

Office for  
Students



# HESES18

Higher Education Students Early  
Statistics survey 2018-19

**Reference** OfS 2018.40

**Enquiries to** [heses@officeforstudents.org.uk](mailto:heses@officeforstudents.org.uk)

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This document is relevant to higher education providers that:

- have registered (or applied to be registered) with the Office for Students (OfS) in the Approved (fee cap) category
- are **not** further education colleges, sixth form colleges or academies
- have registered students in 2018-19 on higher education courses recognised for OfS funding purposes.

The data collected provides an early indication of the number of higher education students studying in 2018-19, and, with data supplied to the Higher Education Statistics Agency, will inform the allocation of teaching funds for 2019-20.

Action: Higher education providers should upload returns to the OfS portal.

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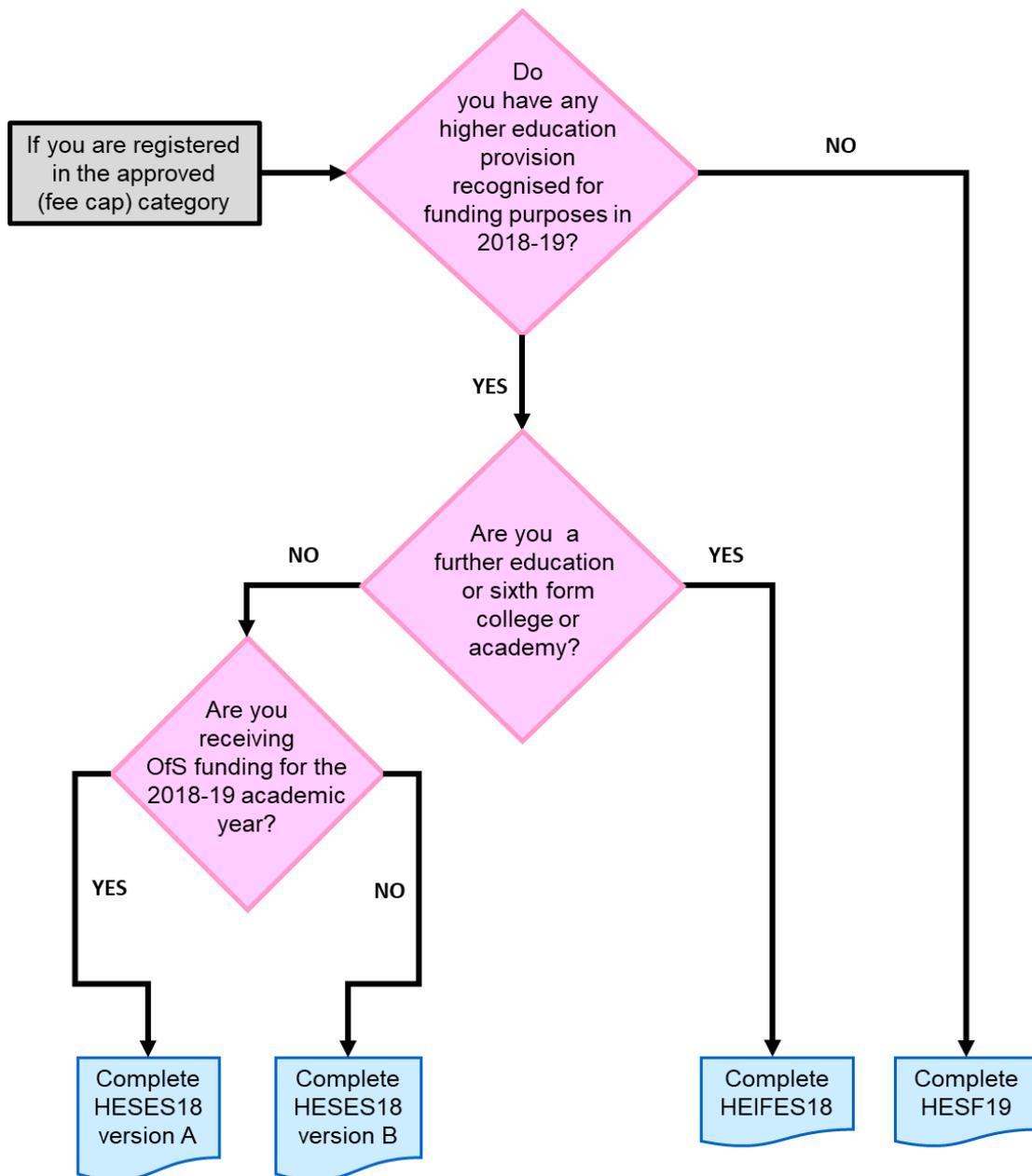
# Introduction

## Purpose

1. Higher education providers that are registered in the Approved (fee cap) category with the Office for Students (OfS) for the academic year 2019-20 (1 August 2019 to 31 July 2020) will be required to submit a data return in 2018-19 to the OfS. This will allow us to calculate OfS funding for 2019-20 and provides us with an early indication of student numbers for planning purposes.
2. This document sets out the requirements for the HESES18 return, and applies only to higher education providers that:
  - have registered (or applied to be registered) with the OfS in the Approved (fee cap) category
  - are **not** further education colleges, sixth form colleges, or academies
  - have registered students in 2018-19 on higher education courses recognised for OfS funding purposes (excluding any subcontracted in from another provider).
3. There are two different versions of the HESES18 survey, termed HESES18A and HESES18B. The two versions are mutually exclusive and reflect differences in the provider data available to us.
  - a. **HESES18A** will be completed by providers that are receiving OfS funding for the 2018-19 academic year.
  - b. **HESES18B** will be completed by providers that **are not** receiving OfS funding for the 2018-19 academic year.

Differences between HESES18A and HESES18B are listed in paragraph 32.
4. Higher education providers in the Approved (fee cap) category that do not meet the criteria in paragraph 2 will be required to complete a different survey. This will be either the 2018 Higher Education in Further Education Students survey (HEIFES18) or the 2019-20 Higher Education Students Forecast survey (HESF19). Figure 1 can be used to identify which survey a provider should complete.
5. The data provided in this survey will:
  - give an early indication, for purposes including government planning, of the number of higher education students studying in the academic year 2018-19
  - together with data supplied to the Higher Education Statistics Agency (HESA), inform the allocation of teaching funds for the academic year 2019-20.

**Figure 1 Determining which data return a provider should complete**



6. This document provides the following:
- An introduction to the HESES18 data return and how we use it to inform our funding allocations.
  - Guidance notes for completing the HESES18 survey (Part 1).
  - Definitions used in the HESES18 survey (Part 2).
  - Appendices which provide detailed technical information to support the HESES18 tables and worksheets (Part 3). Sample tables are available at [www.officeforstudents.org.uk/publications/heses18-higher-education-students-early-statistics-survey-2018-19/](http://www.officeforstudents.org.uk/publications/heses18-higher-education-students-early-statistics-survey-2018-19/). The tables for completion will be available to download from the OfS portal in October 2018. Full appendices will be supplied soon after.

## Introduction - Outline timetable for HESES18 return and funding round process

- e. A summary of changes since HESES17 (paragraphs 37 to 59 of the main document).
  - f. Good practice guidance (highlighted with blue banding to the left of the text).
  - g. Guidance on related HESA student record data ('HESA student record notes' sections throughout the document, highlighted with blue banding to the left of the text).
7. Information on how HESES data informs funding allocations can be found in our 'Guide to funding 2018-19: How the Office for Students allocates money to higher education providers' (OfS2018.21)<sup>1</sup>.

### Action required

8. HESES18 workbooks will be available to providers in October 2018. Providers must ensure that:
- a. Completed **HESES18A** workbooks are uploaded to the OfS portal by **noon on Monday 10 December 2018**.
  - b. Completed **HESES18B** workbooks are uploaded to the OfS portal by **noon on Wednesday 19 December 2018**.
  - c. By 28 January 2019:
    - i. All our data verification queries are resolved to our satisfaction.
    - ii. The data is signed off by their accountable officer.

### Outline timetable for HESES18 return and funding round process

9. The timetable for HESES18 and the 2019-20 funding round is summarised in the table below. The submission deadline for those providers returning HESES18B is later, to allow them more time to complete a data return that they will not previously have completed.

Date	Action
October 2018	HESES workbooks available to providers via the portal.
1 December 2018	HESES18 census date.
10 December 2018	Noon deadline to return HESES18A data.
19 December 2018	Noon deadline to return HESES18B data.
From mid-December 2018	Data verification phase, using our credibility checks and data comparisons. HESES contacts asked to verify, and answer any questions about, the data. Contacts will have up to five working days to respond. Further rounds of queries may be necessary. Providers notified of provisional formulaic grant adjustments (where applicable) arising from recruitment against their medical and dental intake targets, and invited to submit appeals.

<sup>1</sup> See [www.officeforstudents.org.uk/publications/guide-to-funding-2018-19/](http://www.officeforstudents.org.uk/publications/guide-to-funding-2018-19/).

## Introduction - Outline timetable for HESES18 return and funding round process

Date	Action
14 January 2019	Deadline for submission of appeals against grant adjustments arising from over-recruitment against medical and dental intake targets.
28 January 2019	HESES18 data must be signed off by the provider's accountable officer <sup>2</sup> as being correct as at 1 December 2018.
By end of February 2019	Providers notified of final grant adjustments arising from recruitment against medical and dental intake targets, including the outcome of appeals.
Spring 2019	Recurrent teaching grant allocations for 2019-20 released to providers.
Spring 2019	Confirmation of process and deadlines for providers to request transfers of provision and other data amendments.
By end of July 2019	Terms and conditions of funding for 2019-20 confirmed to providers.
Autumn 2019	Providers notified of any amendments to recurrent teaching grant allocations for 2019-20.

10. It is a condition of registration<sup>3</sup> that providers supply data requested by the OfS. It is also a condition of funding to 31 July 2019 that providers that we fund complete HESES18. Deadlines for the HESES18 return are not flexible. Where a provider fails to return credible data on time, we may base the allocation of funds on our own estimate of student activity. Providers that do not submit credible data on time are more likely to be audited.
11. We expect that the data signed off as correct by the provider's accountable officer is the final data that we will use. We will only accept amendments after this point in exceptional circumstances, where errors are widespread and significant and make a material difference to our use of the data. This will be determined through an amendment process<sup>4</sup>.
12. If we find, either through reconciliations with HESA data or through any data audit, that incorrect data has resulted in providers receiving incorrect funding, we will adjust their allocations accordingly for all relevant years (subject to any appeals process and the availability of our funds).
13. As explained under condition of registration F3<sup>5</sup>, the OfS will assess, as part of its routine monitoring activities, the quality, reliability and timeliness of information supplied by a provider including through scheduled or ad hoc data audit activity. If the OfS has reason to believe that

<sup>2</sup> See 'Regulatory advice 10: Accountable officers:: Guidance for providers on the responsibilities of accountable officers', (OfS 2018.29.), available at: [www.officeforstudents.org.uk/publications/regulatory-advice-10-accountable-officers-guidance-for-providers-on-the-responsibilities-of-accountable-officers/](http://www.officeforstudents.org.uk/publications/regulatory-advice-10-accountable-officers-guidance-for-providers-on-the-responsibilities-of-accountable-officers/).

<sup>3</sup> See [www.officeforstudents.org.uk/advice-and-guidance/regulation/conditions-of-registration/](http://www.officeforstudents.org.uk/advice-and-guidance/regulation/conditions-of-registration/).

<sup>4</sup> See [www.officeforstudents.org.uk/data-and-analysis/amendments-to-data/](http://www.officeforstudents.org.uk/data-and-analysis/amendments-to-data/).

<sup>5</sup> See 'Securing student success: Regulatory framework for higher education in England', (OfS 2018.01.), available at: [www.officeforstudents.org.uk/publications/securing-student-success-regulatory-framework-for-higher-education-in-england/](http://www.officeforstudents.org.uk/publications/securing-student-success-regulatory-framework-for-higher-education-in-england/).

information received is not reliable, it may choose to investigate the matter. This investigation may result in additional steps to ensure compliance, whether through enhanced monitoring or the imposition of specific ongoing conditions. The OfS may, for example, require the provider's accountable officer to implement an agreed action plan to improve the provider's information systems and processes and the oversight arrangements for these.

## **How to use this document**

14. This document provides guidance on how to complete the HESES18 survey and sets out the funding rules and definitions for OfS-funded higher education. This document has three parts:

### **Part 1: Guidance for completing the survey**

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

### **Part 2: Funding rules and definitions**

16. This Part defines the student population covered by the HESES return and gives guidance on what is 'countable' in HESES18. This ensures we can collect information on students counted for funding purposes, but also helps us to collect information on other higher education students. This helps provide a more complete picture of providers' higher education activities, supporting our understanding of their circumstances and student populations, for purposes including informing government planning, audits and reconciliations with HESA data.

17. Paragraphs 18 to 29 list the annexes in Part 2 of this guidance and give a short summary of what each covers.

#### **Annex A: Defining the HESES student population**

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

#### **Annex B: Recognised higher education for OfS funding purposes**

19. This annex defines the higher education courses recognised for OfS funding purposes; students must be studying one of these courses to be included in HESES18. It also details the treatment of students on higher, degree or advanced apprenticeships which include both recognised higher education and other elements.

#### **Annex C: Counting student activity**

20. This annex gives the definition of a year of instance and explains how to count them in HESES18. This includes the criteria for counting a year of instance in HESES18, the definitions of standard and nonstandard years of instance, flow charts to aid with determining how years of instance should be counted, and guidance on counting some short courses that are sometimes known as 'summer schools'.

#### **Annex D: Completion and non-completion**

21. This annex explains how to determine the completion status of a year of instance in HESES18.

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

22. This annex explains how full-time equivalence (FTE) for part-time students should be calculated in HESES18. This includes guidance on how to treat students who are exempt from part of a course, and full-time students who change mode within a year of instance to become part-time students.

#### **Annex F: Residential and fundability status**

23. This annex provides guidance on identifying the residential and fundability status of a student for the purposes of HESES18. It includes guidance on:

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

#### **Annex G: Price groups**

24. This annex explains how years of instance should be mapped to price groups for the purposes of HESES18, including guidance on specific cases. Examples are given for cases where a year of instance is split across price groups and where provision is contracted out.

#### **Annex H: Mode of study**

25. This annex explains how to determine, for the purposes of HESES18, the mode of study for a year of instance (full-time, sandwich year out or part-time). It includes guidance on how to treat learning in the workplace and work experience when determining mode of study.

#### **Annex I: Level of study**

26. This annex explains how to determine a student's level of study (undergraduate (UG), postgraduate taught (PGT) and postgraduate research (PGR)) for the purposes of HESES18 and three sub-levels of postgraduate taught. It also explains how the data in Table 5 of HESES18 is split to allow separate identification of students on apprenticeships.

#### **Annex J: Long years of instance**

27. This annex explains how to determine whether a full-time or part-time year of instance should be classed as 'long' for the purposes of HESES18. It also contains guidance on how to treat learning in the workplace and work experience when determining the length of a year of instance, as well as examples of how to treat mixed-length courses.

#### **Annex K: Year abroad categories in Table 4**

28. This annex provides guidance on how to assign years of instance to the appropriate category of year abroad in Table 4 of HESES18.

