in paragraph 14. **HEFCW reserves the right to enter its own estimates of student registrations and associated credit values for institutions which fail to return the survey on time or where data are considered to be of insufficient quality.**
14. When data are returned, they go through a validation and credibility checking process. Once any subsequent queries have been resolved, data are sent out to institutions for verification. The process will follow the timetable outlined below.

**Table 2:**

9 November 2016	Return deadline
11 November 2016	Verifications sent to institutions
21 November 2016	Verifications return deadline

**All HESES tables:**

15 December 2016	Return deadline
9 January 2017	Verifications sent to institutions
26 January 2017	Verifications return deadline

15. In the event of a deadline being missed by more than three working days, the head of the institution concerned will be emailed reminding them that HEFCW reserves the right to enter its own estimates of student registrations for institutions which fail to return the survey on time and indicating that HEFCW intends to do this if immediate action is not taken. Failure to return the data or verification report within two working days will result in a letter from the Chief Executive of HEFCW to the head of the institution stating the figures that will be used in place of the institution's own data.

16. Signed verifications should be returned by scanning them and emailing them to us. Scanned copies should be checked before returning them to us to ensure that the figures contained within the tables are legible. We will request a further copy if the figures in the tables are not legible. We do not require a hard copy of the signed verifications.
17. Each subsequent deadline should be met regardless of any delay in meeting the preceding deadline.
18. HESA and LLWR data used for per capita, premium and PGR funding purposes, that are extracted from 2015/16 records, are also sent to institutions, to confirm that the data have been correctly extracted by HEFCW. The process follows the timetable below

26 January 2017	HESA/LLWR confirmations sent to institutions
16 February 2017	HESA/LLWR confirmations return deadline

19. Institutions are reminded that data returned to HEFCW on the HESES survey, including methods used to calculate any estimates included in the returned figures, are in the scope of the HEFCW external data audit. The systems and processes used to generate HESES data are in the scope of the institution's internal audits.

#### **Further information**

20. Any queries should be directed to Rachael Clifford (telephone 029 2085 9721, email [hestats@hefcw.ac.uk](mailto:hestats@hefcw.ac.uk)).

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## Summary guide to the HESES 2016/17 survey

- 1 The HESES 2016/17 survey requests institutions to complete three tables. Not all institutions will return data in all tables. Table 1 is collected from all institutions; Table 2 only from those with full-time ITT (QTS) provision; and Table 3 only from those with FT UG/PGCE provision. Some additional information about credit values will be collected from the OU in Wales and this is described in more detail in paragraph 24 below.
- 2 This annex gives a summary of the information that needs to be returned and the definitions used. All survey data should be returned according to the guidance and criteria contained in Annexes B to O which provide further detail to the overview given here.

### HESES population

- 3 The following students should be **included** in the HESES survey:
  - Registered students (i.e. those that have a binding undertaking to pay a fee to an institution (unless the fee has been waived)).
  - Students aiming to obtain a recognised HE qualification.
  - Students studying for at least three per cent of a full-time equivalent or approximately one week of study.
  - Students based in the UK who are part of distance learning or franchise arrangements or who are based at campuses of the institution in the UK.
  - Outgoing exchange students.
  - Students on a year out or part of a year out as part of their course
- 4 Student who should be **excluded** from the HESES survey are:
  - Incoming exchange students.
  - Students whose only activity during the year is writing up a thesis or similar piece of work.
  - Students franchised in from other institutions.
  - Students franchised to institutions outside the UK.
  - Students at campuses outside the UK.
  - Students who are distance learning outside the UK.
  - Students whose provision is part of a validation arrangement only.
  - Students who are dormant for the whole year.

### Old and new tuition fee regime

- 5 In this document, old and new tuition fee regimes are referred to. The new fee regime came into effect in 2012 for new FT UG/PGCE students. Under the new fee regime, where an approved fee plan is in place, institutions can charge students a tuition fee of up to £9,000 per year. Under the old fee regime, in 2011/12, a fee of up to £3,375 could be charged. The fees of up to £9,000 have

replaced most of the funding that HEFCW used to allocate using data relating to FT UG/PGCE students.

### **Distance learning, campuses, franchises and other collaborative arrangements**

- 6 Institutions are responsible for returning HESES data for all their distance learning, campus and franchised out provision in the UK. Distance learning provision outside the UK and provision delivered at campuses or partners outside the UK should be excluded from the HESES return. For HEIs, such provision will be included on the HESA aggregate offshore record.
- 7 Definitions used in this circular to return data, defined more fully in Annex C, are:
  - **Distance learning:** distance learning students are those that are students of the reporting institution, where staff employed by the reporting institution are responsible for providing all teaching or supervision, but who are located away from the reporting institution and are not part of a franchising or other collaborative arrangement with another institution or organisation. Such students should be counted in the same way as other students who are based at the reporting institution, though categorisation into fundability status depends on the location of the student.
  - **Campuses:** Students based at campuses other than the main campus(es) should be counted in the same way as students at the main campus(es) though categorisation into fundability status depends on the location of the campus.
  - **Franchise:** this refers to an HE course taught under a sub-contractual agreement at an institution (the franchisee) which is not directly in receipt of funding from HEFCW for that course, for which quality assurance is provided by another Welsh institution (the franchisor) and for which funding is passed to the franchisee by the franchisor in order to provide the taught course. Students should be registered as students of the franchisor and this can be by registering for the course at the franchisor or franchisee institution. For FT UG courses, funding may be in the form of the tuition fee which could either be provided directly to the franchisee or passed to the franchisee by the franchisor. In all cases the franchisor will return student related data to HESA and HEFCW on behalf of the franchisee.

A franchise can be with publicly funded or non-publicly funded institutions in Wales or in the rest of the UK. Whether the franchisee institution is publicly funded or not and the location of the franchisee institution affect the categorisation of students into fundability status.



Where a student is franchised out for only part of the year, they should be returned as a franchised out registration if the majority of their provision for the year is franchised out.

- **Other collaborative arrangements:** If students are on courses which are run jointly by two or more institutions, where activity takes place at both or all institutions, which are not the subject of a franchising or validating arrangement, they should be counted by each institution in proportion to the number of credits associated with delivery at that institution.

Students taught as part of other collaborative arrangements, where no activity takes place at the returning institution, with institutions or organisations in or outside Wales, not owned by the Welsh HEI, that are not franchising arrangements, are not in the HESES population. These may be, for example, partnerships with non-publicly funded colleges where the institution provides quality assurance or validating arrangements only and does not provide any funding to that college.

A validating arrangement is where a university is responsible for the academic standards and quality of a programme which is monitored alongside its own programmes, but the partner develops, delivers and assesses the programme leading to a university award.

### **Mergers and wholly owned subsidiary bodies**

- 8 Merged institutions must make one return to HESES only. Where institutions merge and form a group so that some institutions are subsidiaries of another institution (the 'parent') then the parent institution will make one return to the HESES survey that includes all the relevant group provision. This will be the case whether or not the subsidiaries are legal entities in their own right. Wholly owned subsidiaries are considered to be campuses of the parent institution for the purposes of this survey.
- 9 Interim arrangements for merged institutions can be agreed with HEFCW for the first year of reporting to facilitate the return of data, for example, HEFCW can provide a breakdown of any comparative data into the pre-merged institutions.

### **Residential and funding status**

- 10 Students are categorised into three types of residential and funding status, home and EU fundable, home and EU non-fundable and Island and overseas. Home and EU students are those with UK or EU residency or who are otherwise entitled to pay home fees as set out in the fees regulations (Annex D gives more details). The three definitions are summarised below. In referring to funding for a student place, for all categories of student, this would be funding for course costs that are not covered by the tuition fee. For FT UG/PGCE

students under the new regime, the source of the tuition fee is also taken into account.

- **Home and EU fundable:** a home and EU student would be fundable by HEFCW unless the student's place receives funding from other sources or for new regime students, if the tuition fee is paid for by a public source other than HEFCW. A fundable student would be included in funding calculations carried out by HEFCW as appropriate.
- **Home and EU non-fundable:** if a home and EU student's place is funded from sources other than HEFCW, or for new regime students, if the tuition fee is paid from a public source, for example, the NHS, WG or the Welsh European Funding Office (WEFO), the student would be returned as non-fundable. A student would also be returned as non-fundable if the course they are on is run only for a particular group of students and is not open to anyone who is suitable qualified to apply (referred to as a 'closed' course).

There are also conditions on location of provision which, if not met, mean that home and EU students are returned as non-fundable. Home and EU students franchised to non-publicly funded institutions in the UK or publicly funded institutions that are outside Wales within the UK should be returned as non-fundable unless agreement has been made with HEFCW that Welsh domiciled students on these courses can be returned as fundable.

Home and EU distance learning students where the student is based outside Wales within the UK, and the student is not Welsh-domiciled, should be returned as non-fundable.

Home and EU students at campuses outside Wales within the UK should be returned as non-fundable unless they are Welsh domiciled.

- **Island and overseas:** these are students who are domiciled outside the EU, including students from the Isle of Man and the Channel Islands.

- 11 Annex O contains a grid which provides a look up to aid categorisation into fundability status.

### **Academic subject categories and ITT (QTS) specialist subjects**

- 12 On Table 3, registrations are split into academic subject categories (ASCs). These are based on the JACS code of the course. Registrations can be split between ASCs except for full-time undergraduate medicine and dentistry registrations and full-time ITT (QTS) registrations which must only be returned in ASCs 1 and 11a respectively. Annex E gives more detail and the mapping from JACS codes to ASCs.

- 13 On Table 2, students studying secondary education ITT (QTS) courses are split by specialist subject. If a course is joint between subjects and the Centre of Teacher Education that the institution belongs to has intake targets in both subjects, then registrations should be split between the two specialist subjects. If a course is such that it is in a specialist subject with another subject that is not a specialism, then registrations should be returned wholly against the specialist subject.

### Mode of Study

- 14 The mode of study of a student is determined by how much time they spend studying, whether the student is charged a certain level of fee and whether or not they are on a year out as part of their course. Annex F gives the full definition. There are three modes of study:
- **Full-time:** a full-time student is normally required to attend (whether at premises of the establishment or otherwise) for periods of a minimum of 24 weeks; **and** a whole full-time fee is chargeable for the current year of the programme of study (which will be a regulated fee for home and EU UG/PGCE students of £9,000 or £3,465 depending on whether they are in the new or old regime respectively).

An exception to this is if the student is in the final year of a full-time course in which they attend for less than 24 weeks in which case it may be that a whole fee is not charged;

- **Full-time sandwich year out:** for a student to be classified as sandwich year out, their course should fit the definition of sandwich provided in Part 1 (2)(6) of The Education (Student Support) (Wales) Regulations 2015 (SI 2015 No. 54) as amended in The Education (Student Support) (Wales) (Amendment) Regulations 2015 (SI 2015 No. 173) and The Education (Student Support) (Wales) (Amendment) Regulations 2016 (SI 2016 No. 77), or they should be full-time on a study or placement year abroad. In addition, the fees chargeable are, for those under the old regime, approximately half the whole full-time fees, and for those under the new regime, regulated fees of £1,800 for a work placement year of a sandwich course and £1,350 for a year studying abroad or on an Erasmus+ work placement abroad.

If a student follows the same pattern of study as other students on a sandwich year out on their course and would be considered to be on a sandwich year out other than that they are an Island and overseas student and are therefore not subject to regulated fees, then they should be counted as sandwich year out;

- **Part-time:** any student not classified as full-time or full-time sandwich year out should be classified as part-time on the survey.

## Level of Study

- 15 The level of study of a student is determined by the qualification they are aiming for. Recognised HE qualifications are defined in Annex B. There are four levels of study defined: undergraduate non-degree; undergraduate degree; postgraduate taught; and postgraduate research, some of which are further split into franchised out and non-franchised out in the returned data:
- **Undergraduate non-degree:** all undergraduate level courses which lead to a qualification other than a first degree. For example, foundation degrees, HNCs and qualifications leading to certificates for the teaching of further education are non-degree courses.
  - **Undergraduate degree:** undergraduate degree students are those aiming for a first degree. This includes degree courses with an integrated Master's year or an integrated foundation year.
  - **Postgraduate taught:** postgraduate taught courses are those which require as a normal condition of entry that entrants be already qualified at degree level. Those courses that are mainly taught even though part of the course may include a dissertation are included as postgraduate taught. PGCE courses leading to QTS are included.
  - **Postgraduate research:** These are postgraduate courses that are mainly research.
- 16 Full definitions are given in Annex G.