## **Annex L: Nursing, midwifery and allied health for Tables 7a, 7b and 7c**

29. This annex defines the pre-registration healthcare profession courses and populations which must be separately identified in HESES18 Tables 7a, 7b and 7c. Only providers delivering these courses in 2018-19 need to complete these tables.

### **Part 3: Appendices**

30. The following appendices will be issued once the workbooks have been released (from October). They will contain detailed technical information to support the HESES18 tables and worksheets:

- a. Appendix 1 provides guidance on using the OfS portal and workbook submission.
- b. Appendix 2 describes the validation checks on HESES18 data.
- c. Appendix 3 describes the credibility checks on HESES18 data.
- d. Appendix 4 provides further guidance on the comparison table worksheets.
- e. Appendix 5 provides guidance on the funding worksheets A to G.

31. Examples of Tables 1 to 8 of the HESES18 survey are available online at [www.officeforstudents.org.uk/publications/heses18-higher-education-students-early-statistics-survey-2018-19/](http://www.officeforstudents.org.uk/publications/heses18-higher-education-students-early-statistics-survey-2018-19/). The tables for completion will be available to download from the OfS portal (<https://extranet.officeforstudents.org.uk/data>) in October 2018.

## **Differences between HESES18A and HESES18B**

32. There are a number of differences between the two versions of HESES18, which arise from differences in the data available to us for providers:

- a. HESES18A is completed by providers that, along with the other criteria given in paragraph 2, received OfS funding for 2018-19. They will have completed a previous version of HESES and their data allows us to include comparison tables in their HESES workbook that are used as part of our data verification process.
- b. HESES18B is completed by providers that, although they meet the criteria given in paragraph 2, did not receive OfS funding for 2018-19. The limited availability of historical data for these providers means that at this stage we cannot include comparison tables. It also means that these providers need to provide some extra information for planning and funding purposes<sup>6</sup>. We will be using HESA alternative provider data to create comparison tables for those providers completing HESES18B. Further instructions released in October will detail how we will be using this data.
- c. There are a number of differences in the tables contained in each version, which are listed later in this guidance (see paragraph 117 in Part 1).

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<sup>6</sup> For providers completing HESES18A, this information can be extracted from their historical data.

33. Providers completing HESES18B are required to complete Table 8 (Teaching locations for students). The workbooks for HESES18A do not include Table 8.
34. Providers completing HESES18A use the concept of 'academic cost centres' to assign the activity of some students to price groups (see Part 2, Annex G). Providers completing HESES18B do not have a concept of cost centres and so instead will use the Joint Academic Coding System (JACS), where relevant, to determine price group.
35. HESES18B has a later submission deadline than HESES18A. This acknowledges that providers completing HESES18B are new to the requirements of completing a data return for the OfS and may need some extra time to address these requirements. Both versions of HESES have the same final sign-off deadline.
36. We aim to treat all providers fairly and equally; therefore the vast majority of the guidance contained in this document applies equally to both versions of the survey. Where the two versions differ, this will be explicitly stated in the guidance and the relevant paragraphs will be labelled with a coloured band on the left of the page.

## Summary of changes and clarifications since HESES17

37. Those completing HESES18A who previously completed HESES17 should note the following changes and updates that have been made to the 2017-18 version (HESES17) for HESES18. Providers completing HESES18B may disregard this section. The main changes were set out in 'Funding for academic year 2019-20: Approach and data collection' (OfS 2018.31)<sup>7</sup>.

### Changes to tables

38. The forecast table worksheet has been removed from the HESES return.

#### Table 5

39. We have redesigned Table 5 to collect sub-levels that reflect whether qualifications are studied as part of an apprenticeship and to collect new entrant data for apprentices. Undergraduates are no longer broken down between the sub-levels used in HESES17.

#### Tables 7a, 7b and 7c

40. Tables 7a, 7b and 7c now collect data according to whether students started courses in 2016-17, 2017-18 or 2018-19. (Where a profession or level of study is not applicable, the cells are greyed out.) The data will be used for planning purposes and to inform funding allocations for providers in 2019-20.

### Funding tables

41. We have introduced revised funding tables in HESES18 to provide a more complete comparison of FTE data and modelled funding changes (see paragraph 2036). These are set out to reflect the

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<sup>7</sup> See [www.officeforstudents.org.uk/publications/funding-for-academic-year-2019-20-approach-and-data-collection/](http://www.officeforstudents.org.uk/publications/funding-for-academic-year-2019-20-approach-and-data-collection/).

grant Tables A to G first issued to providers in May 2018 or subsequently updated in July or October 2018..

## **Changes to and clarifications of definitions**

### **Annex A**

42. We have added references to HESF. This is a new data return to be completed by providers registered in the Approved (fee cap) category from 2019-20, that do not have their own students on courses recognised for OfS funding purposes in 2018-19.
43. We have updated guidance on partnerships between providers to reflect the terminology in our regulatory framework.

### **Annex B**

44. The definition of 'recognised higher education' for the purposes of completing the HESES18, HEIFES18 and HESF19 surveys has been revised so as to apply consistently across all providers, while also reflecting the funding responsibilities of other organisations. References to 'recognised higher education' mean recognised solely for our funding purposes, rather than any wider purpose.

### **Annex C**

45. We have added further guidance to paragraph 6a on counting years of instance for recognised higher education taken as part of an apprenticeship.
46. We have added guidance on which students should be recorded in Column 1 of Tables 1, 2, 3 and 5 in the HESES18 return. This guidance was previously given in Annex A.
47. We have updated the guidance on starters in 2016-17, 2017-18 and 2018-19 in Tables 7a, 7b and 7c to reflect the different treatment required for postgraduate pre-registration nursing, midwifery and allied health profession courses and for pre-registration dental hygiene and dental therapy courses compared with (other) undergraduate pre-registration courses. The different treatment is required to reflect the different academic years in which the transfer of funding responsibility from the Department of Health and Social Care (DHSC) begins.

### **Annex D**

48. We have added further guidance to the good practice notes (paragraphs 41 to 47) on the importance of determining a student's completion status as part of your student record processes, and on estimating non-completion rates.

### **Annex E**

49. We have revised the guidance on determining the full-time equivalence of part-time students, to ensure consistency with HEIFES. This has included adding new tables to help when determining full-time equivalence with reference to the duration of an equivalent full-time course. Figure E1 provides the FTE per year against the total FTE for a given course, depending on the number of years over which the course is taken. Figure E2 gives the typical lengths of full-time higher education qualification aims.

## **Annex F**

50. As in previous years, students are classified as 'Home and EU' if they can be regarded as eligible students as defined in Schedule 1 of the Education (Fees and Awards) (England) Regulations 2007 (Statutory Instrument 2007 No. 779), as amended. However, from 2018-19, persons granted stateless leave and their family members have been added as a new category of eligible students in the regulations. We have added a footnote to the guidance in Annex F to remind providers of this.

### **Changes to definitions and guidance on fundability status of home and EU students on pre-registration courses in nursing, midwifery and allied health professions**

51. The definition of non-fundable students has been amended to reflect that students starting, on or after 1 August 2018, a postgraduate pre-registration course in nursing, midwifery and allied health professions, or a pre-registration course in dental hygiene or dental therapy may now be recorded as fundable as a result of the further transfer of funding responsibility from the DHSC. Further guidance can be found in paragraphs 13c, 13d and 13e of Annex F. These changes are also reflected in Figures F2 and F3. Figures F2 and F3 have also been amended to make clear that if, notwithstanding the phased transfer of funding responsibility to the OfS, an NHS organisation is still commissioning and funding (as defined in paragraph 13f of Annex F) students who are on a pre-registration course in nursing, midwifery and allied health professions, such home and EU students should still be recorded as non-fundable.

## **Annex G**

52. We have updated guidance on the assignment to price groups of students on pre-registration courses in nursing, midwifery and certain allied health professions to reflect that students on dental hygiene and dental therapy courses should be included in price group A from 2018-19.

53. We have updated the guidance to make clear that all students on a sandwich year out should be assigned to price group C2, even if they also fall under one of the other specific cases in Annex G where price group assignment is determined by the characteristics of a course (for example, as leading to qualification to practice, or as improving the effectiveness of those already qualified to practice, in certain professions).

## **Annex H**

54. We have added guidance on the considerations we would expect to be made when determining the mode of study of students undertaking apprenticeships.

## **Annex I**

55. We have updated the guidance to make clear that all students on postgraduate pre-registration courses in nursing, midwifery and allied health professions should be assigned to the postgraduate (undergraduate fee) category.

56. We have also updated the guidance on undergraduate and postgraduate taught levels of study to reflect changes to the sub-levels in Table 5, which have been made to allow us to identify separately years of instance taken as part of an apprenticeship.

## **Annex J**

57. We have extended our definition of full-time long years of instance (paragraph 3 of the annex) to clarify our expectation that qualifications that are taken as part of an apprenticeship, and years of

instance for pre-registration courses in nursing, midwifery and allied health will not typically meet the criteria to be recorded as long.

## **Annex L**

58. We have updated the guidance on starters in 2016-17, 2017-18 and 2018-19 to reflect the different treatment required for postgraduate pre-registration nursing, midwifery and allied health profession courses and for pre-registration dental hygiene and dental therapy courses compared to (other) undergraduate pre-registration courses. The different treatment is required to reflect the different academic years in which the transfer of funding responsibility from the DHSC begins.
59. We have also updated the guidance in Annex L to make clear that all students on postgraduate pre--registration courses in nursing, midwifery and allied health professions should be assigned to the postgraduate (undergraduate fee) category. This applies irrespective of when students started their courses, or their own personal eligibility for student support.

# Part 1: The HESES process and instructions on completing the workbook

## Part 1 contents

The HESES process:

- Overview of the HESES18 process
- Before completing your survey
- Notes on completing your survey
- Submitting your survey
- The data verification phase
- Signing off your data
- What happens after the data is signed off
- Data assurance
- Good practice

Self-check questions

Guidance for completing workbook tables

- Selecting students to include in the survey
- The tables in the HESES18 survey workbook
- Data to enter into the tables
- Other worksheets

## The HESES process

60. This section describes the HESES process as a whole, from compiling and submitting the survey, through the data verification phase, to the point where the data is signed off. It also gives details of our data audit programme and recommendations on good practice.

### Overview of the HESES18 process

61. The timetable for the HESES18 process is summarised below. As previously stated, the submission deadline for those providers returning HESES18B will be later to allow them more time to complete a data return that they will not previously have completed.

Date	Action
2 August 2018	'Funding for academic year 2019-20: Approach and data collection' (OfS 2018.31) released, describing changes to the HESES and HEIFES guidance for 2018-19.
4 September 2018	HESES18A beginners' workshop held in London.
10 October 2018	HESES18 guidance released

Date	Action
18 October 2018	HESES18B workshop held in London
October 2018	Initial HESES18A workbook will be available to download from the OfS portal. These workbooks will contain the 2017-18 HESA data from the data checking tool.
From late November 2018	Updated HESES18A workbooks will be released containing the final comparison 2017-18 HESA data, once available.
From late October 2018	HESES18B workbooks will be released.
1 December 2018	HESES18 census date.
10 December 2018	<b>HESES18A submission deadline.</b> Valid HESES18A workbooks must be submitted through the OfS portal by noon.
19 December 2018	<b>HESES18B submission deadline.</b> Valid HESES18B workbooks must be submitted through the OfS portal by noon.
Mid-December 2018 to late January 2019	Data verification phase. OfS staff will discuss the data and associated explanations with staff at your provider. This may involve several rounds of queries.
28 January 2019	<b>Sign-off deadline.</b> Final HESES18 data must be signed off as correct by the provider's accountable officer <sup>8</sup> as at the census date.
February 2019	HESES evaluation. We will contact you after your data has been signed off with an evaluation survey. We will use this to evaluate the effectiveness of the HESES18 process and make improvements for the following year.

62. As noted in the introduction, HESES18 is completed only by higher education providers that:

- have registered(or applied to be registered) with the OfS in the Approved (fee cap) category
- are **not** further education colleges, sixth form colleges or academies
- have registered students in 2018-19 on higher education courses recognised for OfS funding purposes (excluding any subcontracted in from another provider).

63. Further education colleges, sixth form colleges and academies that have registered students in 2018-19 on higher education courses recognised for OfS funding purposes complete the HEIFES18 survey, which runs to a similar timescale.

64. Providers that did not have any registered students in 2018-19 on higher education courses recognised for OfS funding purposes will complete the HESF19 survey.

### Before completing your survey

65. In preparation for completing the survey, we recommend that you read this guidance thoroughly. When completing the survey, you will need to follow the definitions given in Part 2. To accompany our HESES18 beginners' seminar, we released a number of online training materials, which are

<sup>8</sup> See [www.officeforstudents.org.uk/publications/regulatory-advice-10-accountable-officers-guidance-for-providers-on-the-responsibilities-of-accountable-officers/](http://www.officeforstudents.org.uk/publications/regulatory-advice-10-accountable-officers-guidance-for-providers-on-the-responsibilities-of-accountable-officers/).

available from our website<sup>9</sup>. Depending on your level of experience in completing HESES, you may find it useful to consult this material when reading the rest of this guidance document.

66. Your provider will have nominated a member of staff to be our 'HESES contact', who we will write to in October when the survey workbooks are released. This person will be our primary point of contact throughout the HESES process, though it is possible for your provider to nominate alternative contacts. It is important that your contact details are correct. If you want to check or amend them, please contact us at [recurrentgrant@officeforstudents.org.uk](mailto:recurrentgrant@officeforstudents.org.uk). We recommend that more than one person is involved with completing the survey, so that expertise is spread across your staff.
67. Your HESES workbook is a Microsoft Excel (.xlsx) file that will be available to download from the OfS portal (<https://extranet.officeforstudents.org.uk/data>) in October. Please note that before you can access the workbook, the OfS portal user administrator at your provider will need to grant you access. Appendix 1 will provide further information on how to use the portal and the role of the user administrator.

### Notes on completing your survey

68. The HESES survey workbook provides an in-year count of the students on higher education courses recognised for OfS funding purposes at your provider in 2018-19, including a snapshot of your provision on the **census date of 1 December 2018**. This means that your HESES survey will include:
- a count of the students who have started their year by the census date
  - a forecast of the students you are expecting to start their year after the census date.
69. When completing the workbook, you may see automatic highlighting of three types:
- a. Validation errors on Tables 1 to 8, highlighting where data is not correct (for example, where a negative number has been entered in a column that cannot be negative). Any validation errors will need to be corrected before the workbook is ready to be submitted.
  - b. Credibility warnings on Tables 1 to 7c, highlighting where data is possible, but appears unusual (for example where you have recorded a particularly high percentage of your students as new entrants).
  - c. (HESES18A only) Highlighting on Comparison worksheets 1 to 3. These worksheets contain tables that summarise your HESES18 data and compare it with previous years. Any highlighting shows differences that are greater than might be expected.

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<sup>9</sup> See [www.officeforstudents.org.uk/data-and-analysis/data-collection/](http://www.officeforstudents.org.uk/data-and-analysis/data-collection/)

70. After completing the workbook, it is good practice for someone else to review the data. You should also:

- a. Make notes of any highlighting and investigate the underlying causes – it is possible that this might bring to light errors in your data. During the data verification phase of the HESES process (see paragraphs 75 to 92), we will ask you about these highlighted sections.
- b. Have a senior member of the provider check the return and agree that it is accurate.
- c. Use the set of Self-check questions (see page **Error! Bookmark not defined.**5) as a final check on your data and processes.

### Submitting your survey

71. When you are satisfied that the survey is complete and accurate, you have until the submission deadline to upload the workbook to the OfS portal. The deadlines are:

- **noon on Monday 10 December** for those submitting HESES18A
- **noon on Wednesday 19 December** for those submitting HESES18B.

72. We will not give extensions to these deadlines. Please note that the portal usually sees heavy traffic on deadline day, which can cause the upload process to take longer than usual. You can submit the workbook to us before this date, and it is possible to submit the workbook multiple times, though we will only keep and use the most recently uploaded version. Though it is possible to upload your survey to the portal at any time, we require that your final submission is uploaded after the census date of 1 December 2018.

73. After uploading the HESES workbook, you should email [dataverification@officeforstudents.org.uk](mailto:dataverification@officeforstudents.org.uk) with explanations for any highlighted credibility checks or (for those completing HESES18A) comparison tables (see paragraph 70). This highlighting will form the basis of any questions you will be asked as part of the data verification phase of the HESES process. Explanations should include sufficient detail to allow us to understand fully the cause for the highlighting on data that appears unusual, or exceeds the defined comparison table thresholds (see Appendices 3 and 4, once available). Providing explanations with your submission will considerably shorten the data verification phase.

74. After the HESES workbook has been successfully uploaded to the portal, you will be able to download a results package. This contains the latest processed copy of your HESES workbook, which will have an updated 'Information' worksheet that will show the submission date and a version number. You should always download the results package, as we will refer to the most recent version of your workbook during the rest of the HESES process.

### The data verification phase

75. The data verification phase of the HESES process allows us to:

- be confident in the accuracy of your data
- understand any context to the data and how this relates to changes highlighted

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- identify any large or unexpected changes from previous years.

76. The data verification phase starts after the submission deadline, and ends on the signoff deadline (**Monday 28 January 2019 for all providers**). By this point any queries we have will need to be answered and your data will need to be signed off as correct. The timescale for data verification takes account of the holiday period. It is advisable to have more than one member of staff involved with completing the HESES survey.

77. After the submission deadline, we will email your provider's HESES contact with our initial queries within five working days. This email will come from a member of our data verification team who will have reviewed your HESES workbook, along with any initial explanations that you have sent us. This initial email will contain a letter with full instructions, along with our specific queries set out in a separate Microsoft Word document.

78. We expect your response to our initial queries to be returned within another five working days to [dataverification@officeforstudents.org.uk](mailto:dataverification@officeforstudents.org.uk). We will then review your response and, if necessary, respond with further queries. Several rounds of queries are often necessary before your data is ready to be signed off. In later rounds of queries, response deadlines may be shorter because of the timescales of the data verification phase.

79. During data verification, it may become apparent that part of your workbook needs to be amended. If so, directions for resubmitting the survey will be included in the letter.

### Data queries

80. When generating initial queries, we will look at:

- credibility warnings on Tables 1 to 7c
- (HESES18A only) highlighting in the comparison tables
- other relevant issues.

81. The credibility warnings, and many of the changes in the comparison tables (HESES18A only), will be automatically highlighted in your survey workbook as you complete it. They are triggered when your data exceeds certain thresholds – more information on this will be given in Appendices 3 and 4.

82. For HESES18B, we may raise queries from the comparison tables during the verification process if we are able to compare your data to historical data for your provider.

83. Generally, queries are raised:

- a. Where your data differs from our usual expectations; for example, when you have a particularly low percentage of new entrants.
- b. Where your data shows a significant change from previous years; for example, when your total number of students has increased or decreased in excess of a pre-set threshold.

84. In your initial explanations, and when you respond to our queries, we require responses that directly relate to the query raised, provide an appropriate level of detail, and show an understanding of HESES definitions.
85. If you are addressing queries raised from the comparison tables you should describe how your higher education provision has changed compared with the previous year. You may wish to reference specific changes in provision at a department or course level. You should also describe changes to any provider arrangements, for example if your subcontractual arrangements with other providers have changed.
86. We recognise that a single underlying issue can relate to several queries. In this case we do not expect you to repeat your answers – it is acceptable to answer once and refer to this answer later. However, you should also check to see whether there are any other issues that may have contributed to the query.
87. (HESES18A only) You should review responses your provider has provided to data verification queries in previous years to see whether these refer to ongoing issues. We do not want to assume that these answers still apply to your provider, so may ask similar questions; it can be useful to pre-empt these questions by providing any relevant answers up front.

### Signing off your data

88. When our queries have been resolved and any amendments to your data have been processed, we will ask for your data to be signed off by your provider's **accountable officer**, who is usually the head of provider.
89. We will send you a verification form by email. Please check that the date and version number match those in your most recent HESES workbook. Your accountable officer will need to sign this form, which should then be emailed to [dataverification@officeforstudents.org.uk](mailto:dataverification@officeforstudents.org.uk). The final deadline for us to have received the sign-off form is **noon on Monday 28 January 2019**.
90. Providers are reminded about the importance of meeting data collection deadlines, particularly as this forms part of the ongoing conditions of registration with the OfS. Where a provider fails to submit data on time, or returned data is not credible after verification, we may allocate funds based on our own estimates of student activity. Providers that do not submit credible data on time are more likely to be audited.

### What happens after the data is signed off

91. Straight after the sign-off deadline, we will start to prepare your HESES data for various uses, including to calculate your grant for 2019-20.
92. Shortly after the data verification phase has ended, we will contact you for feedback on the HESES process, through an online survey. This feedback is extremely valuable to us, and will allow us to evaluate the effectiveness of the HESES process and will guide any improvements that we may consider for future data collection.

## Data assurance

93. Data assurance is an essential part of how we can ensure that our approach to regulation is appropriate and effective. The requirement to permit verification of information is condition F3, which applies to all registered providers. More information on condition F3 is set out on pages 127-131 of the Regulatory Framework<sup>10</sup>.
94. It is essential to keep an audit trail when filling out your HESES return, recording how your decisions have been made and the data used to support them. As part of our regulatory responsibilities examples of areas we may look at include:
- whether there is sufficient data for any estimates, forecasts or judgements
  - evidence of enrolment and engagement
  - any relevant internal audit work carried out on your student record system or HESES return.
95. Our data audits test the systems and processes used by a provider to prepare specific aspects of their data. This can involve desk-based audit work, as well as visits to providers to:
- a. Review systems used to manage student data.
  - b. Review supporting audit trail documents that show how the return was produced.
  - c. Test the values reported on the return and the assumptions underpinning it. This involves selecting samples (or whole populations) of students and testing how they have been reported in the return.
96. Audits will often include a review of the final (outturn) position of students at the end of an academic year. This will allow us to assess the reasonableness of any assumptions made when they were included in the HESES return, for instance in non-completion estimates.
97. We will compare your HESES with data submitted to HESA for the same year. We will use this comparison to assess the risk that HESES or HESA data is incorrect. This could lead to assurance work and will be considered as part of ongoing registration.

## Audit recommendations

98. Paragraph 9 of Annex C of 'Terms and conditions of funding for higher education institutions' (OfS 2018.15)<sup>11</sup> states that the annual report of a provider's audit committee must include the committee's conclusions on the adequacy and effectiveness of the provider's arrangements for the management and quality assurance of data submitted to HESA, the Student Loans Company, the Higher Education Funding Council for England (HEFCE), the OfS, Research England and other bodies. This is to ensure adequate governance oversight of the systems used to generate data by

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<sup>10</sup> See [www.officeforstudents.org.uk/publications/securing-student-success-regulatory-framework-for-higher-education-in-england/](http://www.officeforstudents.org.uk/publications/securing-student-success-regulatory-framework-for-higher-education-in-england/).

<sup>11</sup> Available online at [www.officeforstudents.org.uk/publications/terms-and-conditions-of-funding-for-higher-education-institutions/](http://www.officeforstudents.org.uk/publications/terms-and-conditions-of-funding-for-higher-education-institutions/).

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the provider, since poor data may represent a significant risk for providers. Further guidance for audit committees on data assurance can be found at the archived HEFCE website<sup>12</sup>.

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

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

100. We strongly recommend that providers review their arrangements regularly, taking into account the above, as well as the blue bordered 'Good practice' sections in this document. Providers should give particular attention to any changes introduced in HESES18, and ensure they have assurance over all aspects of the return in case of audit.

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<sup>12</sup> See <http://webarchive.nationalarchives.gov.uk/20180405125800/http://www.hefce.ac.uk/reg/guidance/audit/>.

## Good practice

### Audit trail

101. You should keep an adequate audit trail between student record systems and the HESES return for **at least five years**. This should include a record of the basis for estimating non-completions and forecast countable years, along with any relevant electronically stored data, printouts and working papers used in completing the return. Source documents such as registration forms should also be retained, including information on students' detailed study intentions for the academic year and their qualifications on entry.
102. There should be an audit trail to individual figures in the return. In the case of figures based on activity up to the census date, a clear trail from individual students to the figures should be retained. During audit we may ask for a sample of these figures to be rebuilt. In the case of estimates and forecasts, there must be a clear rationale for the figures, and backup data justifying what is being returned.
103. Where your provider is involved in subcontractual or other partnership arrangements, your audit trail must contain evidence for the inclusion or exclusion of students (including details of the partnership arrangements between providers), and forecasts relating to such students. In particular, providers should ensure that evidence of completion status of students taught by partner providers is held.

### Knowledge management and staff training

104. It is advisable to have **at least two people** who know how to prepare the HESES data return. At many providers, the knowledge required to prepare the HESES return is undocumented and sometimes lies with only one person. This creates a risk that in that person's absence, particularly at crucial times of the year, the provider may not be able to prepare the return on time and to the appropriate standard. A good audit trail helps to reduce this risk, but we also consider it good practice for all providers to manage this risk by ensuring that at least two people can produce the information for the return and prepare the return itself.
105. All relevant staff, including experienced staff, should consider the HESES guidance each year and make any necessary changes to their systems. Providers should also ensure that the relevant processes are adequately documented and that this documentation is kept up to date.
106. Staff should prepare data returns using **OfS funding rules** set out in this document, **not** their own academic regulations. There are, quite reasonably, differences between providers' academic regulations and the rules relating to the counting of students for funding purposes. It is essential that individuals involved in completing student data fields used for funding purposes fully understand the fields they are completing in the student record. For these fields, student activity should be reported with regard to funding rules and not in accordance with the provider's own academic regulations and progression rules. This is discussed in more detail in Annex D.
107. Your data collection and recording procedures should be **applied consistently** across the provider. Although providers have academic regulations and procedures for managing student data in their student record systems, practice within providers can be inconsistent. In general, provider practices for collecting and recording data should be applied consistently across all departments and faculties with the same data requirements. However, some departments may have additional

requirements to meet. For example, faculties of health studies often have requirements beyond those of the rest of the provider.

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

### **Analytical reviews and data reconciliations**

109. You should **check your 2018-19 HESA record** against your HESES18 data **before** your HESA data is submitted. Differences should be examined as part of the process for identifying possible data errors, and amendments made to the HESA data if necessary. It should also help to eliminate inconsistencies in students' treatment in the two returns for future reference, and reduce systems problems with the way students are returned in HESA data before submission. In summer 2019 we expect to give providers access to a data checking tool that will be able to recreate a provider's HESES18 data from its 2018-19 HESA return.

### **Management information**

110. In gaining assurance we do not ask for any reports that could not reasonably be expected to be used in everyday activity. However, some providers have great difficulty in extracting this standard data from the student record system, and many do not even hold the required data. Data that cannot be extracted and reported on is of limited value.
111. Developing exception reporting, and using it to highlight data issues for review and subsequent amendment, will help to ensure that high-quality data is returned. Data quality is also enhanced by data management reviews by those with a good understanding of the data.

## Self-check questions

112. Please ensure that you can answer 'Yes' to all these questions before submitting the completed HESES18 return.

Q1. Is your student records system recording student information in accordance with the OfS funding rules? Have you complied with the OfS funding rules and definitions, as set out in Part 2?

Q2. Have you kept an effective audit trail?

Q3. Have you passed all of the validation checks on each table? (See Appendix 2 for further information).

Q4. Where the workbook shows credibility warnings or, for those completing HESES18A, automatic check highlighting on the comparison tables, have you:

- checked the data to make sure that it is correct?
- checked that you are using the definitions set out in this publication?
- emailed [dataverification@officeforstudents.org.uk](mailto:dataverification@officeforstudents.org.uk) to explain why the data is credible?

(See Appendices 3 and 4 and Part 1 for further information).

Q5. When assessing non-completion status, have you:

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

Q6. If you have included any forecast years of instance in Column 2 of the tables in the HESES18 workbook, do they meet the criteria to be included? (See Annex C and the guidance above for further information on what activity may be recorded in Column 2).

Q7. Where you have made forecasts and estimates for the HESES return, are they made from robust and accurate past performance data? Have you kept an audit trail for these decisions?

Q8. Have all contracted-out years of instance been included only on your provider's return, and not on the teaching provider's return? (See Annex A for more information).

Q9. Have you excluded years of instance which are contracted in?

## Guidance for completing workbook tables

### Selecting students to include in the survey

113. You will first need to read the guidance in Annex A to identify which students are in the HESES population for 2018-19. You will also need to refer to Annex B to identify ‘recognised higher education for OfS funding purposes’.
114. In HESES18 you must record ‘years of instance’ rather than students. This is because students may be on more than one course or ‘instance’, and not all years may count. Annex C fully explains which years of instance should be counted in the HESES18 survey.
115. The census date for HESES18 is **1 December 2018**. A student starting in the academic year but withdrawing before that date should not be counted.
116. When completing the survey you will also need to refer to Annexes D to L for definitions. You may be asked questions during data verification to make sure you are using the correct definitions.

### The tables in the HESES18 survey workbook

117. The HESES18 survey is an Excel workbook. There are **10 worksheets** (Tables 1 to 8) that you may need to complete. The HESES18A and HESES18B versions of the survey contain different sets of these worksheets, which are listed in Figure 2. You may not need to enter data into all of the worksheets for your survey; for instance, if you do not offer health courses you will not need to complete Tables 7a-c.