## Completion status

- 17 On Tables 1 and 3 of the survey, only completed or partially completed registrations are counted and non-completions are excluded. Completion status is determined on a year of study basis, not on a course basis. Completion status is defined as follows:
- **Non-completions** are where students do not complete their studies due to withdrawal or dropout, or fail to take part in required assessment procedures for the year.
  - **Completions** are all eligible students who are registered or expected to register within the academic year minus those who are expected to not complete. Any transfers between ASCs, modes or levels of study should be included.
  - **Partial completions:** some full-time and sandwich students on taught courses that are non-completions can be counted as 0.5 of a completion if they meet certain criteria. If the course is semesterised, this is that the first semester is completed and if the course is not semesterised, that the first four months are completed. The exact criteria can be found in paragraph 15 of Annex H.

## Estimation

- 18 As the survey is carried out in-year, the number of students registered or expected to register that will not complete will have to be estimated. In general, estimates should be based on the proportion of non-completions in the previous year or years, or for new provision, information about similar provision in the first year of delivery. However, other methods may be used if institutions believe these would provide more accurate estimates. Institutions must keep auditable evidence of the basis of their estimates.

## **New entrants**

- 19 New entrants are collected on Table 2 for ITT (QTS) students and on Table 3 for FT UG/PGCE students.
- **ITT (QTS) students** – this is students in their first year of the programme of study, collected for those at the institution between 1 August and 1 November inclusive. This excludes students resitting the first year of the course and students entering into the second or a further year of the programme of study.
  - **FT UG/PGCE students** – the definition includes those students who start at the institution in the academic year, regardless of the year of programme they start on.
- 20 Table 3 also collects numbers of students in other years at the institution. In each case, the year refers to the year of the student at the institution, regardless of the year of the programme of study that they are on.

## **Table descriptions**

- 21 **Table 1** collects data about all countable registrations, by mode and level of study, including a split of the undergraduate levels of study into franchised out and non-franchised out. There are columns for home and EU fundable, home and EU non-fundable and Island and overseas students. This table aims to have a complete in-year picture of the expected provision at an institution for the year. Data can be returned to one decimal place where full-time taught partial completions are included as 0.5 of a completion.
- 22 **Table 2** collects data about full-time FT UG/PGCE new entrant registrations on ITT (QTS) courses for each institution delivering such courses. Data are collected by phase of study (primary or secondary) and by specialist subject for the secondary phase. Registrations are split into UG and PGCE provision. Data are used to inform intake targets for Centres of Teacher Education in each phase and specialist subject. Data are returned as whole numbers or to the nearest 0.5 if a course includes two specialist subjects.
- 23 **Table 3** collects information about FT UG/PGCE students in their first, second, third, fourth or fifth year at the institution. These are the students that will be under the new fee regime introduced in 2012/13 whereby FT UG/PGCE

students can be charged up to £9,000 per year. Data are collected by level of study (undergraduate and PGCE (QTS)), ASC group and by whether the provision is fundable or not. Data are further split into Welsh/EU residential status and other home residential status in order to reflect the different arrangements for tuition fee support for the two groups. There are five sub-tables, one for each year at the institution. Data can be returned to one decimal place where partial completions are included as 0.5 of a completion.

### **The OU in Wales**

- 24 The OU in Wales is the only institution in Wales that has only part-time provision. In addition, a large proportion of its provision follows a non-standard academic year (i.e. years of study are not contained within 1 August to 31 July). Therefore, there are special arrangements in place for data collection. Part-time credit value data that were collected on previous HESES surveys will continue to be collected for the OU in Wales to monitor changes in their provision and to inform and monitor funding allocations. Further guidance that relates to the OU in Wales is included at Annex N.

### **HESA data**

- 25 Annex J gives the criteria by which HEFCW will extract data from the HESA student record for HEIs. Much of the data collected on previous HESES surveys are now extracted from the HESA student record, along with end of year monitoring data and so particular attention should be given to the fields described in the annex.

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**Definition of a recognised HE qualification**

- 1 A recognised HE qualification is one which is awarded on the successful completion of a prescribed course of HE. Such qualifications include any postgraduate or undergraduate degree, including foundation degree, accredited HE diploma or HE certificate, including HND and HNC. Other professional or vocational qualifications may be included provided they are generally recognised as HE qualifications. Such qualifications, for example, college certificates, should only be included if they are validated by the University of Wales, the University of Wales Trinity Saint David, the University of South Wales, Cardiff University, the Open University, Swansea University, Bangor University, Aberystwyth University, Cardiff Metropolitan University, Wrexham Glyndŵr University or are included (or awaiting inclusion) within the Qualifications and Credit Framework (QCF).
- 2 Courses, modules or units which enable credit to be obtained towards recognised HE qualifications (as defined above) also fall within the definition of recognised HE courses for the purpose of this survey. This includes programmes or individual courses which include foundation study as an integral part of a longer programme which leads to, or provides credit towards, a recognised HE award, provided the student has registered for the longer programme.
- 3 For FEIs, only those HE qualifications included in the FEI's portfolio of courses, as agreed with HEFCW, are recognised.

### **Distance learning, campuses, subsidiaries, franchises and other collaborative arrangements**

- 1 Distance learning provision that takes place in the UK, and provision at campuses, wholly owned subsidiaries and franchises that are within the UK should be returned on the HESES survey. Provision that takes place outside the UK is not included in the coverage of the HESES survey but for HEIs will be included in HESA's aggregate offshore record. Students on study or placement years or part years abroad as part of their course are treated as if their provision is where they normally study when they are not abroad for the purposes of returning data.
- 2 Where institutions are not clear about how to return students based outside Wales or provision that is part of a franchising or other collaborative arrangement, they should contact HEFCW for further guidance.
- 3 A reference grid which provides a look up to help categorise students by fundability status based on their location of study is at Annex O.

### **Distance learning students**

- 4 Distance learning students are those that are students of the reporting institution, where staff employed by the reporting institution are responsible for providing all teaching or supervision, but who are located away from the reporting institution and are not part of a franchising or other collaborative arrangement with another institution or organisation. Such students should be counted in the same way as other students who are based at the reporting institution, though categorisation into fundability status depends on the location of the student.
- 5 If the student is home and EU and is located within Wales, or is Welsh domiciled and located outside Wales within the UK, then the student can be returned as home and EU fundable, provided they fit the other criteria to be fundable given in Annex D. Home and EU students located outside Wales within the UK that are not Welsh domiciled should be returned as home and EU non-fundable.
- 6 If a student located outside Wales regularly travels to a campus of the institution, or other premises owned or hired by the institution, that is located in Wales for lectures, tutorials or other teaching or academic requirements, and this makes up the majority of activity for the year being returned, then it is likely that the student is not a distance learning student for that year. If the student spends the majority of the year being returned away from the institution and most academic activity takes place by online or postal correspondence, then the student should be considered to be a distance learning student for that year.



- 7 Distance learning that takes place outside the UK is excluded from the main HESES population and should not be returned on the survey. For HEIs, data relating to these students will be returned on the HESA aggregate offshore record.
- 8 A year out as part of a sandwich course, exchange scheme or other placement scheme should not be considered to be distance learning. In these cases, the student should be considered to be attending the place of study normally attended when not on their year out in order to determine their fundability status.

## **Campuses**

### Campuses based in Wales

- 9 Students based at campuses in Wales should be returned as home and EU fundable, home and EU non-fundable or Island and overseas as appropriate.

### Campuses based outside Wales in the UK

- 10 Where an institution has a campus outside Wales, but in the UK, only home and EU students based at that campus that are Welsh domiciled should be returned as fundable, provided they fit the criteria to be fundable in Annex D. Other students at the campus should be returned as home and EU non-fundable or Island and overseas as appropriate. If a non-Welsh domiciled home and EU student is based at both a campus of the institution in Wales and a campus outside Wales within the UK, then in the year of return, they should only be returned as fundable if they spend the majority of their time at the campus in Wales.

### Campuses based outside the UK

- 11 Provision at campuses outside the UK is not included in the HESES population, however, such provision should be included by HEIs on the HESA aggregate offshore record.

## **Wholly owned subsidiary bodies**

- 12 Institutions may consist of one legal entity or have a group structure where one or more institutions are wholly owned subsidiaries of a 'parent' institution that are each legal entities in their own right.
- 13 Wholly owned subsidiaries are considered to be campuses of the parent institution for the purposes of this survey.

## **Franchises**

- 14 The term 'franchise' refers to an HE course taught under a sub-contractual arrangement at an institution (the franchisee) which is not directly in receipt of funding from HEFCW for that course, for which quality assurance is provided by

another Welsh institution (the franchisor) and for which funding is passed to the franchisee by the franchisor in order to provide the taught course. Students should be registered as students of the franchisor and this can be by registering for the course at the franchisor or franchisee institution. For FT UG courses, funding may be in the form of the tuition fee which could either be provided directly to the franchisee or passed to the franchisee by the franchisor.

- 15 Data relating to students taught on the basis of a franchise agreement, referred to as 'franchised out' students, should be included in any data returns by the franchisor on behalf of the franchisee. Undergraduate franchised out assumed completed registrations are categorised separately in Table 1.
- 16 If students are part of a franchise arrangement and the franchisee delivers the provision through distance learning, the guidance for franchise arrangements should be followed first and then the guidance relating to distance learning arrangements should be followed in categorising students by fundability status.

#### Franchises based in Wales

- 17 If the franchisee is in Wales and is a publicly funded institution (i.e. is an HEI or FEI in receipt of funding council or government funding) then the franchised out students should be included in the HESES return by the franchisor. The students will be included as home and EU fundable or non-fundable or Island and overseas as appropriate according to the definitions in Annex D.
- 18 If the franchise arrangement is with a non-publicly funded institution in Wales, then any student data should be returned as home and EU non-fundable or Island and overseas on the HESES return. Institutions may only return data relating to Welsh domiciled students franchised to non-publicly funded institutions in Wales as home and EU fundable if HEFCW has been notified of the courses these students are on and has agreed that they should be fundable. Details of how to go about getting this agreement are in paragraphs 25 and 26 below.

#### Franchises based outside Wales within the UK

- 19 If the franchise arrangement is outside Wales within the UK with a publicly or non-publicly funded institution, then any student data should be returned as home and EU non-fundable or Island and overseas on the HESES return. Institutions may only return data relating to Welsh domiciled students franchised to institutions outside Wales as fundable if HEFCW has been notified of the courses these students are on and has agreed that they should be fundable. Details of how to go about getting this agreement are in paragraphs 25 and 26 below.

#### Franchises outside the UK

- 20 Data relating to franchises outside the UK should not be returned on the HESES survey, however, such provision should be included by HEIs on the HESA aggregate offshore record.

### Partial franchises

- 21 Where students are part of franchise arrangement where they are only franchised out for part of the year, they should be returned as franchised out if the majority of their provision for the year is franchised out, otherwise they should be returned as non-franchised out. In analysing HESA data we will make a more detailed split of provision that is wholly or partially franchised out for both registrations and credit values. More details are in Annex J, paragraphs 21, 22 and 36.

### **Other collaborative arrangements**

- 22 If students are on courses which are run jointly by two or more Welsh institutions, where activity takes place at both or all institutions, which are not the subject of a franchising or validating arrangement, they should be counted by each institution in proportion to the number of credits associated with delivery at each institution. If the course is run jointly between a Welsh institution and an institution outside Wales, then only the provision delivered at the Welsh institution should be returned by the Welsh institution.
- 23 Students taught as part of other collaborative arrangements, where no activity takes place at the returning institution, with institutions or organisations in or outside Wales, not owned by the Welsh HEI, that are not franchising arrangements, are not in the HESES population. These may be, for example, partnerships with non-publicly funded or publicly funded colleges where the institution provides quality assurance or validating arrangements only and does not provide any funding to that college. If institutions have students that are returned on the HESA student record, but do not fit the criteria to be in the HESES population, they should contact HEFCW to be certain that they are not being excluded from HESES in error.
- 24 A validating arrangement is where a university is responsible for the academic standards and quality of a programme which is monitored alongside its own programmes, but the partner develops, delivers and assesses the programme leading to a university award.

### **Approval to count students as fundable**

- 25 Where institutions wish to seek approval to return data related to Welsh domiciled students franchised to institutions outside Wales within the UK or to non-publicly funded institutions within the UK as fundable, they should submit evidence outlining why they think the provision should be fundable, including:
- Details of any franchise arrangement, for example, the organisation franchised to, and if it is with a non-publicly funded institution, why it is with that particular institution and not a publicly funded institution.
  - If there are other partners involved, why funding is not available from elsewhere.

- If the provision is bespoke provision for a particular partner, how the course is run so that it is not a closed course run just for that partner.
- The numbers and credits involved by mode, level and domicile.
- Any other relevant information to support the provision being HEFCW-fundable.

26 The request should be submitted to Hannah Falvey at [hestats@hefcw.ac.uk](mailto:hestats@hefcw.ac.uk). Submissions will be considered by HEFCW's Funding Group at the earliest opportunity. Note that any provision submitted for approval should only be returned as fundable on HESES if confirmation has been received from HEFCW.