**Figure 2: The tables in the HESES18 workbook**

Table number	Name of worksheet	Title or description	Action	HESES18	
				A	B
	Validation	If you attempt to upload a workbook with validation errors, the resulting package will include this sheet which will contain details of the errors.	Automatically filled in the results package	✓	✓
1	1 Full-time	Full-time counts of years of instance.	Provider to complete	✓	✓
2	2 Sandwich	Sandwich year out counts of years of instance.	Provider to complete	✓	✓
3	3 Part-time	Part-time counts of years of instance and FTE.	Provider to complete	✓	✓
4	4 Year abroad	Home and EU undergraduate years abroad.	Provider to complete	✓	✓
5	5 Planning	Further student breakdowns for planning purposes.	Provider to complete	✓	✓
6	6 Subcontractual	Years of instance taught under subcontractual arrangements by other providers.	Provider to complete	✓	✓

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Table number	Name of worksheet	Title or description	Action	HESES18	
				A	B
7a	7a Health full-time	Full-time counts of years of instance for 2016-17, 2017-18 and 2018-19 starters on pre-registration health courses.	Provider to complete	✓	✓
7b	7b Health sandwich	Sandwich year out counts of years of instance for 2016-17 and 2017-18 starters on pre-registration health courses.	Provider to complete	✓	✓
7c	7c Health part-time	Part-time counts of years of instance and FTE for 2016-17, 2017-18 and 2018-19 starters on pre-registration health courses.	Provider to complete	✓	✓
8	8 Location	Teaching locations for students.	Provider to complete	✗	✓
	Comparison 1	Tables in these worksheets summarise your HESES18A data and compare it with previous years. You may be asked questions on large changes during data verification.	Automatically filled	✓	✗
	Comparison 2		Automatically filled	✓	✗
	Comparison 3		Automatically filled	✓	✗
	Other comparisons	These tables are for information only and are not generally used during data verification. Tables in this worksheet summarise your HESES18A data and compare it with previous years.	Automatically filled	✓	✗
	A Summary B High-cost C Student premium D Erasmus+ E Nursing, midwifery and allied health (NMAH) supplement F Other TAs (targeted allocations) G Parameters	These worksheets compare your teaching funding for 2018-19 (shown in your latest grant tables) with funding modelled using your HESES18A data. Funding is modelled using the 2018-19 funding methods and parameters. Modelled funding is provided solely for data verification purposes and is not an indication of funding for 2019-20 or funding adjustment for 2018-19.	Automatically filled	✓	✗

118. Appendix 5 will provide further information on the worksheets A to G.

119. You should note that in the following guidance, when we refer to column numbers and letters, we refer to the column titles on the tables, not to worksheet columns. Column titles may include more than one worksheet column.

## Completing the tables

120. For Tables 1 to 8 there are three different cell types:

- white cells – these are cells where we require data to be entered where appropriate to your provider
- blue cells – these are cells that have been either pre-populated with data from another source, or pre-filled by an underlying calculation
- grey cells – these cells are locked and data cannot be entered into them.

121. When entering data into Tables 1 to 8, you may see two types of highlighted message above the table:

- a. **Validation failures** (red highlighting) indicate where the data you have entered is not correct – for example, if you enter a positive number instead of a negative one in the ‘non-completions’ column. If any validation checks are triggered, you should check your data and make any necessary corrections. **We will not accept** a workbook with any validation failures.
- b. **Credibility checks** (orange highlighting) indicate where your data is possible, but appears unusual – for example, if there is a very high or very low proportion of new entrants. If any credibility checks are triggered, you should first check that your data is correct. If the data is correct, you will need to explain the underlying causes during data verification.

122. If any checks are triggered, further explanatory text will be automatically displayed, either below or to the right of the table. Further detail on these checks will be provided in Appendix 2 (validation checks) and Appendix 3 (credibility checks).

123. We recommend taking notes on any triggered credibility checks after you complete the workbook. You should email us your explanations for these when you submit your workbook; for example, a high percentage of one-year courses might explain an unusually high proportion of new entrants.

## Before you start

124. The first step in filling in the tables is to define who to include in the HESES18 survey using Annexes A, B and C. Once you have worked out this population, you will need to look at the mode of study of these students, using Annex H.

## Validation

125. If you attempt to upload a workbook with validation errors, the resulting package will include this sheet which will contain details of the errors.

## Table 1 Full-time

126. Table 1 is used to return years of instance for all of the full-time students in your HESES18 population. (Refer to Annex H for the definition of full-time). We will use this information when we calculate funding for 2019-20. A partial screenshot of Table 1 is shown in Figure 4.

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

Part 1: The HESES process and instructions on completing the workbook - Guidance for completing workbook tables

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

129. This table can be filtered by price group to make it easier to complete.

**Figure 3: Breakdown of full-time years of instance**

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

130. When completing Table 1:

- a. Enter in **Column 1** years of instance that started between 1 August 2018 and 1 December 2018 inclusive.
- b. Enter in **Column 2** years of instance that you forecast will start between 2 December 2018 and 31 July 2019 inclusive. This may include new entrants or those on the second or subsequent years of an instance.
- c. See Annex C for full instructions on whether to record years in Column 1 or Column 2.
- d. Enter in **Column 3** a forecast of the total number of years of instance included in Column 1 and Column 2 that will not be completed. Non-completions must be recorded as a negative number. You should use the definitions and methodology for calculating estimates described in Annex D. You may be asked questions on your methodology during data verification.
- e. **Column 4** will be filled automatically with the numbers of completed years, as you enter data into Columns 1 to 3.
- f. The totals in the **final rows** will be filled automatically and must add up to whole numbers.

Part 1: The HESES process and instructions on completing the workbook - Guidance for completing workbook tables

131. After completing the table make note of any credibility warnings (see paragraph 1333). In a separate document, list the underlying reasons that make the data credible for your provider. This will help with your initial explanations and your responses to our queries.

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

- a. The totals do not add up to whole numbers. If you have years of instance that are split across price groups, the totals must still be a whole number. Refer to Annex G for how to record this.
- b. Column 3 contains a positive number, or any other column contains a negative number.
- c. You record numbers to more than two decimal places.

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

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

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Figure 4: Partial screenshot of Table 1 Full-time

**Table 1: Full-time counts of years of instance**

University of East Filton

Level: Annex I

Length: Annex J

Price Group: Annex G

Column 1 or Column 2: Annex C

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

Column 4 Automatically completed

Fundability status: Annex F

Validation: OK

First-stage credibility: OK

Price group	Length	Level	Column 1			Column 2			Column 3			Column 4		
			Years countable between 1 August 2018 and 1 December 2018 inclusive			Forecast of years countable between 2 December 2018 and 31 July 2019 inclusive			Forecast of years not completed (negative values)			Automatically populated Estimated completed years academic year 2018-19 (Columns 1 + 2 + 3)		
			Ofs-fundable	Non-fundable	Island and overseas	Ofs-fundable	Non-fundable	Island and overseas	Ofs-fundable	Non-fundable	Island and overseas	Ofs-fundable	Non-fundable	Island and overseas
(a)	(b)	(c)	(a)	(b)	(c)	(a)	(b)	(c)	(a)	(b)	(c)			
A	Standard	UG	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
		PGT (UG fee)												
		PGT (Masters' loan)	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
		PGT (Other)	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
		PGR		0.00	0.00		0.00	0.00		0.00	0.00		0.00	0.00
	Long	UG	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
		PGT (UG fee)												
		PGT (Masters' loan)	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
		PGT (Other)	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
		PGR		0.00	0.00		0.00	0.00		0.00	0.00		0.00	0.00
B	Standard	UG	93.00	11.00	26.00	5.00	0.00	0.00	-8.00	-1.00	-2.00	90.00	10.00	24.00
		PGT (UG fee)	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
		PGT (Masters' loan)	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
		PGT (Other)	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
		PGR		0.00	0.00		0.00	0.00		0.00	0.00		0.00	0.00
	Long	UG	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
		PGT (UG fee)	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
		PGT (Masters' loan)	8.00	2.00	20.00	0.00	0.00	0.00	-1.00			0.00	0.00	0.00
		PGT (Other)	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
		PGR		0.00	0.00		0.00	0.00		0.00	0.00		0.00	0.00
C1	Standard	UG	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
		PGT (UG fee)	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
		PGT (Masters' loan)	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
		PGT (Other)	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
		PGR		0.00	0.00		0.00	0.00		0.00	0.00		0.00	0.00
	Long	UG	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00

Complete all relevant cells in Columns 1, 2 and 3 with count of full-time years of instance

## Table 2 Sandwich

137. Table 2 is used to return years of instance for all of the sandwich year out students in your HESES18 population. (Refer to Annex H for the definition of a sandwich year out). We will use this information when we calculate funding for 2019-20. A partial screenshot of Table 2 is shown in Figure 6.

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

139. In Columns 1, 2 and 3 you need to break down sandwich years out in the ways shown in Figure 5.

**Figure 5: Breakdown of sandwich year out years of instance**

	Categories	Definitions and guidance
Level of study	UG: undergraduate PGT (UG fee): postgraduate taught study on courses that are designated under the undergraduate student support arrangements PGT (Masters' loan): postgraduate taught study on courses eligible under masters' loan arrangements that are not PGT(UG fee) PGT (Other): postgraduate taught study not falling into the previous two categories	Annex I
Fundability status	Home and EU: OfS-fundable Home and EU: Non-fundable Island and overseas	Annex F

140. When completing Table 2:

- a. Enter in **Column 1** sandwich years out that started between 1 August 2018 and 1 December 2018 inclusive.
- b. Enter in **Column 2** sandwich years out that you forecast will start between 2 December 2018 and 31 July 2019 inclusive. This may include new entrants (very unlikely for a sandwich year out) or those on the second or subsequent years of an instance.
- c. See Annex C for full instructions on whether to record years in Column 1 or Column 2.
- d. Enter in **Column 3** a forecast of the number of sandwich years out that will not be completed. Non-completions must be recorded as a negative number. Use the definitions and the methodology for calculating estimates described in Annex D. You may be asked questions on your methodology during data verification.
- e. **Column 4** will be filled automatically with the numbers of completed years, as you enter data into Columns 1 to 3.
- f. The totals in the **final row** will be filled automatically

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

- a. You do not record whole numbers.
- b. You enter a positive number of non-completions in Column 3, or a negative number in any other column.

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**Figure 6: Partial screenshot of Table 2 Sandwich**

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

University of East Filton

Validation: OK

First-stage credibility: OK

Column 1 or Column 2: Annex C

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

Column 4 Automatically completed

Fundability status: Annex F

Price Group: Annex G

Level: Annex I

Column 1		Column 2			Column 3			Column 4		
Years countable between 1 August 2018 and 1 December 2018 inclusive		Forecast of years countable between 2 December 2018 and 31 July 2019 inclusive			Forecast of years not completed (negative values)			Automatically populated Estimated completed years academic year 2018-19 (Columns 1 + 2 + 3)		
Home and EU		Home and EU			Home and EU			Home and EU		
Price group	Level	OfS-fundable (a)	Non-fundable (b)	Island and overseas (c)	OfS-fundable (a)	Non-fundable (b)	Island and overseas (c)	OfS-fundable (a)	Non-fundable (b)	Island and overseas (c)
C2	UG	7	3	0	0	0	0	7	3	0
	PGT (UG fee)	0	0	0	0	0	0	0	0	0
	PGT (Masters' loan)	0	0	0	0	0	0	0	0	0
	PGT (Other)	0	0	0	0	0	0	0	0	0
	<b>Total</b>	<b>7</b>	<b>3</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>7</b>	<b>3</b>	<b>0</b>

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

- The following cells in Column 3 contain positive values:
- The following cells contain values that are not whole numbers:
- The following cells in Columns 1, 2 and 4 contain negative values:

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

Information | 1 Full-time | 2 Sandwich | 3 Part-time | 4 Year abroad | 5 Planning | 6 Subcontractual | 7a Health full-time | 7b Health sandwich | ...

### Table 3 Part-time

142. Table 3 is used to return years of instance for all of the part-time students in your HESES18 population. (Refer to Annex H for the definition of part-time). We will use this information when we calculate funding for 2019-20. A partial screenshot of Table 3 is shown in Figure 8.
143. Years of instance recorded in Table 3 should **not** be included in Tables 1 or 2.
144. In Columns 1, 2, 3 and 4a you need to break down years of instance in the ways shown in Figure 7.
145. The table can be filtered by price group to make it easier to complete.

### Figure 7: Breakdown of part-time years of instance

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

146. When completing Table 3:
- Enter in **Column 1** years of instance that started between 1 August 2018 and 1 December 2018 inclusive.
  - Enter in **Column 2** years of instance that you forecast will start between 2 December 2018 and 31 July 2019 inclusive. This may include new entrants or those on the second or subsequent years of an instance.
  - See Annex C for full instructions on whether to record years in Column 1 or Column 2.

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- d. Enter in **Column 3** a forecast of the number of years of instance that will not be completed. Non-completions must be recorded as a negative number. Use the definitions and the methodology for calculating estimates in Annex D. You may be asked questions on your methodology during data verification.
  - e. **Column 4** will be filled automatically with the numbers of completed years, as you enter data into Columns 1 to 3.
  - f. Enter in **Column 4a** the FTE for the number of completed years of instance in Column 4. This should be the total full-time equivalent years of instance for that row, not the average FTE per year of instance. Refer to Annex E for guidance on how to determine the FTE of part-time students.
  - g. The totals in the **final rows** will be completed automatically.
147. After completing the table make note of any credibility warnings (see paragraph **Error! eference source not found.**). In a separate document, list the underlying reasons that make the data credible for your provider. This will help with your initial explanations and your responses to our queries.

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

- a. The totals for Columns 1 to 3 do not add up to whole numbers. If you have courses that are split across price groups, the totals must still be whole numbers. Refer to Annex G for how to record this.
- b. Column 3 contains a positive number, or any other column contains a negative number.
- c. You record numbers to more than two decimal places.
- d. The FTE recorded in Column 4a is greater than the completed years in Column 4.
- e. The FTE recorded in Column 4a is less than 3 per cent of the completed years in Column 4. (Years of instance that have an FTE of less than 0.03 are not included – see Annex C.)

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

- a. You do not enter any non-completions for a row where you have recorded at least 50 years of instance across Columns 1 and 2.
- b. You record all years of instance in Columns 1 and 2 for a row as non-completions.
- c. The total PGT (Masters' loan), PGT (Other) or PGR FTE is greater than or equal to 80 per cent of the total in Column 4 (Completed years).
- d. The total UG or PGT (UG fee) FTE recorded in Column 4a is greater than or equal to 67 per cent of the total in Column 4 (Completed years).

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**Figure 8: Partial screenshot of Table 3 Part-time**

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

University of East **Filton**

Column 1 or Column 2: Annex C  
 Column 3 Non-completions (negative numbers): Annex D  
 Column 4 Automatically completed  
 Column 4a Estimated FTE: Annex E

Length: Annex J  
 Price Group: Annex G  
 Level: Annex I

First-stage credibility: OK

Price group	Length	Level	Column 1 Years countable between 1 August 2018 and 1 December 2018 inclusive			Column 2 Forecast of years countable between 2 December 2018 and 31 July 2019 inclusive			Column 3 Forecast of years not completed (negative values)			Column 4 Automatically populated Estimated completed years academic year 2018-19 (Columns 1 + 2 + 3)			Column 4a Estimated FTE for completed years included in Column 4 for academic year 2018-19		
			Home and EU			Home and EU			Home and EU			Home and EU			Home and EU		
			OfS-fundable (a)	Non-fundable (b)	Island and overseas (c)	OfS-fundable (a)	Non-fundable (b)	Island and overseas (c)	OfS-fundable (a)	Non-fundable (b)	Island and overseas (c)	OfS-fundable (a)	Non-fundable (b)	Island and overseas (c)	OfS-fundable (a)	Non-fundable (b)	Island and overseas (c)
A	Standard	UG	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	
		PGT (UG fee)															
		PGT (Masters' loan)	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	
		PGT (Other)	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	
		PGR		0.00	0.00		0.00	0.00		0.00	0.00		0.00	0.00		0.00	
	Long	UG	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	
		PGT (UG fee)															
		PGT (Masters' loan)	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	
		PGT (Other)	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	
		PGR		0.00	0.00		0.00	0.00		0.00	0.00		0.00	0.00		0.00	
B	Standard	UG	219.00	15.00	15.00	0.00	0.00	12.00	-10.00	-1.00	-1.00	209.00	14.00	26.00	104.50	7.00	13.00
		PGT (UG fee)	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
		PGT (Masters' loan)	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
		PGT (Other)	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
		PGR		0.00	0.00		0.00	0.00		0.00	0.00		0.00	0.00		0.00	0.00
	Long	UG	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
		PGT (UG fee)	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
		PGT (Masters' loan)	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
		PGT (Other)	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
		PGR		0.00	0.00		0.00	0.00		0.00	0.00		0.00	0.00		0.00	0.00
C1	Standard	UG	51.00	11.00	0.00	0.00	0.00	0.00	-8.00	-2.00	0.00	43.00	9.00	0.00	0.00	0.00	0.00
		PGT (UG fee)	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
		PGT (Masters' loan)	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
		PGT (Other)	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
		PGR		0.00	0.00		0.00	0.00		0.00	0.00		0.00	0.00		0.00	0.00
	Long	UG	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00

Fundability status: Annex F

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

## Table 4 Year abroad

150. Table 4 records years of instance for undergraduates taking a year abroad in 2018-19 as part of their course. These students will already have been recorded on Table 1 (for full-time students) or Table 2 (for sandwich year out students). We use this information for planning purposes and when we calculate funding provided under our 'Erasmus+ and overseas study programmes' targeted allocation.