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## Definition of residential and funding status

### Home and EU students

- 1 Home and EU students are those domiciled in the UK or EU (excluding those domiciled in the Channel Islands or the Isle of Man) or who are otherwise entitled to pay home fees, as defined in the Education (Fees and Awards) (Wales) Regulations 2007 (SI 2007 No. 2310), as amended by the Student Fees (Qualifying Courses and Persons) (Wales) Regulations 2011 (SI 2011 No. 691) and the Education (Student Fees, Awards, Qualifying Courses and Persons) (Wales) Regulations 2013 (SI 2013 No. 1792); or are eligible to pay home fees (qualifying persons for the purposes of section 5 of the Higher Education (Wales) Act 2015) as defined in the Higher Education (Qualifying Courses, Qualifying Persons and Supplementary Provision) (Wales) Regulations 2015 (SI 2015 No. 1484), as amended by the Higher Education (Qualifying Courses, Qualifying Persons and Supplementary Provision) (Wales) (Amendment) Regulations 2016 (SI 2016 No. 276).
- 2 The above regulations and amendments can be found on the National Archives UK legislation website, [www.legislation.gov.uk](http://www.legislation.gov.uk), under 'Browse Legislation', 'Wales Statutory Instruments'.
- 3 Where reference is made to total home and EU students, this relates to the sum of those fundable and non-fundable as defined in paragraphs 6 and 7 below. 'HEFCW funding' referred to below does not include funding for special initiatives or schemes even if the funding is administered and paid to institutions by HEFCW.
- 4 In referring to funding for a student place below we mean funding for course costs that are not covered by the tuition fee. For the purposes of the guidance below, bodies such as WG, NHS and the Home Office, where providing funding for places on a course that is run to train people that work in that body and the whole course or a large proportion of the course is funded by the body, would be considered to be a public body and not an employer. If an individual were to be employed by a body that would be considered a public body, and the body were to pay for the individual's place on a course then it would be considered to be the employer and the place would be considered to be funded by the student's employer. For home and EU FT UG/PGCE students under the new tuition fee regime, the source of the tuition fee payment is also taken into account when determining fundability status (see paragraph 7e below).
- 5 A reference grid which provides a look up to help categorise students by fundability status is at Annex O.

### **Eligible for HEFCW funding – home and EU fundable**

- 6 Home and EU students are eligible for HEFCW funding unless their place is considered ineligible as described in paragraph 7 below. Where a course is self-financing (i.e. the course is financed by a particular employer or organisation) but open (i.e. other candidates who are suitably qualified may be enrolled), then any additional students that the finance does not cover may be returned as eligible for HEFCW funding.

### **Ineligible for HEFCW funding – home and EU non-fundable**

- 7 Home and EU students ineligible for HEFCW funding are those who may pay a home fee but whose place is not considered eligible for any available HEFCW funding (for example, per capita funding). Students should be considered non-fundable where any of the following apply:

#### Based on location of the student:

- a) The student is based at a campus outside Wales within the UK or is distance learning outside Wales within the UK, and the student is not Welsh domiciled;
- b) The student is part of a franchise based outside Wales within the UK, or a franchise with a non-publicly funded institution, unless the student is Welsh domiciled and HEFCW has agreed that the provision is fundable;

#### Based on the funding source:

- c) The student place is on a self-financing course that is closed, i.e. the course is not open to any suitably qualified candidate, for example, courses specifically for particular employers;
- d) The student place is funded by the Welsh European Funding Office (WEFO) through the European Social Fund's Knowledge Economy Skills Scholarships which are part of the Higher Skills Wales programme;
- e) Funding for the student place, or for FT UG/PGCE new-regime students, the tuition fee, is paid from a public source and not directly by the student (via loan/grant or, for example, themselves, their employer or other private source). For example, WG, NHS, Home Office;
- f) For part-time and PGT and old-regime FT UG students, if the student place is funded from private sources;

Based on alignment with research funding criteria:

- g) The students are postgraduate research students who are not in 2014 REF units of assessment (UoAs) included in the QR funding model for 2016/17. These are those UoAs that have at least 3 classified FTE Category A staff and meet a combined volume and quality threshold. Details of the UoAs included in the QR funding model for each institution can be found in Annex C of HEFCW circular W16/16HE 'HEFCW's Funding Allocations 2016/17'.

**Island and overseas students**

- 8 Island and overseas students are those domiciled outside the UK or EU, or resident in the Channel Islands or the Isle of Man, who are not entitled to pay a home fee.

### **Definition of ASCs and ITT (QTS) specialist subjects**

- 1 JACS subject codes are used to assign ASCs. The next page shows a mapping from JACS code to ASCs. The guidance given in paragraphs 2 to 5 should be used to assign registrations to ASCs.



ASC	Name	JACS Subject Codes	JACS Description
1	Clinical and Pre-clinical/non-clinical Subjects* 1a  1b 1c  1d	All A codes	Pre-clinical/non-clinical Medicine Clinical Medicine Pre-clinical/non-clinical Dentistry Clinical Dentistry
2	Subjects and Professions Allied to Medicine	B codes excluding: B2  L5 codes	Subjects Allied to Medicine (excluding Pharmacology, Toxicology and Pharmacy) Social Work
3	Science	All F codes All C codes All D codes  B2 codes	Physical Sciences Biological Sciences Agriculture and Related Subjects Pharmacology, Toxicology and Pharmacy
4	Engineering and Technology	All H codes All J codes	Engineering Technologies
5	Built Environment	All K codes	Architecture, Building and Planning
6	Mathematical Sciences, IT and Computing	All G codes All I codes L140	Mathematical Sciences Computer Sciences Econometrics
7	Business and Management	All N codes	Business and Administrative Studies
8	Social Sciences	All L codes excluding: L5, L140  All M codes	Social Studies (excluding Social Work and Econometrics) Law
9	Humanities	All P codes  All Q codes  All R and T codes  All V codes  W8	Mass Communications and Documentation Linguistics, Classics and Related Subjects Languages and Related Subjects Historical and Philosophical Studies Imaginative Writing
10	Art, Design and Performing Arts	All W codes excluding: W8	Creative Arts and Design (excluding Imaginative Writing)
11	Education* 11a ITT (QTS) 11b Non-QTS	Any ITT leading to QTS All X Codes	Any ITT leading to QTS Education

\*split into sub-categories.

## **Apportionment of student registrations between ASCs**

- 2 The distribution of student registrations between ASC groups on Table 3 depends on the assigned subject of qualification aim, with the following exceptions:

### *Initial Teacher Training*

- 3 All undergraduate and postgraduate taught registrations on full-time ITT courses leading to QTS must be wholly assigned to ASC 11a (Education ITT (QTS)) irrespective of their JACS codes. ASC 11a should contain all and only those students on courses of ITT for primary or secondary teachers which lead to QTS upon successful completion. Courses of ITT for teachers in adult and further education and in-service training for teachers should be recorded under ASC 11b (Education non-QTS). See also paragraph 7 below.

### *Medicine and Dentistry*

- 4 All full-time undergraduate registrations on courses in medicine and dentistry (including those on intercalated years) must be wholly assigned to ASC 1, irrespective of their JACS codes. Courses other than medicine or dentistry should not be assigned to ASC 1, either in part or in whole.

### *Major/Minor or Balanced combinations*

- 5 Where JACS codes indicate a major/minor or balanced combination of subjects split between two or more ASCs, the students should be allocated to the ASCs pro rata to the notional subject weightings and the resulting numbers must be rounded to whole numbers or to 0.5 where partial completions are included (see Annex H, paragraph 15) which, in total, show the correct number of completed student registrations.

## **ITT (QTS) secondary education specialist subjects**

- 6 Each year, the Welsh Government assign intake targets for ITT (QTS) to different phases (primary and secondary), modes of study (undergraduate degree and PGCE) and, for secondary education, specialist subjects. The specialist subjects for 2016/17 are listed in Table 2 in Annex P. Centres of Teacher Education have been informed of their intake targets in HEFCW circulars [W16/01HE](#) (secondary intake targets 2016/17) and [W15/30HE](#) (primary intake targets 2016/17).
- 7 For registrations in secondary education, if a course is joint between specialist subjects, and the Centre of Teacher Education that the institution belongs to has intake targets in both subjects, then registrations should be split between the two specialisms and counted as 0.5 in each specialism. If a course is such that it is in a specialist subject with another subject that is not a specialism, then registrations on that course should be returned wholly against the specialist

subject. If there is no split into two specialist subjects, then registrations must be returned as whole numbers.

## Definition of mode of study

### Full-time

- 1 Students are classified as registered for full-time study if:
  - a) they are normally required to attend (whether at premises of the establishment or otherwise) for periods of a minimum of 24 weeks; **and**
  - b) a whole full-time fee is chargeable for the current year of the programme of study (which will be a regulated fee for home and EU UG/PGCE students); **or**
  - c) they are in the final year of a full-time course in which they attend for less than 24 weeks.
- 2 Full-time regulated fees for home and EU UG/PGCE students are:
  - a) Regulated fees of up to £9,000 for undergraduates and PGCE (QTS) students who started after 1 September 2012;
  - b) Regulated fees of up to £3,465 for undergraduates and PGCE (QTS) students who started before 1 September 2012.
- 3 Full-time students will normally be studying for a qualification at the credit value rate shown below, i.e. studying for the number of credit values for their qualification over the time period specified for a full-time student. Exceptions to this will be where a student repeats a year of study or part of a year of study where a student has not progressed to the next year of study. Where students repeat a year on a full-time or part-time basis, the length of the course is effectively increased and the number of credit values increases accordingly.

Qualification	Credit Values	Normal duration if full-time
Professional doctorate	540	3 years
First degree with integrated Master's	480	4 years
First degree with integrated foundation year	360 for the degree element plus up to 120 for the foundation year	4 years
First degree, plus sandwich or other year out	480 (year out included as 120 credits)	4 years (including 1 sandwich or other year out)
First degree	360	3 years

Foundation degree (with conversion module(s))	240 (+36)	2 years (+ duration of module)
HND	240	2 years
HNC	150	1 year
Master's degree with dissertation	180	1 year (whole 12 months)
Cert HE	120	1 year
Postgraduate diploma	120	1 year
PGCE	120	1 year
Most minor qualifications	60	6 months

- 4 This includes all full-time, sandwich, placement, study and language year abroad students other than those falling within the definition of full-time sandwich year out below.

### **Full-time sandwich year out**

- 5 Students are classified as registered for sandwich year out study if all of the following apply:
- a) they are pursuing studies where their course falls within the definition of sandwich provided in Part 1 (2)(6) of The Education (Student Support) (Wales) Regulations 2015 (SI 2015 No. 54) as amended in The Education (Student Support) (Wales) (Amendment) Regulations 2015 (SI 2015 No. 173) and The Education (Student Support) (Wales) (Amendment) Regulations 2016 (SI 2016 No. 77), or they are full-time on a study or placement year abroad; and
  - b) for home and EU students, the fees chargeable are:
    - for those students under the old fee regime that started before 1 September 2012, a regulated fee of approximately half the whole full-time fees that would otherwise be charged if the student were classified as full-time;
    - for those students starting after 1 September 2012 who are under the new fee regime, the fees for sandwich years out and study or placement years abroad:
      - Regulated fees of up to £1,350 for undergraduates who started after 1 September 2012 on courses provided in conjunction with overseas institutions (whether or not taken under the Erasmus+ programme), where study at the home institution is for less than 10 weeks.
      - Regulated fees of up to £1,800 for undergraduates who started after 1 September 2012 on sandwich years out that are not

Erasmus+ years abroad where study at the home institution is for less than 10 weeks.

- 6 If a student follows the same pattern of study as other students on a sandwich year out on their course and would be considered to be on a sandwich year out other than that they are an Island and overseas student and are therefore not subject to regulated fees, then they should be counted as sandwich year out.

**Part-time**

- 7 Students are classified as registered for part-time study if they do not meet the requirements to be either full-time or full-time sandwich year out.

## Definition of level of study

### Undergraduate degree

- 1 Undergraduate degree students are those aiming for a first degree. This includes integrated degree/Master's courses or degree courses that have an integrated foundation year. In both cases the activity should be classified as undergraduate degree in every year of the course including the Master's and foundation years respectively.

### Undergraduate non-degree

- 2 Undergraduate non-degree is defined as all undergraduate level courses which lead to a qualification other than a first degree. In general, such courses will be the equivalent of up to two years' full-time study, but the length of the course is not a defining factor when classifying courses as degree or non-degree. The relevant factor is whether the course enables the student to achieve a first degree or some other qualification - it is the latter which are classified as non-degree. Students on all programmes below first degree level should be classified as undergraduate non-degree even if the title of the qualification includes the word 'degree'. In particular, foundation degrees should be classified as non-degree.
- 3 Both full-time and part-time courses leading to certificates for the teaching of further education, returned in ASC 11b, should be treated as undergraduate courses regardless of the course or qualification aim returned to HESA or on the LLWR.

### Postgraduate

- 4 Postgraduate students are those on courses which require as a normal condition of entry that entrants be already qualified at degree level. There are two groups of postgraduate, postgraduate taught and postgraduate research.

#### *Postgraduate Taught*

- 5 Postgraduate taught students are those attending courses which are mainly taught even though part of the course may include a dissertation. It includes all students on postgraduate degrees which are not mainly by research.
- 6 PGCE courses are to be included as taught postgraduate courses provided that they lead to QTS.

### *Postgraduate Research*

- 7 Postgraduate research students are those attending courses which are mainly research although these may contain some formal teaching.



## Rules for counting registrations

- 1 Only students who meet the following criteria are to be included in this return:
  - a) they are registered. A registration is considered as a binding undertaking to pay a fee to an institution (unless the fee has been waived) as opposed to an acceptance of a place;
  - b) they are aiming to obtain a recognised HE qualification as defined in Annex B;
  - c) they are studying at least 3 per cent of a full-time equivalent (FTE), or approximately one week of study.
- 2 Included are:
  - a) new enrolments;
  - b) students re-registering for second or subsequent years of their study;
  - c) students on non-accredited HE courses only where HEFCW has been notified of these courses and has agreed to their inclusion;
  - d) students registered at FEIs, who are pursuing prescribed HE qualifications as defined in Annex B, only if their courses are eligible for mainstream funding from HEFCW either directly, or, through a franchise agreement (data are returned only by the institution which franchises out the course);
  - e) outgoing exchange students, including Erasmus+ students;
  - f) distance learning in the UK;
  - g) students franchised to other institutions in the UK;
  - h) students at campuses in the UK.

Excluded are:

- a) incoming exchange students, including Erasmus+ or Junior Year Abroad (JYA) students;
- b) students whose only activity during the year being counted is writing up a thesis or similar piece of work;
- c) distance learners outside the UK;
- d) students franchised to institutions outside the UK;
- e) students at campuses outside the UK;
- f) students whose provision is part of a validating arrangement only;
- g) students who are dormant for the whole year.

## Students registered for more than one qualification or course

- 3 No full-time or sandwich student should be counted twice in the same academic year; nor should full-time or sandwich students who are registered for the main and an additional qualification offered within a single course be counted twice. However, students who are registered for two separate courses, where one is full-time or sandwich, and the other is part-time, may be included in Table 1 under both full-time or sandwich and part-time. For these purposes, a part-time

course should be considered to be separate if the ability to follow that course is not dependent on concurrent enrolment on the full-time course and the student continues to meet all of the study requirements of the main course without increasing the length of the main course. For both full-time and part-time courses which lead to more than one qualification, only a single registration should be returned.

### Non-standard academic years

- 4 Those students who are following programmes of study which do not coincide with the academic year (1 August to 31 July) should be counted once only for each period of up to 12 months of study. They should normally be counted in the year in which the first registration occurs and in the years including the anniversaries of the first registration.

**Example 1:** A student enrolls for a full-time PhD in April 2015 and completes the programme in March 2018. She should be counted as a registration in HESES/EYM 2014/15, 2015/16 and 2016/17. She is counted three times, once for each 12 month period of full-time study, in the academic year in which she first registered and in the two subsequent academic years containing the anniversary of the first registration.

### Final year of full-time study

- 5 Full-time programmes in which the final year does not fit the usual criterion to be full-time in terms of length, i.e. the final year is less than 24 weeks, but the student has not changed their mode of study, should be returned as full-time for the whole of the programme.

**Example 2:** A student enrolls on a full-time undergraduate course that starts on 1 October 2015 and finishes on 31 January 2017. He should be included in HESES/EYM 2015/16 as a full-time registration; and as a full-time registration again in HESES/EYM 2016/17 as even though he attends for less than 24 weeks, he has not changed his mode of study and is still registered as a full-time student.

**Example 3:** A student enrolls for a full-time 30 month undergraduate course that starts on 1 February 2017 and finishes on 31 July 2019. He should be included as a full-time registration in Table 1 and Table 3 (as a new entrant) on HESES 2016/17, and again as a full-time registration in Tables 1 and 3 on HESES 2017/18 and HESES 2018/19. On Table 3 as a student in their second year at the institution in 2017/18 and as a student in their third year at the institution in 2018/19.

### Repeated years of study

- 6 Where students repeat a full year on a full-time basis, and have not progressed to the next year of study, they should be counted as a full-time student. Where a student repeats a year or part of a year on a part-time basis, and there has been no progression to the next year of the course, the student should be

returned as a part-time student. In both cases, the total length of their course will increase by one year.

## **Completions and non-completions**

- 7 In Tables 1 and 3, institutions are asked to identify the number of registered students who complete the year of study. This is all eligible students who are registered or expected to register within the academic year minus those who are expected to not complete. Any transfers between ASCs, modes or levels of study should be included.
- 8 Non-completions occur where students do not complete their studies due to withdrawal, dropout, or failure to complete the year of study or take part in required assessment procedures. A registered student should generally be considered to be actively pursuing studies unless the institution has been formally notified of the student's withdrawal from the course. However, non-attendance for examinations generally indicates a student's failure to complete the year of study.
- 9 Completion status is determined on a year of study basis, not on a course basis. For example, a first degree student who takes all assessments required for the first year is counted as a completion for that year.
- 10 Students interrupting their studies for the remainder of the year of study for personal reasons are included in the definition of non-completions.
- 11 Students who sit examinations at the end of the course or year of study and fail them are deemed to have completed their studies and should **not** be included as non-completions.
- 12 Students who do not take part in all or some of the required assessment procedures for the year of study, can complete by being assessed after the end of the academic year in order to enable them to progress to the next year or graduate. This will be, for example, where a student who did not sit the original examination within the year because of illness, takes a resit examination that takes place after the end of the academic year or where a student will be handing in coursework after the end of the academic year, by agreement with the institution. Estimates of the number of registrations expected to complete in this way should be included in the number of completions returned in the tables.
- 13 At the return date of HESES, the number of students registered or expected to register that will not complete will have to be estimated. In general, estimates should be based on the proportion of non-completions in the previous year or years, or for new provision, information about similar provision in the first year of delivery. However, other methods may be used if institutions believe these would provide more accurate estimates. It is not expected that institutions will assess whether each individual will complete, rather that a robust method will be used in calculating estimates. It is expected that institutions will examine the data returned on the end of year monitoring of higher education enrolments

(EYM) survey (FEIs) or EYM data extracted from the HESA student record (HEIs) and the HESES survey in previous years to determine if estimates made at HESES were reasonable, and if necessary adjust their methods.

- 14 Some non-completions can be included as partial completions, and these are described in paragraph 15 below. Where registrations fall into the definition of partial completions, they should be included in the total returned as 0.5 of a completion.
- 15 For **full-time and sandwich taught** courses only, registrations are considered as having partially completed in the following cases:
- a) *Where the course is semesterised, if*
- individual modules are presented on a semester basis; and
  - the student has not withdrawn before the end of the semester in which the modules start; and
  - the student has taken part in all assessment procedures required for the modules pursued that take place during or immediately after the end of the semester;
- then, even if there is additional assessment of the work undertaken during the semester that falls at the end of the year of study, the student can be counted as a partial completion.
- b) *Where the course is not semesterised, if*
- the student has not withdrawn in the first four months of attendance; and
  - the student has taken part in all assessment procedures required for all modules started in the first four months, that take place during the first four months; and
  - there is auditable evidence to show that the student was still in attendance at the end of the four months;
- then, even if there is additional assessment of the work undertaken during the first four months that takes place at the end of the year of study, the student can be counted as a partial completion.

**Example 4:** A student enrolls for a semesterised full-time undergraduate course that normally starts on 1 October 2016 and finishes on 30 June 2018. She completes the first semester of the first year but drops out in the second semester due to personal reasons. She rejoins the course in the 2017/18 academic year and completes the whole of the first year, and then goes on to complete the second year of the course in the 2018/19 academic year. She should be returned in HESES 2016/17 as 0.5 of a full-time completed registration in Table 1 and Table 3 (as a new entrant). In 2017/18 and 2018/19 she should be returned on Table 3 as a student in their second and third year respectively at the institution. In 2017/18 and 2018/19 she should be returned on Table 1 as a full-time registration.

**Example 5:** 45 students enrol for a full-time undergraduate degree course in mathematics that starts on 1 October 2016 and finishes on 1 July 2019 (cohort 2). In the previous year, 51 students enrolled on the course (cohort 1). Of the 51 students, 3 changed subject in November, to study physics instead of mathematics, and 1 withdrew from the course in December. For cohort 2, on Tables 1 and 3 of HESES 2016/17, assumed completed registrations in mathematics would be 41, calculated as  $45 - 3$  (i.e.  $3/51 \times 45$ )  $- 1$  (i.e.  $1/51 \times 45$ ) = 41. 3 registrations would be added to those already included for physics and 1 registration would not be included on any of the tables.

**Example 6:** 15 students enrol for a full-time HND in engineering that starts on 5 October 2016 and finishes on 1 July 2018. Based on data from previous years, 2 students are estimated to withdraw in the first year of study. Therefore, 13 assumed completed full-time registrations are returned on HESES 2016/17. The actual number of withdrawals was 1, so 14 assumed completed registrations are returned on EYM 2016/17. Two of the 14 students who completed the first year of the full-time course decide to change their mode of study to part-time for the final half of the course. Therefore, on HESES 2017/18, 12 assumed completed registrations are returned as full-time, and 2 assumed completed registrations are returned as part-time, along with the registrations already on the part-time course.

**Example 7:** 10 students enrol for an undergraduate diploma starting in May 2017 and finishing in April 2018. In the previous year out of 15 students starting in May 2016, 2 dropped out in August 2016. 9 assumed completed registrations would be returned on Tables 1 and 3 of HESES 2016/17 calculated as  $10 - 1$  (i.e.  $2/15 \times 10$ ).

**Example 8:** 23 students enrol for a full-time first degree course. 2 students fail the first year and do not progress onto the second year of the course, instead, they repeat the whole of their first year on a full-time basis. They would be returned as a registration four times, twice for the first year of their course and once each for the second and third years of the course.

**Example 9:** 57 students enrol for a full-time first degree course starting in October 2016. 2 students fail the first year. The first student failed 2 modules out of a total of 10 modules and so was eligible to progress to the second year providing the 2 failed modules were retaken alongside the second year modules. This student would be returned as a full-time student three times, once for the first year of the course in 2016/17, once for the second year of the course in 2017/18 and once for the third year of the course in 2018/19.

The second student failed 5 of the 10 modules taken in the first year and did not progress to the second year of the course. He retook the 5 failed first year modules on a part time basis in the 2017/18 academic year with the intention of resuming full-time study for the second year of the course in 2018/19. He would be returned as a full-time student for the first year of the course in 2016/17, as a part-time student in his second year at the institution in 2017/18, and as a full-time student in the second and third

years of the course (in his third and fourth year at the institution) in 2018/19 and 2019/20.

### **New entrants and students in their second to fifth year at the institution – full-time undergraduate and PGCE (QTS)**

- 16 Data relating to students in their first five years at the institution for full-time undergraduate and PGCE (QTS) provision are collected on Table 3. These data are collected in order to provide data to monitor estimated fee grant and income for 2016/17 and to provide data to use in estimating the total fee grant and income relating to full-time undergraduate and PGCE (QTS) provision for Welsh institutions in 2017/18, for students under the new fee regime. New entrants are also collected on Table 2.

#### **Table 3**

- 17 For the purposes of returning data on Table 3, new entrants are defined as students that are in their first year of study. This includes:
- students undertaking a foundation year (year 0) as an integrated part of an HE course;
  - students entering directly into year 2 or a subsequent year of a course.

#### **Not included** as new entrants are:

- students who have already completed an integral foundation year (year 0);
  - students retaking the first year of a course;
  - students transferring from another course after spending their first year at the institution on the original course;
  - students who have completed an HND or foundation degree who take a top-up year to study for a degree at the same institution;
  - students who resume study after a period of inactivity.
- 18 If a student is on a course such that the first year of the course spans two academic years, they should only be counted as a new entrant in the academic year containing the start of their first year at the institution.

**Example 10:** A student starts a full-time HND course in 2014 and completes the course gaining an HND in 2016. He then goes on to do a top-up year at the same institution in order to gain a degree and completes this in 2017. He would be counted as an undergraduate non-degree new entrant in Table 3 on HESES 2014/15 only, and **not** counted as a new entrant in Table 3 of HESES 2016/17.

- 19 Students in the second year at the institution are defined for this survey as students that are in their second year of study at the institution and are registered for a prescribed HE course leading to a recognised HE qualification.