151. In this table you must only include Home and EU students, as defined in Annex F. A partial screenshot of Table 4 is shown in Figure 10.

152. You need to break down the number of years abroad into the categories shown in Figure 9.

### Figure 9: Breakdown of years abroad

	Categories	Definitions and guidance
Type of year abroad	Outgoing Erasmus+ year abroad Outgoing year abroad outside the Erasmus+ programme	Annex K
Mode of study	Full-time Sandwich year out	Annex H
Fundability status	Home and EU: OfS-fundable Home and EU: Non-fundable	Annex F

153. When completing Table 4:

- a. Enter in **Column 1** years abroad that started between 1 August 2018 and 1 December 2018 inclusive.
- b. Enter in **Column 2** years abroad that you forecast will start between 2 December 2018 and 31 July 2019 inclusive.

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

- a. You do not enter whole numbers.
- b. You enter a negative number.
- c. You enter numbers that are greater in total than the equivalent undergraduate totals you recorded in Table 1 or Table 2.

**Figure 10: Partial screenshot of Table 4 Year abroad**

**Table 4: Home and EU undergraduate years abroad**

University of East Filton

Validation: OK      Validation: OK

First-stage credibility: OK      First-stage credibility: OK

Column 1 or Column 2: Annex C

Mode of Study: Annex H

Type of year abroad: Annex K

Fundability status: Annex F

Type of year abroad	Column 1 Years countable between 1 August 2018 and 31 December 2018 inclusive				Column 2 Forecast of years countable between 2 December 2018 and 31 July 2019 inclusive			
	a) Full-time		b) Sandwich year out		a) Full-time		b) Sandwich year out	
	OfS-fundable (i)	Non-fundable (ii)	OfS-fundable (i)	Non-fundable (ii)	OfS-fundable (i)	Non-fundable (ii)	OfS-fundable (i)	Non-fundable (ii)
Outgoing Erasmus+ year abroad	0	0	7	3	0	0	0	0
Outgoing year abroad outside the Erasmus+ programme	0	0	0	0	0	0	0	0
<b>Total</b>	<b>0</b>	<b>0</b>	<b>7</b>	<b>3</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>

**Validation checks for Table 4 (see Appendix 2 for full definitions of the underlying formulae)**

- The following cells contain values that are not whole numbers:
- The following cells contain negative values:
- For the following cells, the total is greater than the equivalent undergraduate total in Table 1 (for full-time) or Table 2 (for sandwich year out):

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

Information | 1 Full-time | 2 Sandwich | 3 Part-time | **4 Year abroad** | 5 Planning | 6 Subcontractual | 7a Health full-time | 7b Health sanc

## Table 5 Planning

155. Table 5 collects information about students recorded in Tables 1 to 3, broken down into different categories. The table provides more detailed information on qualification level, the number of new entrants and apprenticeships at your provider. This information is collected for planning and monitoring purposes. The data gives an early indication, for purposes including government planning, of the number of students starting higher education courses recognised for OfS funding purposes.
156. In Table 5, you need to include the years of instance that you included in Tables 1, 2 and 3, broken down in the ways shown in Figure 11. A partial screenshot of Table 5 is shown in Figure 12.
157. As described in paragraph 39, the format of Table 5 has changed since HESES17 in that the different levels of apprenticeships are now recorded as qualification sub-levels rather than in a separate column. This is shown in Figure 12.

**Figure 11: Breakdown of years of instance for planning purposes**

	Categories	Definitions and guidance
Mode of study	Full-time and sandwich year out Part-time	Annex H
Level	UG: undergraduate PGT (UG fee): postgraduate taught study on courses that are designated under the undergraduate student support arrangements PGT (Masters' loan): postgraduate taught study on courses eligible under masters' loan arrangements that are not PGT(UG fee) PGT (Other): postgraduate taught study not falling into the previous two categories PGR: postgraduate research	Annex I
Sub-level	UG: Frameworks for higher education qualifications of UK degree-awarding bodies (FHEQ) Level 4 and 5 apprenticeship; FHEQ Level 6+ apprenticeship; All other UG PGT (UG fee): Apprenticeship; All other PGT (UG fee) PGT (Masters' loan): Apprenticeship; All other PGT (Masters' loan) PGT (Other): Apprenticeship; All other PGT (Other)	Annex B and Annex I
Fundability status	OfS-fundable Non-fundable Island and overseas	Annex F
Residential status	UK-domiciled Other Home and EU Island and overseas	Annex F, paragraph 8
Years countable	All years (Section A) New entrants (Section B)	Annex C

### Section A: All years

158. Enter in **Column 1** years of instance that started between 1 August 2018 and 1 December 2018 inclusive. The totals for this column must be the same as the total for Columns 1 of Tables 1 and 2 for full-time and sandwich year out numbers (which are combined in Table 5), and must be the same as the total for Column 1 of Table 3 for part-time numbers.
159. Enter in **Column 2** years of instance that start between 2 December 2018 and 31 July 2019 inclusive. The totals for this column must be the same as the total for Columns 2 of Tables 1 and 2 for full-time and sandwich year out numbers (which are combined in Table 5), and must be the same as the total for Column 2 of Table 3 for part-time numbers.

### Section B: New entrants

160. Enter in **Section B** the years of instance included in Section A of this table that are new entrants. See Annex C paragraph 15.
161. After completing the table make note of any credibility warnings (see paragraph 163). In a separate document, list the underlying reasons that make the data credible for your provider. This will help with your initial explanations and your responses to our queries.

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

- a. You do not enter whole numbers.
- b. You enter a negative number.
- c. The totals in Section A: All years, Column 1 or Column 2 are not the same as the relevant totals in Tables 1, 2 or 3.
- d. In any row in Section B: New entrants, you record more new entrants than there are years of instance in Section A, Columns 1 and 2.

163. **Credibility** warnings will occur in Table 5 if you record:

- a. No new entrants in Section B.
- b. All of the students in Section A: All years as new entrants in Section B: New entrants.
- c. All of the students in Section A: All years as being on apprenticeships.
- d. 70 per cent or more of your Home and EU, undergraduate, full-time and sandwich year out years of instance from Section A: All years as new entrants in Section B: New entrants.
- e. 25 per cent or less of your Home and EU, undergraduate, full-time and sandwich year out years of instance from Section A: All years as new entrants in Section B: New entrants.
- f. 50 per cent or less of your Home and EU, postgraduate, full-time and sandwich year out years of instance from Section A: All years as new entrants in Section B: New entrants.

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- g. 70 per cent or more of your Home and EU, undergraduate, part-time years of instance from Section A: All years as new entrants in Section B: New entrants.
- h. 15 per cent or less of your Home and EU, undergraduate, part-time years of instance from Section A: All years as new entrants in Section B: New entrants.
- i. 70 per cent or more of your Home and EU, postgraduate, part-time years of instance from Section A: All years as new entrants in Section B: New entrants.
- j. 25 per cent or less of your Home and EU, postgraduate, part-time years of instance from Section A: All years as new entrants in Section B: New entrants.
- k. 70 per cent or more of your Island and overseas students from Section A: All years as new entrants in Section B: New entrants.
- l. 25 per cent or less of your Island and overseas students from Section A: All years as new entrants in Section B: New entrants.

**Figure 12: Partial screenshot of Table 5 Planning**

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

Provider		Validation: OK First-stage credibility: OK						Validation: OK First-stage credibility: OK						Residential status: Annex F : OK				
		Section A: All years									Section B: New entrants							
		Column 1 Automatically populated Years countable between 1 August 2018 and 1 November 2018 inclusive			Column 2 Years countable between 2 November 2018 and 31 July 2019 inclusive (as entered in Column 2 of Tables 1, 2 and 3)			New entrants included in Section A of this table										
		Home and EU			Home and EU			Home and EU			Home and EU							
		(a) OfS-fundable		(b) Non-fundable		(c) Island and overseas	(a) OfS-fundable		(b) Non-fundable		(c) Island and overseas	(a) OfS-fundable		(b) Non-fundable		(c) Island and overseas		
		UK-domiciled	Other Home and EU	UK-domiciled	Other Home and EU		UK-domiciled	Other Home and EU	UK-domiciled	Other Home and EU		UK-domiciled	Other Home and EU	UK-domiciled	Other Home and EU			
		(i)	(ii)	(i)	(ii)		(i)	(ii)	(i)	(ii)		(i)	(ii)	(i)	(ii)			
Mode	Level	Sub-level																
Full-time and sandwich year out	UG	Apprenticeship		0	0	0	0	0	0	0	0	0	0	0	0	0	0	
		FHEQ level 6+ apprenticeship		0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
		All other UG		0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
	PG (UG fee)	Apprenticeship		0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
		All other PG (UG fee)		0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
		Apprenticeship		0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
PG (Masters' loan)	All other PG (Masters' loan)		0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	
	Apprenticeship		0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	
	All other PG (Other)		0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	
Part-time	UG	FHEQ level 4 and 5 apprenticeship		0	0	0	0	0	0	0	0	0	0	0	0	0	0	
		FHEQ level 6+ apprenticeship		0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
		All other UG		0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
	PG (UG fee)	Apprenticeship		0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
		All other PG (UG fee)		0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
		Apprenticeship		0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
PG (Masters' loan)	All other PG (Masters' loan)		0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	
	Apprenticeship		0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	
	All other PG (Other)		0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	
All modes	All UG levels		0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	
	All PG levels		0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	
	Total		0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	

Mode of study: Annex H

Level and sub-level: Annex I

Fundability status: Annex F

Section A: All years Column 1 or Column 2: Annex C

Section B: New entrants Annex C

## Table 6 Subcontractual

164. Table 6 collects information on any subcontractual arrangements that your provider may have with other providers. We collect this information for planning purposes, and to reconcile with regulatory data for 2018-19<sup>13</sup>. Only students who are registered with your provider, but part or all of whose year is taught by another provider under a subcontractual arrangement, should be recorded on this table. Annex A provides further guidance and definitions of a subcontractual relationship.
165. Subcontracted years are often referred to as ‘franchised’, but you should make sure that only years of instance that meet our definitions in Annex A are returned on Table 6. For example, we would not generally expect any years of instance to be returned for exchange programs or for informal arrangements between providers.
166. Record the years of instance that are subcontracted out to other providers (in whole or part) in 2018-19. These years of instance should also be recorded in Tables 1, 2 or 3. Information should be recorded under the categories shown in Figure 13. A partial screenshot of Table 6 is shown in Figure 14.
167. Subcontracted-in provision should not be recorded in HESES and therefore is also excluded from Table 6.
168. The table can be filtered by UK Provider Reference Number (UKPRN) to make it easier to complete.

**Figure 13: Years of instance taught under subcontractual arrangements by other providers**

	Categories	Definitions and guidance
UKPRN	Record the UKPRN of the provider that your provider subcontracts to	Annex A
Name of provider	This will be filled in automatically after you enter the UKPRN	
Mode of study	Full-time and sandwich year out Part-time	Annex H
Level of study	UG: undergraduate PGT (UG fee): postgraduate taught study on courses that are designated under the undergraduate student support arrangements PGT (Masters’ loan): postgraduate taught study on courses eligible under masters’ loan arrangements that are not PGT(UG fee) PGT (Other): postgraduate taught study not falling into the previous two categories PGR: postgraduate research	Annex I

<sup>13</sup>Available at [www.officeforstudents.org.uk/advice-and-guidance/the-register/existing-regulatory-data/](http://www.officeforstudents.org.uk/advice-and-guidance/the-register/existing-regulatory-data/).

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	Categories	Definitions and guidance
Fundability status	Home and EU, OfS-fundable Home and EU, non-fundable Island and overseas	Annex F
Years countable	All years (Section A) New entrants (Section B)	Annex C
Name of provider without a UKPRN	Enter name of provider if it does not have a UKPRN	

169. When completing Table 6:

- a. Enter the UKPRN for the subcontracted provider in the **UKPRN** column. This will then automatically populate the **Name of provider** column. You will not be able to edit this column.
- b. Where the UKPRN for a provider is not known, values can be obtained from the UK Register of Learning Providers ([www.ukrlp.co.uk/](http://www.ukrlp.co.uk/)).
- c. Where you subcontract to a provider that does not have a UKPRN, you may use the following generic codes (as defined by HESA) in the **UKPRN** column:
  - i. 4002 Other Non-UK provider
  - ii. 4003 Other public body in the UK
  - iii. 4004 Other private body in the UK.
- d. Where you have entered one of the generic codes, type in the name of the provider in the final column **Name of provider without a UKPRN**. Do not group different providers into a single row; list each provider in individual rows.
- e. Select the **Mode**, **Level** and **Fundability status** using the drop-down menu in each column. A separate line will need to be entered for each combination of these three columns.
- f. Enter in **Section A** all years of instance from Columns 1 and 2 of Tables 1, 2 and 3 that are contracted out.
- g. Enter in **Section B** how many of the years of instance in Section A are new entrants. See Annex C paragraph 15.

170. If a student's year of instance is subcontracted out to more than one provider, their year of instance will be split according to the proportion taught at each provider and returned on the respective rows for each provider. However, as only whole numbers are permitted, some rounding may be required after all students are counted: the total number of years of instance on Table 6 should be the total number of years of instance that your provider subcontracts out.

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171. After completing the table make note of any credibility warnings (see paragraph 173). In a separate document, list the underlying reasons that make the data credible for your provider. This will help with your initial explanations and your responses to our queries.

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

- a. You enter an invalid UKPRN, or no UKPRN in a row.
- b. An option from the drop-down menu has not been selected for mode, level or fundability status.
- c. No countable years have been entered in Section A: All years.
- d. You do not enter whole numbers.
- e. You enter a negative number.
- f. Totals for each combination of mode, level and fundability status in Section A: All years are greater than the equivalent totals from Tables 1, 2 and 3.
- g. Totals for each combination of mode, level and fundability status in Section B: New entrants are greater than the equivalent totals from Table 5.
- h. The count of new entrants in Section B: New entrants is greater than the years of instance recorded in Section A: All years.
- i. You leave a blank row between filled rows.
- j. You select 'PGR' and OfS-fundable' in the same row.
- k. You have entered one of the generic codes, but not the name of the provider in the final column.
- l. You have entered the name of a provider in the final column, but have not entered a generic code in the UKPRN column.