These will be students who were counted as a new entrant in the previous year, including those that:

- are retaking the first year of a course;
  - have transferred in from another course after spending their first year at the institution on the original course;
  - are starting the first year of a course after completing an integral foundation year.
- 20 If a student is on a course such that the second year of the course spans two academic years, they should only be counted as a student in their second year at the institution in the academic year containing the anniversary of their start date.
- 21 Students in the third, fourth or fifth year at the institution are defined for this survey as students that are in their third, fourth or fifth year of study respectively at the institution and are registered for a prescribed HE course leading to a recognised HE qualification. These will be students who were counted as a student in their second, third or fourth year respectively in the previous year, including those that:
- are retaking the second, third or fourth year of a course respectively;
  - have transferred in from another course after spending their first two, three or four years respectively at the institution on the original course.
- 22 If a student is on a course such that the third, fourth or fifth year of the course spans two academic years, they should only be counted as a student in their third, fourth or fifth year respectively at the institution in the academic year containing the second, third or fourth anniversary of their start date.

### **Split of home and EU residential status and eligibility for funding status (Table 3)**

- 23 Data relating to home and EU new entrants and students in their second to fifth year at the institution are requested broken down into Welsh & EU residential status and other home residential status. For the purposes of returning data on Table 3, residential status should be based on residential status as assessed for fees purposes. Where this is unknown, domicile, based on the home postcode of the student for UK students or country for EU students, can be used instead. This will generally be the domicile as returned on the HESA student record or on the LLWR. For example, if a student is known to be a home student, but it is not known whether the student was assessed as having Welsh residential status or other home residential status, then domicile, based on the home postcode of the student, should be used.
- 24 Data are also requested split into fundable and non-fundable. These categories follow the definitions in Annex D with the exception that NHS-funded students should be **excluded** from the registration count.

## **Table 2 – ITT (QTS)**

- 25 New entrants to ITT (QTS) courses in ASC 11a are defined slightly differently. For the purposes of Table 2 only, students transferring to an ITT (QTS) course should be included as new entrants and students entering directly into year 2 or a subsequent year of an ITT (QTS) course should not be included as new entrants.
- 26 If a student is on a course such that the first year of the course spans two academic years, they should only be counted as a new entrant in the academic year containing the start of the first year of their programme of study.



## Table and column descriptions

### Directly funded HEIs and FEIs

- 1 In all tables, data relating to franchised out students should be returned by the franchisor only (see Annex C, paragraph 15) and included in all relevant columns. On all tables, each partner of a Centre of Teacher Education should return only the provision taking place at their own institution.
- 2 Data returned in Tables 1 and 3 may be returned to one decimal place, where full-time taught partial completions are included as 0.5 of a completion.
- 3 Data returned on Table 2 must be whole numbers unless secondary education registrations have been split between specialist subjects, as described in Annex E, paragraph 7, when 0.5 can be returned against each subject. Secondary education totals within each level of study (undergraduate degree or PGCE) must be whole numbers.

### Table 1

- 4 Table 1 requests information on all assumed completed student registrations for the academic year 2016/17 by level of study (with undergraduate split into degree and non-degree), mode of study, whether the registration is franchised out or not (undergraduate only) and residential and fundability status. Registrations should be returned in accordance with the guidelines set out in Annex H.
- 5 The table has four principal columns.
  - **Column 1:** Numbers of completed full-time registrations, split into home and EU fundable, home and EU non-fundable and Island and overseas. Figures should be net of all known and predicted transfers, withdrawals and dropouts.
  - **Column 2:** Numbers of completed sandwich year out registrations, split into home and EU fundable, home and EU non-fundable and Island and overseas. Figures should be net of all known and predicted transfers, withdrawals and dropouts.
  - **Column 3:** Numbers of completed part-time registrations, split into home and EU fundable, home and EU non-fundable and Island and overseas. Figures should be net of all known or predicted transfers, withdrawals and dropouts.
  - **Column 4:** This shows the overall number of assumed completed registrations. It is the sum of columns 1, 2 and 3, split into home and

EU fundable, home and EU non-fundable and Island and overseas.  
The calculation is done automatically in the spreadsheet.

## Table 2

- 6 Table 2 collects information about home and EU fundable full-time ITT (QTS) new entrant registrations in ASC 11a between 1 August 2016 and 1 November 2016 inclusive. The column is broken down by:
- Phase (secondary or primary)
  - Level of study (undergraduate degree or PGCE)
  - Specialist subject of study for secondary phase. Within the 24 secondary subjects it should be noted that:
    - i. Mathematics includes Statistics;
    - ii. Physical Education includes Movement Studies and Dance.
- 7 Figures should be net of all known transfers, withdrawals and dropouts occurring up to 1 November 2016. Those registrations repeating the first year of the course should be excluded from the table.

## Table 3

- 8 Table 3 requests information on assumed completed home and EU fundable and non-fundable (**excluding** those funded by the NHS) registrations that are full-time undergraduate or PGCE (QTS) new entrants or students in their second to fifth year of study at the institution for the academic year 2016/17. Data are collected by year of student at the institution, ASC group, level of study, fundability status and residential status. The data returned here are a subset of those returned in Table 1 and relate to those under the new fee regime only. Registrations should be returned in accordance with the guidelines set out in Annex H. Figures should be net of all known and predicted transfers, withdrawals and dropouts. There are three ASC groups, ASC 1; ASCs 2 to 10 and 11b; and ASC 11a.
- 9 The table is split into five subtables collecting data about completed registrations in each year of the student at the institution.
- New entrants – columns 1 to 5
  - Students in their second year at the institution – columns 6 to 10
  - Students in their third year at the institution – columns 11 to 15
  - Students in their fourth year at the institution – columns 16 to 20
  - Students in their fifth year at the institution – columns 21 to 25
- 10 The columns contained within each of these subtables are described below.
- **Columns 1, 6, 11, 16, 21:** Number of completed HEFCW-fundable registrations that have Welsh or EU residential status, split by level of study.

- **Columns 2, 7, 12, 17, 22:** Number of completed HEFCW non-fundable registrations (other than those funded by the NHS) that have Welsh or EU residential status, split by level of study.
- **Columns 3, 8, 13, 18, 23:** Number of completed HEFCW-fundable registrations that have home residential status other than Welsh, split by level of study.
- **Columns 4, 9, 14, 19, 24:** Number of completed HEFCW non-fundable registrations (other than those funded by the NHS) that have home residential status other than Welsh , split by level of study.
- **Columns 5, 10, 15, 20, 25:** Total number of completed home and EU registrations under the new fee regime. The calculation is done automatically in the spreadsheet.

## HESA/HESES mappings and end of year monitoring data extraction criteria

- 1 This annex provides mappings which HEFCW will use to extract EYM and other data from the HESA student record, including as part of the HESA Information Reporting Interface Service (IRIS) process. The mappings to extract EYM data include the mapping for credit value data. Guidance about the criteria for returning credit value data other than data returned by the OU in Wales is not provided in this circular but will be in the EYM circular when it is published in 2017. This annex also provides mappings used to analyse HESA data to provide information on a comparable basis to that collected or previously collected on the HESES survey. It should be noted that in some cases it is not possible to define HESES and EYM categories entirely in terms of HESA fields. In particular, where students follow non-standard academic years and patterns of study within the institution are not the same from year to year, there may be discrepancies in comparisons made.
- 2 In all cases, the HESES rules must be followed when completing the HESES returns. In coding student data for the HESA student record, where fields ask for funding council definitions to be used then it is those contained in this circular that should be used. However, it should not be assumed that students fall into a particular HESES category solely on the basis of the coding of HESA fields as there may be cases where only an approximate match of definitions can be made.
- 3 The mappings show the name of the relevant HESA field in the form of ENTITY.FIELDNAME. Guidance relating to the HESA fields can be found in the HESA student record coding manual, available at [www.hesa.ac.uk](http://www.hesa.ac.uk).

### HESES/EYM population

- 4 The following categories of students are excluded from the HESES population:

Students not studying towards a recognised HE qualification aim or a credit that can be counted towards one	COURSE.COURSEAIM = All P, Q, R, S, X codes and C99, H99, I99, J99, M99, Z99.
Dormant or sabbatical	INSTANCE.MODE = 51, 63, 64
Incoming exchange students	INSTANCE.EXCHANGE = 4, G
Students studying for less than 3% FTE	INSTANCE.STULOAD < 3
Specific exclusions	INSTANCE.FUNDCOMP = 9

- 5 The following students, though in the population, will not be counted as registrations for HESES/EYM (some credit values associated with these students may be counted where a module is started in 2016/17):

Writing up students	INSTANCE.MODE = 43, 44
Students in their final year attending a course which follows a non-standard academic year	INSTANCE.TYPEYR = 2 and INSTANCE.ENDDATE ≤ 31072017 and INSTANCE.ENDDATE ≤ anniversary of INSTANCE.COMDATE in 2016/17 plus two weeks

## HESES/EYM categorisation

### Residential status and eligibility for mainstream funding

- 6 Students will be categorised into residential status and eligibility for funding as follows:

Home and EU fundable	INSTANCE.FUNDCODE = 1
Home and EU non-fundable	INSTANCE.FUNDCODE = 2 and INSTANCE.FEEELIG = 1, 3
Island and overseas	Otherwise

- 7 In using this coding to categorise home and EU students as non-fundable, we are assuming that where INSTANCE.FEEELIG is 3 that the student is home and EU, as eligibility of Island and overseas students is likely to have been assessed in order to inform the level of fee charged. This could lead to some students being categorised as home and EU non-fundable where in fact they should be Island and overseas. Institutions should pay regard to the coding of this field in order to ensure that students are correctly categorised.
- 8 Home and EU full-time undergraduate and PGCE registrations will be further categorised by residential status, using domicile as a proxy, into Welsh and EU residential status and other UK residential status. In doing this for Table 3 of HESES, registrations will also be categorised by funding eligibility categories, HEFCW-fundable and non-fundable, with NHS-funded students excluded, for students under the new fee regime. See paragraph 19 below.

## Assignment to ASCs

### Registrations

- 9 Full-time registrations will be assigned to ASCs on the basis of the JACS codes shown in COURSESUBJECT.SBJCA and the proportions in each subject shown in COURSESUBJECT.SBJPCNT, with the exceptions of full-time undergraduate medicine and dentistry (ASC 1) and full-time undergraduate and

PGCE ITT (QTS) (ASC 11a). The mapping between JACS codes and ASCs shown in Annex E will be used.

- 10 Where postgraduate medicine or dentistry provision is coded using any A9 JACS code, it will be assumed to be non-clinical medicine.

*Full-time undergraduate medicine and dentistry provision*

- 11 Full-time undergraduate medicine and dentistry registrations will be assumed to be those with all course subjects of study in JACS codes A as they cannot be split between ASCs in returning data on the HESES survey. Students on courses coded as both non-clinical and clinical medicine or dentistry will be categorised into non-clinical or clinical based on the year of programme (e.g. if a course is coded as 50% A100 and 50% A300 then if the first year of the course is known to be pre-clinical, then students in the first year will be coded as non-clinical medicine). ASCs will be assigned as follows:

	<b>COURSE.SUBJECT.SBJCA</b>
Non-clinical medicine	A100
Clinical medicine	A300
Non-clinical dentistry	A200
Clinical dentistry	A400

- 12 Year of programme will be assigned as follows:

Registrations on intercalated years	INSTANCE.INTERCALATE = 01
Year of programme	<b>INSTANCE.YEARPRG</b>
Year 0	00
Year 1	01
Year 2	02
Year 3	03
Year 4	04

*Full-time undergraduate and postgraduate taught ITT (QTS) (ASC 11a)*

- 13 Registrations will be assigned to ASC 11a, ITT (QTS), where COURSE.TTCID = 1. Registrations will be further categorised as follows:

Primary phase	INSTANCE.ITTPHSC = 53, 61-65
Secondary phase	INSTANCE.ITTPHSC = 55 to 57

Gained QTS                      QUALIFICATIONSAWARDED.OUTCOME = 1

## Credits

- ### Mode of study

- |                             |  |
|-----------------------------|--|
| Full-time                   | INSTANCE.MODE = 01 or<br>INSTANCE.MODE = 23, 24 and<br>INSTANCE.SPECFEE ≠ 1, 2, 3            |
| Full-time sandwich year out | INSTANCE.MODE = 23, 24 and<br>INSTANCE.LOCSDY = D, E, T, U and<br>INSTANCE.SPECFEE = 1, 2, 3 |
| Part-time                   | Otherwise  |

17 Level of study is categorised as follows:

Undergraduate degree	COURSE.COURSEAIM = H00, H11, H16, H18, H22, H23, H50, I00, I11, I16, M22, M26, M28
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Undergraduate non-degree	COURSE.COURSEAIM = All other H codes except H99 and except H71 where INSTANCE.TTCID=1, All other I codes except I99, All J codes except J99, All C codes except C99 or COURSE.COURSEAIM = M71 and INSTANCE.TTCID $\neq$ 1
Postgraduate taught (including PGCE (QTS))	COURSE.COURSEAIM = All E codes, All other M codes except M99 or COURSE.COURSEAIM = M71 and INSTANCE.TTCID = 1 or COURSE.COURSEAIM = H71 and INSTANCE.TTCID = 1
Postgraduate taught (PGCE (QTS))	COURSE.COURSEAIM = M71 and INSTANCE.TTCID = 1 or COURSE.COURSEAIM = H71 and INSTANCE.TTCID = 1
Postgraduate research	COURSE.COURSEAIM = All L and D codes

**New entrants and students in their second to fifth year or continuing at the institution**

- 18 New entrants and students in their second to fifth year (Table 3 of HESES) at the institution are categorised as follows:

New entrants	INSTANCE.YEARSTU = 1
Students in their second year at the institution	INSTANCE.YEARSTU = 2
Students in their third year at the institution	INSTANCE.YEARSTU = 3
Students in their fourth year at the institution	INSTANCE.YEARSTU = 4
Students in their fifth year at the institution	INSTANCE.YEARSTU = 5

- 19 New entrants and students in their second to fifth year at the institution will be considered home and EU fundable or non-fundable according to the criteria in paragraph 6. NHS students will be identified and excluded using COURSE.MSFUND = 13, 31. They will be further categorised into residential status, using domicile as a proxy, as follows:

Welsh and EU residential status	ENTRYPROFILE.DOMICILE = XI, AT, BE, BG, HR, XA, CZ, DK, EE, EU, FI, AX, FR, GF, GP, MQ, YT, RE, DE, GR, HU, IE, IT, LV, LT, LU, MT, NL, PL, PT, RO, SK, SI, ES, IC, SE.
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Other home residential status	Otherwise
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- 20 For the purposes of Table 2 of HESES, ITT (QTS) registrations will be counted as new entrants as follows:

New entrants	INSTANCE.YEARPRG = 01 and INSTANCE.YEARSTU = 01
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### **Students franchised out**

- 21 Part-time and full-time students that are franchised out are counted as those studying on modules taught at another institution. Students on partial franchises are returned as franchised out if the majority of their activity for the year is franchised out (see paragraph 21, Annex C). The table below shows what will be counted as franchised out registrations in our HESES/EYM data extractions:

Wholly franchised out registrations	MODULE.FRANIND = 1 and MODULE.PCOLAB = 100 for all modules taken
Partially franchised out registrations (where resulting proportion $\geq 50\%$ )	MODULE.FRANIND = 1 and MODULE.PCOLAB > 0 for at least one module taken  Proportion of registration franchised out = Sum of MODULE.CRDTPTS x MODULE.PCOLAB over all modules with MODULE.FRANIND = 1 and MODULE.PCOLAB > 0, divided by total credit points over all modules

- 22 In analysing franchised out data, the proportions may also be used to determine what volume of registration activity is franchised out to get a more accurate view of the extent of franchise provision. However, institutions are not expected to do this in returning data to HESES. Further guidance on franchised out credit values is in paragraph 36 below.

### **Erasmus+ and non-Erasmus+ year abroad registrations**

- 23 Erasmus+ undergraduate students on a whole year exchange out, on a whole year work placement out, on a whole year placement as a language assistant or on a whole year out as some consecutive combination of these categories, and undergraduate non-Erasmus+ study years abroad or work placement year abroad are categorised as follows:

Erasmus+ exchange out, work placement out, language assistant or combination of these categories of registrations	INSTANCE.LOCSDY = T and MOBILITY.MOBScheme = 03
Non-Erasmus+ study year abroad registrations	INSTANCE.LOCSDY = T and MOBILITY.MOBScheme ≠ 03 and MOBILITY.MOBTYP = 01
Non-Erasmus+ work placement year abroad	INSTANCE.LOCSDY = T and MOBILITY.MOBScheme ≠ 03 and MOBILITY.MOBTYP = 02, 03

### Higher Level Apprenticeships

- 24 Though not collected on HESES, we will extract data for registrations that are studying for an HE qualification as part of an HLA, identified as follows:

Those who are studying as part of an HLA	INSTANCE.INITIATIVES = K
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### Registrations up to 1 November

- 25 The following registrations will be assumed to be those registrations up to 1 November, counted on Table 2 of HESES and EYM:

Those who complete on or before 1 November 2016 and are on a standard academic year	INSTANCE.ENDDATE ≤ 01112016 and INSTANCE.FUNDCOMP = 1 and INSTANCE.TYPEYR = 1
Those who started on or before 1 November 2016	INSTANCE.COMDATE ≤ 01112016

### Completions

- 26 Registrations that are eligible to be counted on HESES/EYM are assumed to be completed as follows:

Registrations that completed the year of programme	INSTANCE.FUNDCOMP = 1
--	-----------------------

- 27 For full-time and sandwich year out taught students eligible to be counted on HESES/EYM, registrations will be assumed to fit the definition of a partial completion as follows, and will be counted at 0.5:

Registrations that partially completed the year of programme	INSTANCE.FUNDCOMP = 4
--	-----------------------

- 28 Proportions in each completion status category for registrations with known completion status will be used to estimate the number of completed and partially completed registrations for those registrations with unknown completion status (INSTANCE.FUNDCOMP = 3, students are yet to complete but have not failed to complete) and these will be added to the count of completed registrations.

**Assignment of credit values to columns in Tables 1a, 1b and 1c (EYM)**

- 29 For all columns of data, modules will be counted if they fit the following criteria.

Modules started in 2016/17	STUDENTONMODULE.MODSTAT = 2, 3
Module is countable	STUDENTONMODULE.MODCOUNT = 2
Module is not on a not-for-credit basis	STUDENTONMODULE.MODOUT ≠ 5

The number of credit points counted will be taken from MODULE.CRDTPTS.

Column 1

- 30 Credit values for modules associated with the following registrations, that were started in the 2016/17 academic year, will be assumed to be in column 1:

Those who started on or before 1 November 2016	INSTANCE.COMDATE ≤ 01112016
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Column 2

- 31 Credit values for modules associated with the following registrations, will be assumed to be in column 2:

Those who started after 1 November 2016	INSTANCE.COMDATE > 01112016
---	-----------------------------

Column 3

- 32 Credit values included in columns 1 and 2 will be counted as not completed where:

Modules not completed	STUDENTONMODULE.MODOUT = 4, A, B or STUDENTONMODULE.MODOUT = 3 and mode of study is part-time
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- 33 Credit values included in columns 1 and 2 will be assumed to be partially completed, and counted at 0.5, where:

Modules assumed partially completed	STUDENTONMODULE.MODOUT = 3 and mode of study is full-time or sandwich
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- 34 Proportions in each module outcome for modules with known outcomes will be used to estimate the number of credit values associated with modules coded with unknown outcome (STUDENTONMODULE.MODOUT = 6) that are not completed and these will also be counted in column 3.

#### Column 4

- 35 Column 4 credit values will be calculated as columns 1 plus 2 minus column 3.

#### Column 5 (Table 1c of EYM)

- 36 Franchised out modules for part-time registrations are counted as those not taught by the institution and are split between those wholly franchised out credit values, and those that are partially franchised out as defined below. The columns will be summed as a total franchised out credit value figure for funding purposes.

Wholly franchised out credit values	Sum of MODULE.CRDTPTS for all modules, where FRANIND = 1 and PCOLAB = 100
Partially franchised out credit values	Sum of MODULE.CRDTPTS x MODULE.PCOLAB over all modules with FRANIND = 1 and PCOLAB > 0 that are not wholly franchised out as above

#### **Performance Element provision**

- 37 Registrations at the University of South Wales will be considered to be Performance Element provision where INSTANCE.CAMPID = B and the course subject JACS code maps to ASC 10. Credit values will be considered to be Performance Element where INSTANCE.CAMPID = B and the JACS code of the module maps to ASC 10.

#### **Students outside the HESES population**

- 38 The headcount of students returned on the HESA aggregate offshore record that are based outside the UK, and will be categorised as follows:

Students based at a campus outside the UK	TYPE = 1 and LEVEL ≠ F
Other students based outside the UK	TYPE ≠ 1 and LEVEL ≠ F

39 Data will be broken down into level of study, where:

Undergraduate degree	LEVEL = H, I
Undergraduate non-degree	LEVEL = J, C
Postgraduate taught	LEVEL = E, M
Postgraduate research	LEVEL = D, L

40 Students that are not in the HESES population, but are based in the UK, will be considered to be those students returned on the HESA student record that fit the criteria to be included in the HESES population, apart from being coded as not being in the HESES population, i.e. where INSTANCE.FUNDCOMP = 9. Where we find that institutions are returning significant numbers of these on the HESA student record we will discuss with the institution concerned why these students are considered not to be in the HESES population.

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**Workbook notes**

- 1 An Excel workbook containing spreadsheet versions of the tables to complete for the HESES 2016/17 return will be emailed to data contacts at individual institutions.
- 2 The email will contain an Excel workbook saved in Excel 2010 and prefixed with a four character code identifying the institution, as follows.

**Workbook name**

\_\_\_\_HESES.xlsx

**Tables included**

Tables 1 to 3

- 3 Each table is contained in a separate worksheet within the workbook and worksheets are named after the relevant table.
- 4 In addition to the worksheets containing the tables to be completed, a worksheet containing a summary of the information returned on the tables together with data from previous years, is included in the HESES workbook. This summary worksheet contains a comparison of HESES and EYM data for 2011/12 to 2016/17, where data have been collected. The tables presented in this worksheet are for information only and no data should be entered in this table.
- 5 If the workbooks are corrupt or unreadable please contact Alex Rogers (hestats@hefcw.ac.uk, 029 2085 9725) for assistance.
- 6 It is advisable to make a backup copy of the blank workbooks before attempting to edit any of the tables.
- 7 Institutions must not attempt to change the structure of the workbook by adding or deleting worksheets, rows or columns, or by overwriting or deleting any formulae. Worksheets contain information critical to loading of the data and it is essential that the structure of the workbook is not changed in any way.
- 8 Each workbook should be saved in Excel on completion, using the same filename and extension as that originally supplied. Names of the individual worksheets must not be changed.
- 9 The workbook includes a number of validation checks (see Annex M). Institutions should ensure their data pass all validation checks before the workbooks are returned.
- 10 The date of completion must be entered in the workbook in the box provided. This information, once entered in the worksheet containing Table 1, is automatically completed in the worksheets containing Tables 2 and 3.

- 11 The completed workbooks should be returned by e-mail to [hestats@hefcw.ac.uk](mailto:hestats@hefcw.ac.uk). We will confirm receipt of e-mail returns.

## Validation checks

- 1 A number of validation checks have been built into the Excel workbook containing Tables 1 to 3 (see Annex P) and these are listed in paragraphs 3 and 4 below. The validation checks can be found to the right of the corresponding tables.
- 2 If data pass a particular validation check, a validation cell above the table will read 'Validation #: OK'; if data fail, the validation cell will read 'Validation #: Failure' (# denotes the particular validation check). If there is a validation failure, the cell causing the error will read 'ERROR' and be highlighted in red in the relevant validation check to the right of the table.
- 3 **Validation check 1:** In Tables 1, 2 and 3 all values entered must be to no more than 1 decimal place and must be a multiple of 0.5.
- 4 **Validation check 2:** In Table 3, totals for undergraduate home and EU fundable and non-fundable registrations of new entrants plus students in their second to fifth year at the institution  $\leq$  corresponding totals for full-time undergraduate home and EU fundable and non-fundable registrations in Table 1, respectively.
- 5 In addition to the above validation checks, some of the tables contain credibility checks, displayed beside the validation checks to the right of the tables. HESES 2015/16 data are used for comparison purposes. Institutions are invited to check and comment on instances where a CHECK message occurs.
- 6 **Credibility check 3:** In Table 1, for each mode and level of study, percentage increase/decrease between HESES15 and HESES16  $> 25\%$ .
- 7 **Credibility check 4:** In Table 3, for new entrants and students in their second, third and fourth years at the institution, for each mode of study, level of study and ASC group, percentage increase/decrease between HESES15 and HESES16  $> 25\%$ .
- 8 ITT (QTS) HESES data from 2015/16 are also included in Table 2 to the right of the table collecting data, for information and to aid checking.
- 9 As well as the validation and credibility checks incorporated into the workbook, a worksheet showing summary registration data for 2011/12 to 2016/17 is included (see Annex K, paragraph 4). In this worksheet, data returned on HESES and EYM are compared. The information provided in this worksheet can be used by institutions to help identify general patterns of over- or under-prediction at HESES and analyse their estimates of non-completions. We expect institutions to look at this worksheet as part of their overall check of their return before it is submitted to HEFCW.