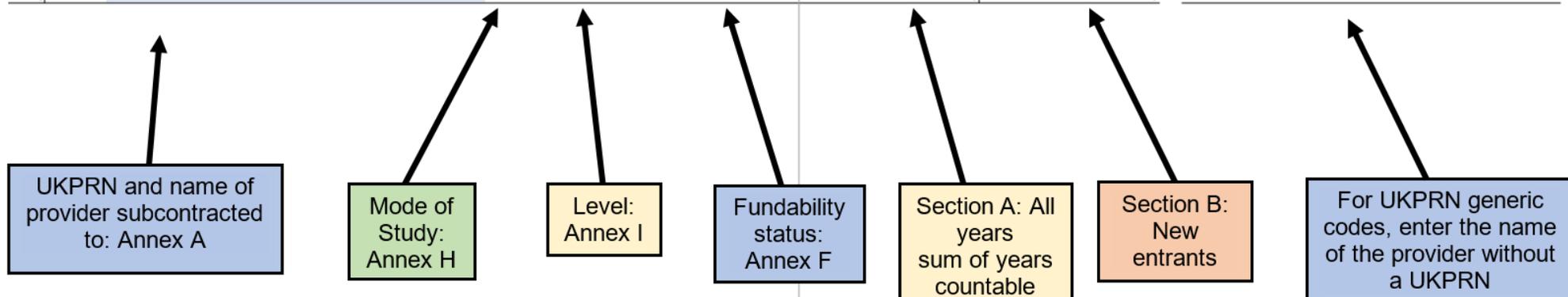
173. **Credibility warnings** will occur in Table 6 if:

- a. You have entered a provider into the 'Name of provider without a UKPRN' column.
- b. You do not enter any new entrants in Section B: New entrants.
- c. You report all subcontracted students as new entrants (Total Section A: All years = Total Section B: New entrants).

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**Figure 14: Partial screenshot of Table 6 Subcontractual**

Table 6: Years of instance taught under subcontractual arrangements by other providers

Institution					Section A: All years		Section B: New entrants		Name of provider without a UKPRN
Validation: OK First-stage credibility: OK					Validation: OK First-stage credibility: OK		Validation: OK First-stage credibility: OK		Validation: OK First-stage credibility: OK
Row number	UKPRN	Name of provider	Mode	Level	Fundability status	Years countable between 1 August 2018 and 31 July 2019 inclusive	New entrants included in Section A of this table		
					<b>Total</b>	<b>85</b>	<b>49</b>		
1	10000000	BEISPIEL COLLEGE	PT	UG	Home and EU, OfS-fundable	30	29		
2	10000001	NORTH EAST WARE COLLEGE	FT + SWOUT	UG	Home and EU, OfS-fundable	50	20		
3	10000001	NORTH EAST WARE COLLEGE	PT	PGT (Masters' loan)	Home and EU, OfS-fundable	5	0		
4						0	0		



## Tables 7a Health full-time, 7b Health sandwich and 7c Health part-time

174. Table 7 is split between Table 7a Health full-time, 7b Health sandwich and 7c Health part-time. Tables 7a, 7b and 7c collect information about years of instance that lead to first registrable qualifications for the health professions listed in Figure 15. Only providers delivering pre-registration courses in nursing, midwifery and allied health professions in 2018-19 need to complete these tables. The data will be used for planning purposes and to inform funding allocations for providers in 2019-20. Further guidance on definitions specific to these tables is provided in Annex L.
175. The tables are mutually exclusive; for example, years of instance recorded in Table 7a should not be included in Tables 7b or 7c. These years of instance will have already been included in Tables 1 Full-time, 2 Sandwich and 3 Part-time, respectively.
176. The transfer of funding responsibility for pre-registration courses from the Department of Health and Social Care to HEFCE and the OfS took effect in different years for different professions and level of course (undergraduate or postgraduate). Tables 7a, 7b and 7c therefore collect data separately according to whether students started courses in 2016-17, 2017-18 or 2018-19. Where a profession or level of study is not applicable, the cells are greyed out.
177. Tables 7a, 7b and 7c can be filtered by health profession, to make it easier to complete the tables. Panes can also be frozen. The listed professions now also show the relevant price group.
178. For Tables 7a, 7b and 7c we are collecting information on activity in 2018-19 undertaken by **Starters in 2016-17**, **Starters in 2017-18** and **Starters in 2018-19**, which are a slightly different concept from 'new entrants' as collected in Tables 5 and 6. Further guidance on definitions of starters compared to new entrants is provided in Annex C.
179. Partial screenshots of Tables 7a, 7b and 7c are shown in Figure 16.

### Healthcare professions

180. For the professions listed in Figure 15, only pre-registration courses at English providers that are approved by the relevant regulatory body should be included. These are:
- for nursing and midwifery, the Nursing and Midwifery Council
  - for dental hygiene and dental therapy, the General Dental Council
  - for all other professions listed, the Health and Care Professions Council.
181. Further information on these courses is in Annex L.

**Figure 15: Breakdown of counts of years of instance on pre-registration courses in nursing, midwifery and allied health professions**

	Categories	Definitions and guidance
Mode of study	Table 7a Full-time Table 7b Sandwich year out Table 7c Part-time	Annex H

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	Categories	Definitions and guidance
Profession	Dental hygiene Dental therapy Dietetics Midwifery Nursing (adult) Nursing (children) Nursing (learning disability) Nursing (mental health) Nursing (unclassified)	Occupational therapy Operating department practice Orthoptics Orthotics and prosthetics Physiotherapy Podiatry and chiropody Radiography (diagnostic) Radiography (therapeutic) Speech and language therapy
Length of year	Standard-length Long	Annex J
Level	UG: undergraduate PGT (UG fee): postgraduate taught study on courses that are designated under the undergraduate student support arrangements	Annex I
Years countable	Starters in 2016-17 Starters in 2017-18 Starters in 2018-19	Annex L
Fundability status	Home and EU: OfS-fundable Home and EU: Non-fundable	Annex F

182. For each Column in **Tables 7a, 7b and 7c** there are the following sub-columns:

- a. **Starters in 2016-17:** years of instance for all students in the relevant combination of profession, length of year, level and fundability status, who started study for the first time in 2016-17 (as defined in Annex L paragraphs 8-9).
- b. **Starters in 2017-18:** years of instance for all students in the relevant combination of profession, length of year, level and fundability status, who started study for the first time in 2017-18 (as defined in Annex L paragraphs 8-9).
- c. **Starters in 2018-19 (for Tables 7a and 7c only):** years of instance for all students in the relevant combination of profession, length of year, level and fundability status, starting study for the first time in 2018-19 (as defined in Annex L paragraphs 8-9).

183. Data to enter in Tables 7a, 7b and 7c:

- a. Enter in **Column 1** years of instance that started between 1 August 2018 and 1 December 2018 inclusive.
- b. Enter in **Column 2** years of instance that you forecast will start between 2 December 2018 and 31 July 2019 inclusive. See Annex C for full instructions on whether to record years in Column 1 or Column 2.

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- c. Enter in **Column 3** a forecast of the number of years of instance that will not be completed. Non-completions must be recorded as a negative number. You should use the definitions and methodology for calculating estimates described in Annex D. You may be asked questions on your methodology during data verification.
  - d. **Column 4** will be filled automatically with the numbers of completed years, as you enter data into Columns 1 to 3.
  - e. For **Table 7c Health part-time** only, enter in **Column 4a** the FTE for the number of completed part-time years of instance in Column 4. This should be the total FTE years of instance for that row, not the average FTE per year of instance. To determine the FTE of part-time students refer to Annex E for guidance.
184. After completing the tables make note of any credibility warnings (see paragraph 186). In a separate document, list the underlying reasons that make the data credible for your provider. This will help with your initial explanations and your responses to our queries.

185. **Validation failure** messages will occur in Tables 7a, 7b and 7c if:

- a. Column 3 contains a positive number, or any other column contains a negative number.
- b. For Table 7c only, the FTE you have recorded in Column 4a is greater than the years of instance in Column 4.
- c. For Table 7c only, the FTE you have recorded in Column 4a makes the average FTE for that row less than 0.03. (Years of instance that have an FTE of less than this are not included – see Annex C.)
- d. For Table 7c only, for any cell in Column 4a, the FTE is entered to more than two decimal places.
- e. You have entered a value that is not a multiple of 0.5 in Columns 1, 2 or 3 for the following professions:
  - i. Nursing – adult
  - ii. Nursing – child
  - iii. Nursing – learning disability
  - iv. Nursing – mental health.
- f. For the other professions (excluding Nursing (adult), Nursing (child), Nursing (mental health) and Nursing (learning disability)) you have entered a value that is not a whole number in Columns 1, 2 or 3.
- g. For all columns, the absolute total of 'Starters in 2016-17', 'Starters in 2017-18' and 'Starters in 2018-19' is greater than the corresponding totals from the equivalent columns in Tables 1, 2 or 3.

186. **Credibility warnings** will occur in Tables 7a, 7b and 7c if:

- a. You do not enter any non-completions for a row where you have recorded at least 50 years of instance across Columns 1 and 2.
- b. You record all years of instance in Columns 1 and 2 for a row as non-completions.
- e. For Table 7b only, you have entered sandwich year out students.
- f. For Table 7c only, for part-time students, the total FTE entered in Column 4a is less than 25 per cent of the total years calculated in Column 4.
- g. For Tables 7a and 7c, you have entered students with a long year of instance.
- h. You have entered students for the Nursing (unclassified) profession.



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Figure 16b: Partial screenshot of Table 7b Health sandwich year out

Table 7b: Sandwich year out counts of years of instance for 2016-17 and 2017-18 starters on pre-registration health courses

University of East Filton

Validation: OK      Validation: OK      Validation: OK      Validation: OK

First-stage credibility: OK      First-stage credibility: OK      First-stage credibility: OK      First-stage credibility: OK

Column 4 Automatically completed      Fundability status: Annex F

Profession: Annex L      Level: Annex I

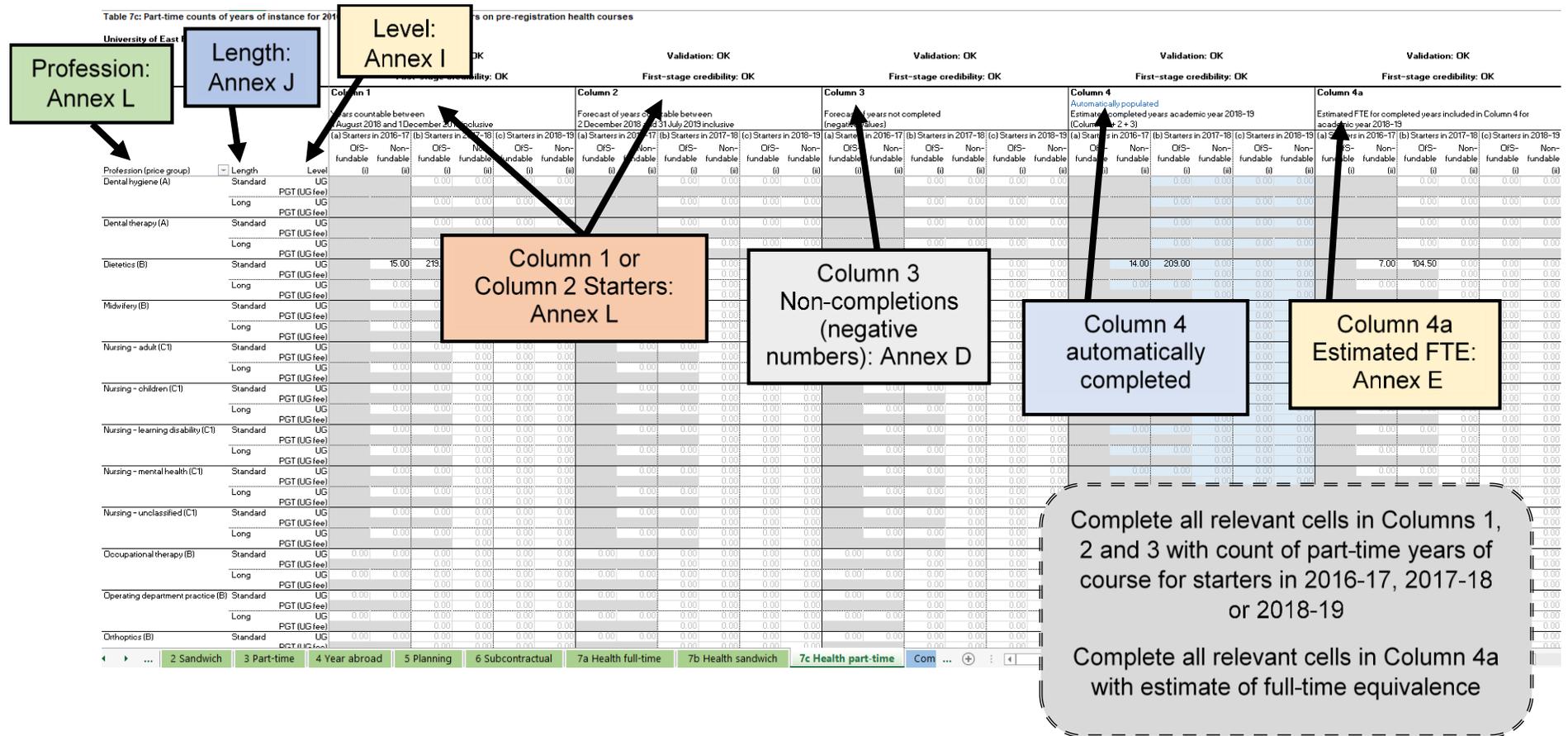
Profession	Level	Column 1 Years countable between 1 August 2018 and 1 December 2018 inclusive				Column 2 Forecast of years countable between 2 December 2018 and 31 July 2019 inclusive				Column 3 Forecast of years not completed (negative values)				Column 4 Automatically populated Estimated completed years academic year 2018-19 (Columns 1 + 2 + 3)			
		(a) Starters in 2016-17		(b) Starters in 2017-18		(a) Starters in 2016-17		(b) Starters in 2017-18		(a) Starters in 2016-17		(b) Starters in 2017-18		(a) Starters in 2016-17		(b) Starters in 2017-18	
		OFS-fundable (i)	Non-fundable (ii)	OFS-fundable (i)	Non-fundable (ii)	OFS-fundable (i)	Non-fundable (ii)	OFS-fundable (i)	Non-fundable (ii)	OFS-fundable (i)	Non-fundable (ii)	OFS-fundable (i)	Non-fundable (ii)	OFS-fundable (i)	Non-fundable (ii)	OFS-fundable (i)	Non-fundable (ii)
Dental hygiene	UG			0.00	0.00			0.00	0.00			0.00	0.00			0.00	0.00
	PGT (UG fee)																
Dental therapy	UG																
	PGT (UG fee)																
Dietetics	UG		0.00					0.00	0.00					0.00	0.00		
	PGT (UG fee)																
Midwifery	UG		0.00														
	PGT (UG fee)																
Nursing - adult	UG		0.00	0.00	0.00			0.00	0.00					0.00	0.00		
	PGT (UG fee)																
Nursing - children	UG		0.00	0.00	0.00			0.00	0.00					0.00	0.00		
	PGT (UG fee)																
Nursing - learning disability	UG		0.00	0.00	0.00			0.00	0.00					0.00	0.00		
	PGT (UG fee)																
Nursing - mental health	UG		0.00	0.00	0.00			0.00	0.00					0.00	0.00		
	PGT (UG fee)																
Nursing - unclassified	UG		0.00	0.00	0.00			0.00	0.00					0.00	0.00		
	PGT (UG fee)																
Occupational therapy	UG	7.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
	PGT (UG fee)																
Operating department practice	UG	0.00	3.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
	PGT (UG fee)																
Orthotics	UG	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
	PGT (UG fee)																
Orthotics and prosthetics	UG		0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
	PGT (UG fee)																

Complete all relevant cells in Columns 1, 2 and 3 with count of full-time years of instance for starters in 2016-17 or 2017-18

1 Full-time   2 Sandwich   3 Part-time   4 Year abroad   5 Planning   6 Subcontractual   7a Health full-time   7b Health sandwich   7c Health par ...