- 10 Once data are returned to HEFCW, further checks are undertaken. For example, to ensure ITT (QTS) provision is returned in cells where intake quota places have been allocated.

## Usage of data by HEFCW

- 1 The primary reasons for collecting data through the HESES survey are to provide data to have an early indication of student numbers for 2016/17; to monitor funding allocations, fee grant costs estimates and fee income estimates; and to inform monitoring and policy decisions in instances where data are not yet available from other sources, for example, the HESA student record. An outline of the reasons for collecting the data on each table is given below.

### Table 1

- 2 Table 1 collects data relating to all completed registrations for the year. The data are used to gain a complete picture of the size of the sector and the scale of provision that is not fundable by HEFCW. The data in Table 1 are used to complement the WG predictions of the size of the sector and the draw on the student support budget in future. This information can be taken from the HESA record but it is currently not timely enough for these purposes.
- 3 Categories of undergraduate provision are collected broken down into degree and non-degree and by whether the registration is franchised out or not. This is to enable us to monitor levels of provision within undergraduate and monitor any changes in franchised provision available.

### Table 2

- 4 Data collected on Table 2 are used to inform decisions by WG about which subjects are a priority and to inform the allocation of WG intake quotas to the Centres of Teacher Education for the following academic year. The data are also used to monitor recruitment against target and to determine if any penalties need to be applied.

### Table 3

- 5 Table 3 collects data relating to full-time undergraduate and PGCE (QTS) home and EU registrations that are new entrants or students in their second to fifth year at the institution. The data are collected split by level of study (undergraduate or PGCE (QTS)), ASC group, residential status and whether fundable or non-fundable. NHS-funded students are excluded from the table. The data are split by these categories in order to get estimated figures for students eligible for fee grant support and to be able to estimate fee grant costs and tuition fee income for different areas of provision. These figures, along with data from other sources such as the WG student forecasts, the SLC, HESA and institutions' fee plans, will be used to monitor the estimated fee grant costs and fee income for 2016/17 and inform the estimates of fee grant costs and fee income for 2017/8.

- 6 Proportions of students already qualified to degree level, who are generally not eligible for a fee grant, with some exceptions, will be estimated using data from other sources. Similarly, where differential fees will be charged within a category collected on this table, estimated proportions from other sources will be used to split numbers in the cells to inform the overall estimation of fee grant costs. An estimate will also be made of the number of students who are studying for a top-up year to a degree at an institution other than the institution where they studied their HND or foundation degree in order to exclude these students from the calculation of the estimate of the fee grant in cases where they would have started prior to 1 September 2012 and still be under the old fee regime.

## Open University in Wales

- 1 The OU in Wales is in a unique position in that it is the only institution in Wales to provide exclusively part-time provision. In addition, a large proportion of its provision follows a non-standard academic year (i.e. years of study are not contained within 1 August to 31 July). In consulting with institutions on the proposed changes to the HESES survey last year, the OU responded that it would prefer to continue to return part-time credit value data to HEFCW. This was due to the differences they are seeing year on year in their part-time numbers and the fact that they are more reliant on part-time funding from HEFCW than other institutions.
- 2 Last year we agreed to collect part-time credit value data from the OU in Wales only and will therefore collect this for 2016/17 in January 2017. The data will be collected on a table based on Table 1 from HESES 2014/15. The guidance on the return of credit values updated for 2016/17 is included below along with a description of the table. We will be using the data collected to monitor and inform part-time funding allocations for 2017/18 for the OU in Wales only.
- 3 A part-time credit value table template (Table A) will be sent to the OU in November to be completed by mid-January.

### Guidance for returning credit values

- 4 Only credit values associated with modules, units or courses relating to registrations that are eligible to be counted as defined in Annex H, that are home and EU fundable and are part-time, should be included in Table A.
- 5 The numbers of credit values associated with enrolments are calculated by multiplying the total number of enrolments on each module, unit or course by the number of achievable credit values associated with the module, unit or course. For example, if 50 students are registered on a module from which 10 credit values may be achieved, the number of credit values to be recorded is 500. Credit values to be recorded are the credit values associated with the module, unit or course being pursued, not those successfully achieved.
- 6 All credit based data returned should conform to the Credit and Qualifications Framework for Wales (CQFW), except that the level of study should be that of the overall qualification aim and not that of the unit or module, if different. Credit values must not exceed the maximum permitted number of fundable credit values, as shown in paragraph 3 of Annex F, for each student over the course as a whole, unless a year of study or part of a year of study is repeated where a student has not progressed to the next year of study (see paragraph 15 below). If there are courses which do not fit into the categories in the table, HEFCW should be contacted for advice.

- 7 Where CQFW credit values have not been formally allocated to elements of programmes, then notional credit values should be returned on the basis of the CQFW standard. This is 120 credit values for one academic year of HE experience for full-time undergraduates, apart from HNCs, for which the standard is 150 credit values; 180 credit values for postgraduates with one full 12 month year of HE, for example, an MSc with dissertation; and 120 credit values for postgraduate courses of less than a full 12 months, for example, a postgraduate diploma without a dissertation. In this context, it will be helpful to note the CQFW definition of the study year in terms of notional learning time: 1,200 hours for undergraduates (academic year); 1,800 hours for postgraduates (12 month year). (See [CQFW guidance](#) and [QAA frameworks document](#).)
- 8 The level of study of the credit should be assumed to be that of the qualification aim of the student.
- 9 Each module or unit must be assigned to the academic year in which the module or unit started, and all credit values associated with that module or unit shown in Table A in that academic year only. In this way each credit value will be counted once only, even if the module or unit spans two academic years.
- 10 If a course is not yet modularised, notional credit values based on the maximum numbers that can be claimed over the course as a whole should be returned, held in the ASC of the course.
- 11 Only modules essential for the award of the qualification should be counted. Optional or elective modules not essential to the award of the qualification must **not** be counted.

**Example 1:** A student enrolls for a part-time course on 1 February 2017 and completes the programme on 31 May 2019. The credit values to be recorded in HESES/EYM 2016/17 would be those associated with modules/units commenced between 1 February 2017 and 31 July 2017 and would be recorded in column 2 of Table A. Those relating to modules/units commencing between 1 August 2017 and 31 July 2018 would be recorded in column 1 of Table A of HESES/EYM 2017/18; and those relating to modules/units started between 1 August 2018 and 31 May 2019 would be recorded in column 1 of Table A of HESES/EYM 2018/19.

**Example 2:** A student enrolls for a part-time HNC on 1 October 2015 and finishes on 30 June 2017. All credit values associated with modules/units started in the period 1 October 2015 to 31 July 2016 would be recorded in HESES/EYM 2015/16 and all credit values associated with modules/units started in the period 1 August 2016 to 30 June 2017 would be recorded in HESES/EYM 2016/17. The overall total number of fundable credit values for the course as a whole recorded in HESES/EYM 2015/16 and 2016/17 should not exceed 150 credit values.

## Apportionment of credit values between ASCs

- 12 Each credit value should be ascribed to the ASC of the subject taught in the module or unit rather than the subject of the qualification aim of the student. This will generally correspond to the JACS code returned on the module entity of the HESA student record - see Annex J. For example, a mathematics module for business students will generally be ascribed to ASC 6, Mathematical Sciences, IT and Computing, not ASC 7, Business and Management. The JACS to ASC mapping given in Annex E should be used to categorise credit values into ASCs based on the JACS code of the module.
- 13 Credit values relating to ASC 11a must not be distributed across other ASCs; all should be returned in ASC 11a. Credit values relating to individual modules of courses other than medicine and dentistry or ITT (QTS) courses should not be assigned to ASC 1 or ASC 11a.

**Example 3:** 30 students enrol for a part-time undergraduate degree course in English (ASC 9) that starts on 1 October 2016 and finishes on 1 July 2022. Based on previous year's data, 2 of the students are estimated to change course to business studies (ASC 7). The modules that the students take in the first year are year-long and count for 60 credit values in total. In column 1 of Table A,  $30 \times 60 = 1,800$  credit values are returned in ASC 9. In column 2,  $2 \times 60 = 120$  credit values are returned as a negative number in ASC 9, and  $2 \times 60 = 120$  credit values are returned in ASC 7. The total assumed completed credit values associated with these 30 students would be 1,680 in ASC 9 and 120 in ASC 7.

**Example 4:** 40 students register for a part-time economics degree course enrol on a year-long econometrics module (ASC 6). Based on the previous year's data, it is estimated that 6 will transfer to a social science module (ASC 8) after 1 November, while remaining on the same economics degree course. Each module is worth 30 credit values. 1,200 credit values would be shown in ASC 6 in column 1 of Table A, 180 credit values would be shown in ASC 8 in column 2 of Table A and 180 credit values would be shown in ASC 6 in column 2 of ASC 6 as a negative number.

## Modules on a not for credit basis

- 14 If part-time students are taking module(s) which are credit bearing but on a not for credit basis, and this is the only study they are undertaking in the reporting year, then the credits associated with these modules can be excluded from the return provided the intention of the student not to take the assessment has been recorded at the outset of the module(s). For HESES purposes, where the module has not yet started by the return date, an estimate of those who intend not to take any assessment can be made and the associated credits excluded from the return, but only where there is a formal process in place to record the students' intentions for those modules. It is not a requirement that there is such a process in place, however, in order to exclude these credits from the return, this process must be in place. If there is no process in place, credits relating to students who do not take the assessment for a credit bearing module should

continue to be included in columns 1 or 2 and column 3 of the credit value table as appropriate. The actual number of credits relating to students who declared their intention and subsequently did not take the assessment can be excluded from the end of year monitoring return. This will generally apply to students taking continuing education type provision who are not aiming for a HE qualification aim and have no intention from the outset of gaining credit that can be counted towards one.

**Example 5:** A part-time module worth 10 credits starts in February 2017, finishing in May 2017. 23 students enrol on the module, which is the only module they are taking in the year, and are asked at the start of the module if they intend to take the exam at the end of the module, and this is formally recorded by the institution. 6 students declare that they will not be taking the exam and so will be taking the module on a not for credit basis. 170 credits are returned in column 1 of Table A, relating to the 17 students who intend taking the assessment for the course. Of the 6 students who declared they would not take the exam, 1 changes their mind and sits the exam in May. Therefore, in column 1 of Table A, 180 credits are returned.

**Example 6:** A part-time course, consisting of 1 module worth 20 credits, starts in February 2017, finishing in July 2017. 15 students enrol on the course, some of whom are not intending to submit the coursework due in July. 300 credits are returned in column 1 of Table A relating to the 15 students on the module. The credits relating to those that do not submit the coursework are returned as non-completions in column 3.

**Example 7:** A part-time module worth 15 credits starts in January 2017, finishing in June 2017. 10 students enrol on the module and are asked at the start of the module if they intend to take the exam at the end of the module, and this is formally recorded by the institution. 9 students declare that they intend to take the exam. 3 of the 10 students subsequently do not take the exam. For the same module in January 2018, 20 new students are predicted to enrol on the module. Therefore, 18 students are predicted to declare they are taking the exam ( $9/10 \times 20 = 18$ ) and  $18 \times 15 = 270$  credits are returned in column 2 of Table A. 6 students ( $3/10 \times 20$ ) are predicted not to take the exam, therefore 4 ( $6 - 2$ )  $\times 15 = 60$  credits are returned as non-completions in column 3 of Table A.

## Repeated years

- 15 Where students repeat a year, the length of the course is effectively increased and the maximum number of fundable credit values increases accordingly (for example, a part-time degree usually lasting six years where 60 credits are taken per year with a repeat year becomes a seven year degree equivalent to 420 fundable credit values). Credit values associated with students repeating a semester or part of the year on a part-time basis who have not progressed to the next year of study and are not taking any modules relating to the next year of study, should be counted. However, credit values associated with repeat modules where the student has progressed to the next year of study must **not** be counted, unless the credit values associated with the module were counted

as not completed in the previous year. In such cases, where credit values associated with a repeat module are counted, the maximum number of credit values over the whole course should not exceed those listed in paragraph 3 of Annex F.

### **Non-completions**

- 16 A module or unit and the credit values associated with it are counted as completed if all assessment required for that module or unit has been undertaken. Otherwise, the module or unit and the credits associated with it should be counted as not completed.
- 17 Where a student withdraws or drops out of their course having completed some modules or units, or continues but withdraws or drops out of some modules or units, only the credit values associated with those modules or units that were not completed should be included as non-completions. Credit values associated with the completed modules or units should **not** be included as non-completions.
- 18 Credit values associated with students who do not take part in all or some of the required assessment procedures for a module or unit for the year of study, can be counted as completed if the student is assessed after the end of the academic year in order to enable the student to progress to the next year or graduate. This will be, for example, where a student who did not sit the original examination for the module or unit within the year, because of illness, takes a resit examination that takes place after the end of the academic year or where a student will be handing in coursework for the module or unit after the end of the academic year, by agreement with the institution. The number of credit values expected to be completed in this way should not be included in the number of non-completions returned in the tables.
- 19 As the request for data is in-year, the number of credit values not completed will have to be estimated. In general, estimates should be based on the proportion of non-completed credit values in the previous year or years, or for new provision, information about similar provision in the first year of delivery. However, other methods may be used if institutions believe these would provide more accurate estimates. It is not expected that institutions will assess whether each individual will complete a module or unit, rather that a robust method will be used in calculating estimates. It is expected that end of year data extracted from HESA student record and data from the HESES survey in previous years will be examined to determine if estimates made at HESES were reasonable, and if methods need to be adjusted.