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Figure 16c: Partial screenshot of Table 7c Health part-time



### Table 8 (HESES18B only)

187. This table will only be completed by providers returning HESES18 version B. It is not included in the workbooks of providers returning HESES18 version A.
188. Table 8 is used to collect information about the locations at which OfS-fundable students in the HESES18 population are taught. Locations are always locations or campuses of a provider, even though some students may be away from those locations during a year of instance, for example, because they are studying by distance learning, on a work placement or on a study year abroad. Years of instance on Table 8 will already have been recorded on Table 1, 2 or 3 and any that are subcontracted out will also be on Table 6 (for subcontractual arrangements). This information will be used to calculate any location-based funding allocation.
189. In Table 8, you need to include the OfS-fundable years of instance that you included in Tables 1, 2 and 3, broken down in the ways shown in Figure 17. You need to complete one row for each of your provider's own locations, and one row for each location of a provider that teaches students on your behalf under a subcontractual arrangement. If a provider teaches in a number of separate buildings that all fall within a single local authority district or unitary authority<sup>14</sup>, these can all be treated as a single location. Hence we would not generally expect locations that are all part of a single campus to be identified separately. However, if teaching is provided at locations in different local authority districts or unitary authorities, those locations should be identified separately, using a new row on Table 8 for each.
190. For each row you should record the total estimated completed years and total FTE by price group for the OfS-fundable years of instance at these locations.
191. A partial screenshot of Table 8 is shown in Figure 17.

**Figure 17: Estimated years of instance by location**

	Categories	Definitions and guidance
Row number	Start a new row for each new location of your provider or of a provider to whom you subcontract out teaching of your students. Leaving empty rows between filled rows will trigger a validation error.	
Location type	Other: where students are taught by your provider. Subcontracted out: where teaching of your students is subcontracted out to another provider.	Annex A
UKPRN	The UKPRN of your provider or of the subcontracted provider.	Annex A

<sup>14</sup> For guidance on local authority districts and unitary authorities, see the guidance on local administrative units level 1, at: [www.ons.gov.uk/methodology/geography/ukgeographies/eurostat#relationship-of-nuts-areas-to-uk-administrative-geographies](http://www.ons.gov.uk/methodology/geography/ukgeographies/eurostat#relationship-of-nuts-areas-to-uk-administrative-geographies).

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	Categories	Definitions and guidance
Name of location	This will auto-populate to reflect the UKPRN in the previous column, but if you enter a generic code you will need to type in the name of the provider. If you or a subcontracted-out provider teach at more than one location, enter (in addition to the name of the provider), a name to identify the location unambiguously, with each being recorded on a separate row.	
Postcode	Enter the postcode of the teaching location.	
Price group	A, B, C1, C2, D (Some years of instance are split across price groups. In these cases up to two decimal places can be used, but the total for the years of instance must be a whole number.)	Annex G

192. When completing Table 8:

- a. Start a new row for each new location. Leaving empty rows between filled rows will trigger a validation error. **Row number** will be automatically completed.
- b. Select the **location type** from the dropdown list:
  - i. **Subcontracted out** – for years of instance where another provider teaches students on your behalf under a subcontractual arrangement. If the subcontracted provider teaches your students at more than one location, start a new row for each.
  - ii. **Other** – for all other years of instance including: students taught at a location of the provider with which they are registered, students on distance learning courses, and students undertaking learning in the workplace, work experience or study abroad.

If a student is taught at more than one location, for example if some, but not all, of their teaching is subcontracted out to another provider, their year of instance should be split according to the proportion of teaching activity that takes place at each location.

**Distance learning:** Study by distance learning should be attributed to the main address of the provider that delivers it (reflecting whether this is subcontracted out or not).

**Learning in the workplace, work experience and study abroad:** The location type for learning in the workplace, work experience, or study abroad, should normally be recorded as 'other'. However, if delivery of a whole course is subcontracted out to another provider, then the location type for any learning in the workplace, work experience or study abroad that forms part of that course should be recorded as 'subcontracted out'.

**Joint courses:** Following the guidance on joint courses in Annex A, students on joint courses should be assigned to one provider for data reporting purposes when they start their course and retain that assignment until they finish it. The reporting of location on this table should be consistent with this, reflecting the locations of the reporting provider and not of the other providers that also have responsibility to the student for the provision of education and the award of qualifications on successful completion. Those other providers should also not be reported under the 'subcontracted out' location type, because joint courses are not subcontractual arrangements.

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- c. Enter the UKPRN:
- i. If you selected 'Other' as the location type, the UKPRN column will be populated automatically with the UKPRN for your provider. If you selected 'Subcontracted out' as the location type, enter the UKPRN for the subcontracted out provider.
  - ii. Where the UKPRN for a subcontracted out provider is not known, values can be obtained from the UK Register of Learning Providers ([www.ukrlp.co.uk](http://www.ukrlp.co.uk)).
  - iii. Where you sub-contract to a provider that does not have a UKPRN, you may use the following generic codes (as defined by HESA) in the UKPRN column:
    - 1) 4002 Other Non-UK provider
    - 2) 4003 Other public body in the UK
    - 3) 4004 Other private body in the UK.
- d. The Name of location column will be automatically populated to show the provider name associated with the UKPRN. You should modify this to additionally record the location, if the provider teaches your students at more than one location or campus. Where you have entered one of the generic codes, in the Name of location column enter the name of the provider and, if it teaches your students at more than one location, a further name to identify each such location. Do not group different providers into a single row; list each provider (and each of their locations) in individual rows.
- e. Enter the postcode for each teaching location. This must be a UK location of the relevant provider, and will therefore not necessarily reflect where a student is undertaking their course-related activity. If you used the generic code 4002 (Other non-UK provider) in the UKPRN column, then enter 'NA' in the postcode column. For students studying by distance learning the postcode should be that of the main address of the provider that delivers the distance learning (reflecting whether this is subcontracted out or not). For students undertaking learning in the workplace, work experience or study abroad this should be the postcode of a location of the provider at which teaching for the whole instance primarily takes place. For students on joint courses, this should be a postcode of the reporting provider, not of other providers involved in the joint course arrangement.
- f. Enter in **Section 1** the estimated completed years of instance for academic year 2018-19 as a headcount across the price groups A, B, C1, C2 and D.
- g. Enter in **Section 2** the estimated FTE for completed years of instance included in Section 1 for academic year 2018-19 across the price groups A, B, C1, C2, D.
- h. The total columns under each section will be populated automatically as you enter data into the other columns.

193. **Validation failure** messages will occur for Table 8 if:

- a. You leave a blank row between filled rows.
- b. You do not select the location type as either 'Other' or 'Subcontracted out'.
- c. You enter an invalid UKPRN or generic code, or no UKPRN or generic code in a row.
- d. You do not enter your own UKPRN, where the location type has been set as 'Other'.
- e. You enter your own UKPRN, where the location type has been set as 'Subcontracted out'.
- f. You have not entered the name of location.
- g. An invalid, or no, postcode has been entered for any location.
- h. Any cell contains a negative number.
- i. You record numbers to more than two decimal places.
- j. No completed years have been entered in Section 1
- k. The FTE has not been entered in Section 2
- l. The FTE in Section 2 is greater than the completed years in Part 1
- m. The total does not equal the equivalent total in Tables 1, 2 and 3 for any price group.
- n. Subcontracted providers are listed on Table 8, but not on Table 6.
- o. Subcontracted providers are listed on Table 6, but not on Table 8.

**Figure 18: Partial screenshot of Table 8 Teaching locations for students**

**Table 8: Teaching locations for students**

University of East Filton

Row number	Location type	UKPRN	Name of location	Campus postcode	Section 1					Section 2						
					Estimated completed years for academic year 2018-19					Estimated FTE for completed years included in Section 1 for academic year 2018-19						
					Price group					Price group						
A	B	C1	C2	D	Total	A	B	C1	C2	D	Total					
				<b>Total</b>	34.00	0.00	0.00	0.00	0.00	34.00	23.00	0.00	0.00	0.00	0.00	23.00
1	Other	10000000	University of East Filton	BSXX 1XX	34.00	0.00	0.00	0.00	0.00	34.00	23.00	0.00	0.00	0.00	0.00	23.00
2																

## Other worksheets

194. The following worksheets will be available to those completing HESES18A: Comparison sheets 1 to 3; Other comparisons; Tables A to G. Comparison worksheets will be supplied to those completing HESES18B once they become available.
195. These worksheets compare the data you have entered in Tables 1 to 7c for 2018-19 with data for other years, as previously submitted by your provider (where applicable). They are provided for information and allow us to identify where your higher education provision has changed over time.
196. You do not have to enter any data directly into these tables: the relevant information will be automatically drawn from Tables 1 to 7c. However, we will use several of these tables to inform our data verification queries and, for those completing HESES18A, we expect you to review them when completing your workbook.
197. Further detail on these worksheets will be given in the appendices. Specifically:
- a. Appendix 4 describes Comparison sheets 1 to 3.
  - b. Appendix 5 describes Tables A to G.
198. Paragraphs 199 to 204 explain how the comparison tables summarise data for those completing HESES18A. Information regarding comparison data for HESES18B will be provided when it becomes available.

## Comparison sheets 1 to 3

199. These worksheets contain tables that summarise your HESES18 data and compare it with data for 2016-17 and 2017-18. These tables break down your data in different ways. For example, Table F (Comparison 2) looks at how your non-completion rates have changed between years.
200. These tables will show automatic highlighting where the changes between years are greater than expected, according to pre-set thresholds. You should make notes on any highlighting on these tables and determine the underlying changes to your provision that this reflects.
201. During the data verification phase of the HESES process (see paragraphs 75 to 92), our questions will take account of any highlighting in the comparison tables. We strongly recommend that you email us with explanations based on your notes when you submit your workbook.

## Other comparisons

202. This worksheet also contains tables that summarise your HESES18 data and compares it with previous years. We will not routinely ask questions on these tables during the data verification process.

## Tables A to G

203. The funding comparison worksheets compare your 2018-19 funding allocations as announced in your provider's latest grant tables (which used HESES17 data) with modelled funding. This takes your HESES18 data and applies it to the 2018-19 funding model. The allocations in the funding comparison sheet are shown only as a comparison tool. They are illustrative calculations using

Part 1: The HESES process and instructions on completing the workbook - Guidance for completing workbook tables

the 2018-19 funding method and parameters, and should not be considered to be any kind of funding commitment.

204. You will not be routinely asked about funding changes during the HESES18 data verification phase. However, we would encourage you to look at these as they can be used to sense check your data and to identify large errors.

## **Part 2: Funding Rules and Definitions**

## Annex A: Defining the HESES student population

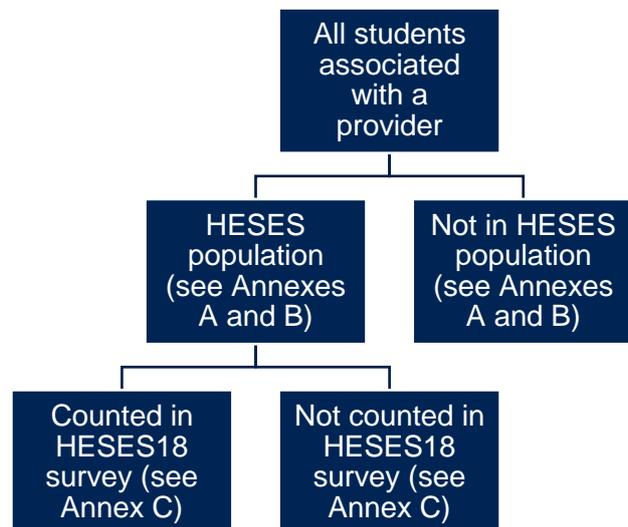
This annex defines an 'instance' and explains which student instances should and should not be included in the HESES population. It also explains how to treat provision delivered through related undertakings and subcontractual arrangements.

### Annex A contents

#### Definitions

- The HESES population for 2018-19
- Who is in the HESES population for 2018-19?
- Related undertakings
- Subcontractual arrangements

#### Good practice



### Definitions

#### The HESES population for 2018-19

1. HESES18 records counts of years of instance for students (regardless of whether or not the student is repeating a year) aiming for a recognised higher education qualification or higher education level credit that can be counted towards one. References to 'recognised higher education' mean recognised solely for Office for Students (OfS) funding purposes, rather than any wider purpose, and are defined in Annex B.
2. For the purposes of HESES:
  - a. An 'instance' is defined as a coherent engagement with the **provider** by a student aiming towards the award of one or more qualifications, or of credit. It can be split into one or more 'years of instance'.
  - b. A 'year of instance' is defined in Annex C. In summary the first year of instance begins when the student starts studying towards the qualification; the second and subsequent years start on or near the anniversary of this date (allowing for minor variations in term dates).

## Annex A: Defining the HESES student population

- c. 'Provider' means the higher education provider including its **related undertakings**, as defined in paragraphs 8 to 11, unless such undertakings:
- i. Are subject to a separate funding agreement with the OfS.
  - ii. Are subject to separate terms and conditions of UK Research and Innovation funding in relation to funds administered by Research England.
  - iii. Have been designated by the Secretary of State as providers in the further education sector that have their own contract with the Education and Skills Funding Agency (ESFA).
  - iv. Are schools as defined by section 4 of the Education Act 1996 or multi-academy trusts.
- d. The provider with which a student is registered (both for HESES purposes and for the Higher Education Statistics Agency (HESA) student record) means:
- i. For all courses except joint courses, the provider which has the full contractual responsibility to the student for the provision of educational services.
    - 1) Where fee payments from the Student Loans Company are concerned, this will also be the provider that collects the student tuition fee.
    - 2) Where payments from the ESFA for apprenticeships are concerned, this will also be the provider that is paid by the ESFA.

This applies whether the provider provides all the teaching for the course or subcontracts out some of that teaching to another body.
  - ii. For joint courses, the provider to which the student is assigned for data reporting purposes when they start their course. In joint courses responsibility for the provision of education to a student is held by more than one provider, and there may be variation from year to year as to which of these collects the tuition fee for a year of instance. Providers should determine at the outset what proportion of the initial entry cohort should be reported by each provider. Reflecting this proportion, each student should then be assigned to a single provider when they start their course, and retain this assignment until they finish it. This approach will support student tracking for performance indicators and other longitudinal studies. Students on courses provided under the Erasmus Mundus Joint Masters' Degree scheme<sup>1</sup> should be registered with and reported by the provider with which they initially start the course.
- e. 'Joint courses' are courses made available by two (or more) providers with degree-awarding powers, in which each provider has responsibility for the provision of education to students and which lead on successful completion to a joint award or dual or multiple awards from each provider involved. Teaching may be provided in varying proportions by the providers involved.