**Example 8:** 10 students enrol for a part-time course in English starting in May 2017. The first module of the course, which is worth 20 credit values, starts in May 2017 and finishes in October 2017. In the previous year, out of 12 students starting the equivalent module, 1 withdrew from the module in June and 2 withdrew from the module in August, having taken no assessment for the module. In column 2 of Table A,  $10 \times 20 = 200$  credit values are returned in ASC 9. In column 3, an estimate of the number of credit values not completed, based on previous years' data, calculated as  $3/12 \times 10 \times 20 = 50$ , is returned in ASC 9. The total number of assumed credit values for the module, calculated in column 4, would be 150.

**Example 9:** 57 students enrol for a part-time first degree course in October 2016. 1 student fails 2 out of 3 modules taken in the first year and does not progress to the second year of the course. All modules are worth 20 credits each. The student retakes the 2 failed first year modules in the 2017/18 academic year with the intention of resuming study for the remainder of the course in 2018/19. In the first year of the course, 60 completed credit values would be returned on Table A for 2016/17 for the student. For the year in which the student repeated the 2 failed modules, 40 credit values would be returned, on Table A for 2017/18. For the second year of the course (the student's third year at the institution), 60 credit values would be returned on Table A for 2018/19, and similarly, 60 credit values would be returned for each subsequent year. The number of credit values returned in total for this student over the whole course, assuming they took 60 credits per year for the rest of the course and did not repeat any more modules, which has taken seven years, would be 400.

### Part-time credit value table (Table A)

- 20 Table A collects part-time undergraduate and postgraduate taught home and EU fundable registrations for the academic year 2016/17 in terms of the credit values associated with the modules, units or courses started in the current academic year.
- 21 Credit values are returned split into those associated with part-time home and EU fundable student registrations up to and including 1 November 2016, and credit values associated with forecast new student registrations between 2 November 2016 and 31 July 2017. The numbers of non-completed credits are also collected and the total assumed completed credit values are calculated in the workbook.
- 22 The data are categorised into level of study and ASC. Data are returned as whole numbers. Note that some students excluded from the registration table (Table 1) as non-completions may be shown as completing modules or credit values in Table A. Similarly, final year students on non-standard academic year courses may be excluded from Table 1 but credit values for modules relating to those students may be recorded in Table A.
- 23 The table has four columns:

- 24 **Column 1:** Numbers of credit values arising from registrations on modules, units or courses between 1 August 2016 and 1 November 2016 inclusive. Figures should be net of all known transfers, withdrawals and dropouts occurring up to 1 November 2016.
- 25 **Column 2:** Predicted numbers of credit values arising from forecast new registrations on modules, units or courses after 1 November 2016. Figures recorded here should be predictions after allowance for transfers after 1 November 2016.
- 26 **Column 3:** Estimated numbers of credit values associated with non-completions of modules, units or courses, after 1 November 2016. Credit values returned in column 3 are a subset of those returned in columns 1 and 2.
- 27 **Column 4:** This shows the overall assumed completed credit values to be used in the calculations of the main teaching funding arising from registrations on modules, units or courses for the academic year 2016/17. It is the sum of columns 1 and 2, minus column 3. The calculation is done automatically in the spreadsheet.

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**Funding status reference grid**

## Summary of funding rules by location of study and fee regime 2016/17

## Annex O

### Home and EU PT/PGT and old regime FT UG students

	In Wales			In UK outside Wales			Outside UK
	Welsh domicile	Other home and EU domicile	Island and overseas	Welsh domicile	Other home and EU domicile	Island and overseas	All domiciles
Distance learning	F	F	IO	F	NF	IO	NF & NR
At institution's campus	F	F	IO	F	NF	IO	NF & NR
Franchise to publicly funded institution	F	F	IO	NF	NF	IO	NF & NR
Franchise to non-publicly funded institution	NF	NF	IO	NF	NF	IO	NF & NR
Other collaborative arrangements/partnerships, including validation arrangements <sup>1</sup>	NF & NR	NF & NR	IO & NR	NF & NR	NF & NR	IO & NR	NF & NR
Any location with place funded from other sources or as part of a specific scheme <sup>2</sup> or the place is on a closed course <sup>3</sup>	NF	NF	IO	NF	NF	IO	NF & NR

### Home and EU new regime FT UG/PGCE students

	In Wales			In UK outside Wales			Outside UK
	Welsh domicile	Other home and EU domicile	Island and overseas	Welsh domicile	Other home and EU domicile	Island and overseas	All domiciles
Distance learning - fees paid through grants/loans or by student/employer	F	F	IO	F	NF	IO	NF & NR
At institution's campus - fees paid through grants/loans or by student/employer	F	F	IO	F	NF	IO	NF & NR
Franchise to publicly funded institution - fees paid through grants/loans or by student/employer	F	F	IO	NF	NF	IO	NF & NR
Franchise to non-publicly funded institution - fees paid through grants/loans or by student/employer	NF	NF	IO	NF	NF	IO	NF & NR
Other collaborative arrangements/partnerships, including validation arrangements <sup>1</sup> - fees paid through grants/loans or by student/employer	NF & NR	NF & NR	IO & NR	NF & NR	NF & NR	IO & NR	NF & NR
Any location with fees paid by a public body other than HEFCW or funded as part of a specific scheme <sup>2</sup> or the place is on a closed course <sup>3</sup>	NF	NF	IO	NF	NF	IO	NF & NR

#### Notes:

F = home and EU fundable

NF = home and EU non-fundable

IO = Island and overseas

NR = non-returnable on HESES/EYM

<sup>1</sup>Other collaborative arrangements/partnerships include partnerships with institutions or organisations not owned by the Welsh HEI, that are not franchising arrangements, for example partnerships with non-publicly funded colleges where the institution provides quality assurance or validating arrangements only and does not provide any funding to that college.

<sup>2</sup>For example, Phase 2 of the UHOVI scheme.

<sup>3</sup>A course is closed if the costs of that course are met by a particular company or organisation and the course is not open to all those suitably qualified.

For joint courses, only provision belonging to the Welsh institution should be considered for inclusion on HESES/EYM. The rules above should be applied to that provision.

**Sample copies of tables for completion by all institutions  
directly funded by HEFCW**

HESES 2016/17

Table 1: Student Registrations

Mode: All Modes

Institution:

Code:

Level of study		Assumed completed registrations in academic year 2016/17											
		Full-time			Sandwich Year Out			Part-time			Total		
		Home and EU		Island and overseas	Home and EU		Island and overseas	Home and EU		Island and overseas	Home and EU		Island and overseas
		Fundable	Non-fundable		Fundable	Non-fundable		Fundable	Non-fundable		Fundable	Non-fundable	
		1a	1b	1c	2a	2b	2c	3a	3b	3c	4a	4b	4c
Not franchised out	Undergraduate degree										0.0	0.0	0.0
	Undergraduate non-degree										0.0	0.0	0.0
Franchised out	Undergraduate degree										0.0	0.0	0.0
	Undergraduate non-degree										0.0	0.0	0.0
Undergraduate total		0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
Postgraduate taught											0.0	0.0	0.0
Postgraduate research											0.0	0.0	0.0
Total		0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0

Contains formulae

Each sandwich year out registration is counted as 1.

Table 2: Home and EU Fundable ITT (QTS) New Entrant Student Registrations

Mode: Full-time

Institution:

Code:

Phase	Subject	Level	New entrant registrations between 1 August 2016 and 1 November 2016
			2
Primary Education		UG degree PGT	
Secondary Education	Information Technology	UG degree PGT	
	Design and Technology	UG degree PGT	
	French	UG degree PGT	
	German	UG degree PGT	
	Italian	UG degree PGT	
	Spanish	UG degree PGT	
	Other Modern Languages	UG degree PGT	
	Welsh	UG degree PGT	
	Mathematics	UG degree PGT	
	Biology	UG degree PGT	
	Chemistry	UG degree PGT	
	General/Integrated Science	UG degree PGT	
	Physics	UG degree PGT	
	Other Science	UG degree PGT	
	Music	UG degree PGT	
	Religious Education	UG degree PGT	
	Art	UG degree PGT	
	Business Studies	UG degree PGT	
	Drama	UG degree PGT	
	English	UG degree PGT	
	Geography	UG degree PGT	
	History	UG degree PGT	
	Physical Education	UG degree PGT	
	Other (Specify)	UG degree PGT	
	Total	UG degree PGT	0.0 0.0
Total		UG degree PGT	0.0 0.0
Total			0.0

Contains formulae

**Table 3: Full-time Undergraduate and PGCE Home and EU Registrations Under the New Fee Regime - New Entrants and students in their second, third, fourth or fifth year at the institution (NHS funded students excluded)****Mode: Full-time****Institution:****Code:**

Academic Subject Category		Assumed completed home and EU registrations under the new fee regime in academic year 2016/17 - <b>new entrants</b>							
		Welsh and EU residential status				Other home residential status			
		HEFCW-fundable		HEFCW non-fundable		HEFCW-fundable		HEFCW non-fundable	
		Undergraduate	PGCE (QTS)	Undergraduate	PGCE (QTS)	Undergraduate	PGCE (QTS)	Undergraduate	PGCE (QTS)
		1a	1b	2a	2b	3a	3b	4a	4b
1	Clinical and Pre-clinical/non-clinical Medicine and Dentistry								
2-10 & 11b	Other ASCs								
11a	Education ITT (QTS)								
Total		0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0

Academic Subject Category		Assumed completed home and EU registrations under the new fee regime in academic year 2016/17 - <b>students in their second year at the institution</b>							
		Welsh and EU residential status				Other home residential status			
		HEFCW-fundable		HEFCW non-fundable		HEFCW-fundable		HEFCW non-fundable	
		Undergraduate	PGCE (QTS)	Undergraduate	PGCE (QTS)	Undergraduate	PGCE (QTS)	Undergraduate	PGCE (QTS)
		6a	6b	7a	7b	8a	8b	9a	9b
1	Clinical and Pre-clinical/non-clinical Medicine and Dentistry								
2-10 & 11b	Other ASCs								
11a	Education ITT (QTS)								
Total		0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0

Academic Subject Category		Assumed completed home and EU registrations under the new fee regime in academic year 2016/17 - <b>students in their third year at the institution</b>							
		Welsh and EU residential status				Other home residential status			
		HEFCW-fundable		HEFCW non-fundable		HEFCW-fundable		HEFCW non-fundable	
		Undergraduate	PGCE (QTS)	Undergraduate	PGCE (QTS)	Undergraduate	PGCE (QTS)	Undergraduate	PGCE (QTS)
		11a	11b	12a	12b	13a	13b	14a	14b
1	Clinical and Pre-clinical/non-clinical Medicine and Dentistry								
2-10 & 11b	Other ASCs								
11a	Education ITT (QTS)								
Total		0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0

Academic Subject Category		Assumed completed home and EU registrations under the new fee regime in academic year 2016/17 - <b>students in their fourth year at the institution</b>							
		Welsh and EU residential status				Other home residential status			
		HEFCW-fundable		HEFCW non-fundable		HEFCW-fundable		HEFCW non-fundable	
		Undergraduate	PGCE (QTS)	Undergraduate	PGCE (QTS)	Undergraduate	PGCE (QTS)	Undergraduate	PGCE (QTS)
		16a	16b	17a	17b	18a	18b	19a	19b
1	Clinical and Pre-clinical/non-clinical Medicine and Dentistry								
2-10 & 11b	Other ASCs								
11a	Education ITT (QTS)								
Total		0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0

Academic Subject Category		Assumed completed home and EU registrations under the new fee regime in academic year 2016/17 - <b>students in their fifth year at the institution</b>							
		Welsh and EU residential status				Other home residential status			
		HEFCW-fundable		HEFCW non-fundable		HEFCW-fundable		HEFCW non-fundable	
		Undergraduate	PGCE (QTS)	Undergraduate	PGCE (QTS)	Undergraduate	PGCE (QTS)	Undergraduate	PGCE (QTS)
		21a	21b	22a	22b	23a	23b	24a	24b
1	Clinical and Pre-clinical/non-clinical Medicine and Dentistry								
2-10 & 11b	Other ASCs								
11a	Education ITT (QTS)								
Total		0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0

Do not complete  
Contains formulae