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<sup>1</sup> See <http://ec.europa.eu/programmes/erasmus-plus/> for further details.

## Annex A: Defining the HESES student population

- f. An 'exchange' is defined as a programme offered in partnership with an overseas provider where there is a movement of students in both directions between the providers. The movement of students does not have to be balanced. For an exchange programme:
  - i. In an 'outgoing' exchange the UK provider sends participants from its registered students to undertake a period of study at a provider abroad or, under the Erasmus+ scheme only, a work placement abroad.
  - ii. In an 'incoming' exchange, the UK provider receives students registered at a provider abroad, who are undertaking a period of study with them.
- g. A 'recognised higher education qualification or higher education level credit' is defined in Annex B.

### Who is in the HESES population for 2018-19?

- 3. Instances meeting **all** the following criteria should be included in the HESES population:
  - a. At least part of a year of instance, in which the student is registered and actively pursuing studies with the provider, begins within the academic year (1 August 2018 to 31 July 2019). This:
    - i. Includes outgoing, but not incoming, exchange students.
    - ii. Excludes students who the provider teaches under a subcontractual relationship with another provider, where the latter provider has the full contractual responsibility to the student for the provision of education.
    - iii. Excludes instances for students who are on school-centred initial teacher training programmes.
    - iv. Excludes instances that are being returned on any other provider's HESES or Higher Education in Further Education: Students (HEIFES) survey.
    - v. Excludes instances where no year of instance for which the student is actively studying with the provider falls even partly in the academic year 2018-19, such as:
      - 1) Instances where all years of instance falling in the year are entirely writing up. Writing up is not considered to be 'study' for HESES purposes.
      - 2) Instances where the only activity is assessment. This includes teacher training programmes that consist only of a Qualified Teacher Status assessment.
      - 3) Instances whose course aim is a research qualification awarded primarily on the basis of published works, unless the instance involves a significant amount of research at the provider.
    - vi. Excludes graduate and undergraduate internships.

## Annex A: Defining the HESES student population

- b. The instance has a course aim of a recognised higher education qualification, or a higher education level credit that can be counted towards such a qualification. This excludes instances where the **sole** course aim is a National Vocational Qualification, but includes instances which lead to both a recognised higher education qualification and a National Vocational Qualification.
- c. No more than half of the active study time for the whole instance is spent outside the UK (including through distance learning), unless any of the following apply:
  - i. There is a clear academic reason for studying abroad rather than in the UK. Even where such a reason exists, we must specifically sanction the course as eligible.
  - ii. The student is temporarily and unavoidably abroad and remains liable to UK tax on their earnings, or is a dependant of such a person. This includes members of HM Forces and their dependants.
  - iii. The student is receiving UK student support from the Student Loans Company for the year.

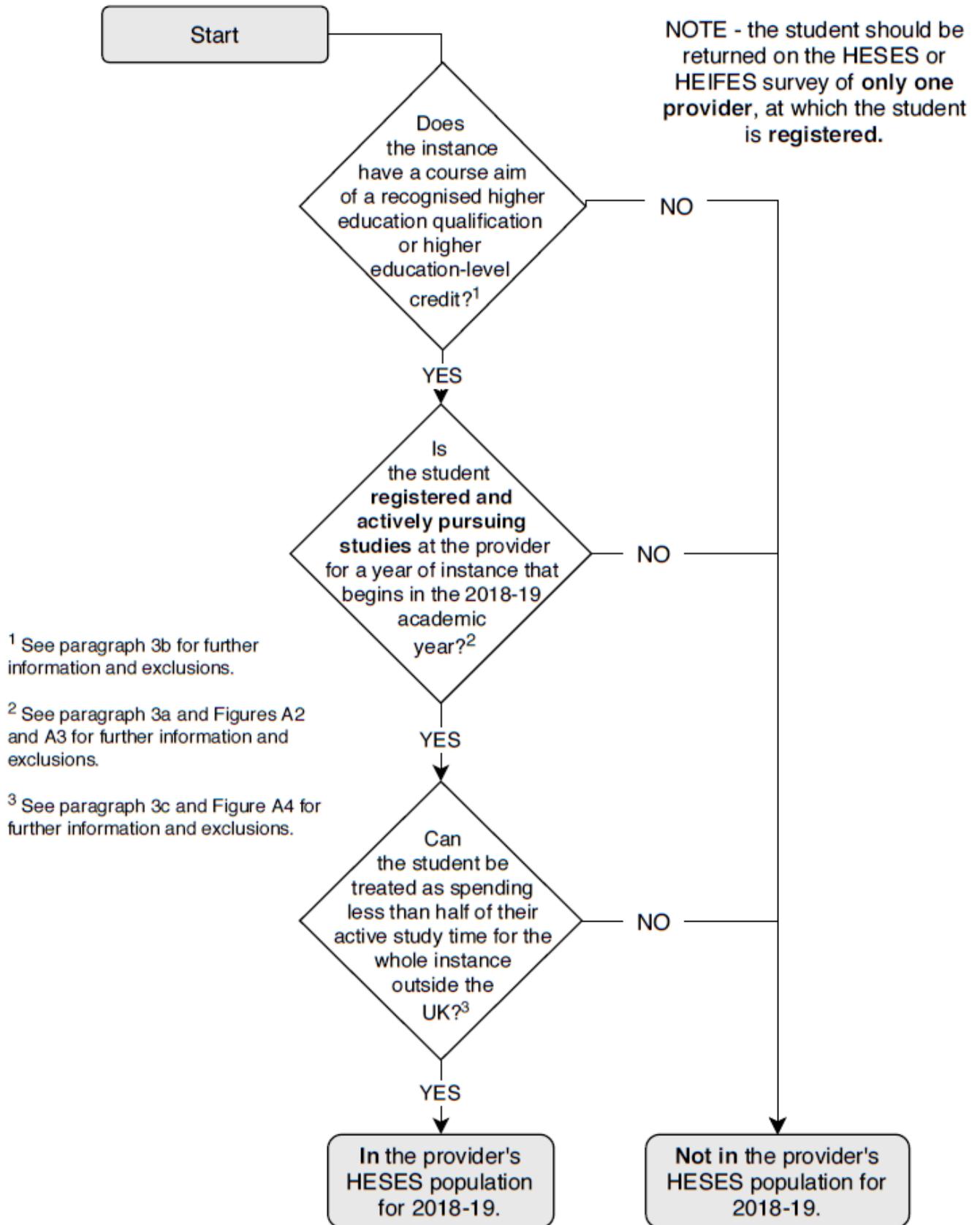
Instances for sandwich students working abroad and students on a study year abroad as part of an exchange should normally be included in the HESES population, because the year abroad will not constitute most of the instance.

4. All instances included in the HESES population must be included in the provider's Higher Education Statistics Agency (HESA) student record, even if this is not normally compulsory under the coverage of the record.

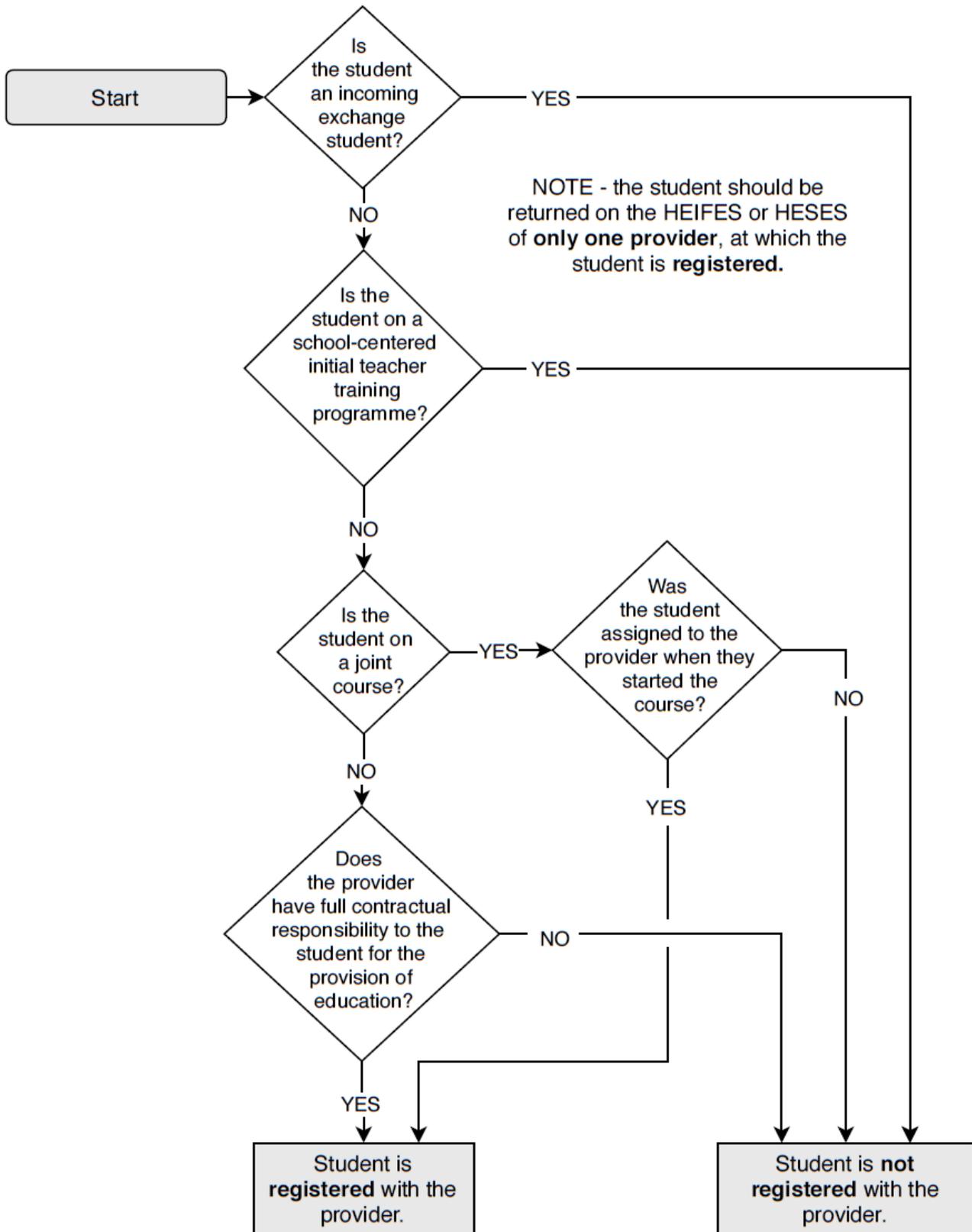
### HESA Student record notes

5. Students who are in the HESES population must have a HESA record returned for 2018-19 even if they do not generate a countable year in HESES18. Incoming exchange students should be recorded in the HESA record using the EXCHANGE field, using codes '4' or 'G'.
6. The responsibility for reporting student data (other than for joint courses) depends on which provider has full contractual responsibility to the student for the provision of education. Students should not, other than in exceptional circumstances, change the provider they are registered with, and no change should be made as to which provider reports data on students who are continuing on the same course without each student's informed agreement. The only case where we expect this to be common practice is in formal collaborative research programmes (such as doctoral training partnerships or centres for doctoral training), where students will often transfer having completed an MRes. In reporting student data to us, providers will be confirming their contractual responsibilities for the provision of education to these students.
7. The flowcharts provided in Figures A1 to A4 can be used to determine whether a student can be included in the HESES population for 2018-19.

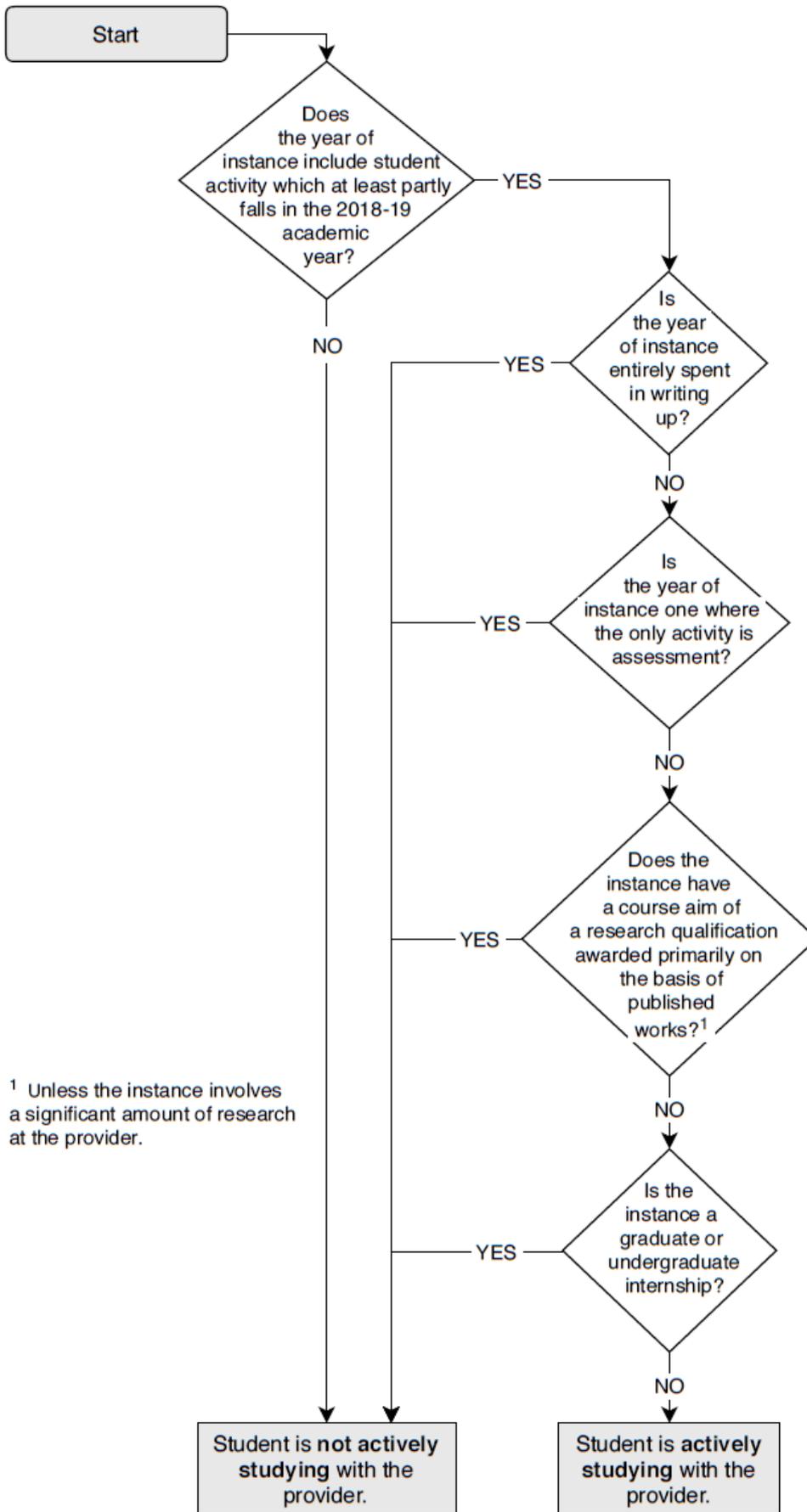
**Figure A1: Determining the HESES population for 2018-19**



**Figure A2: Determining whether a student is registered with a provider**

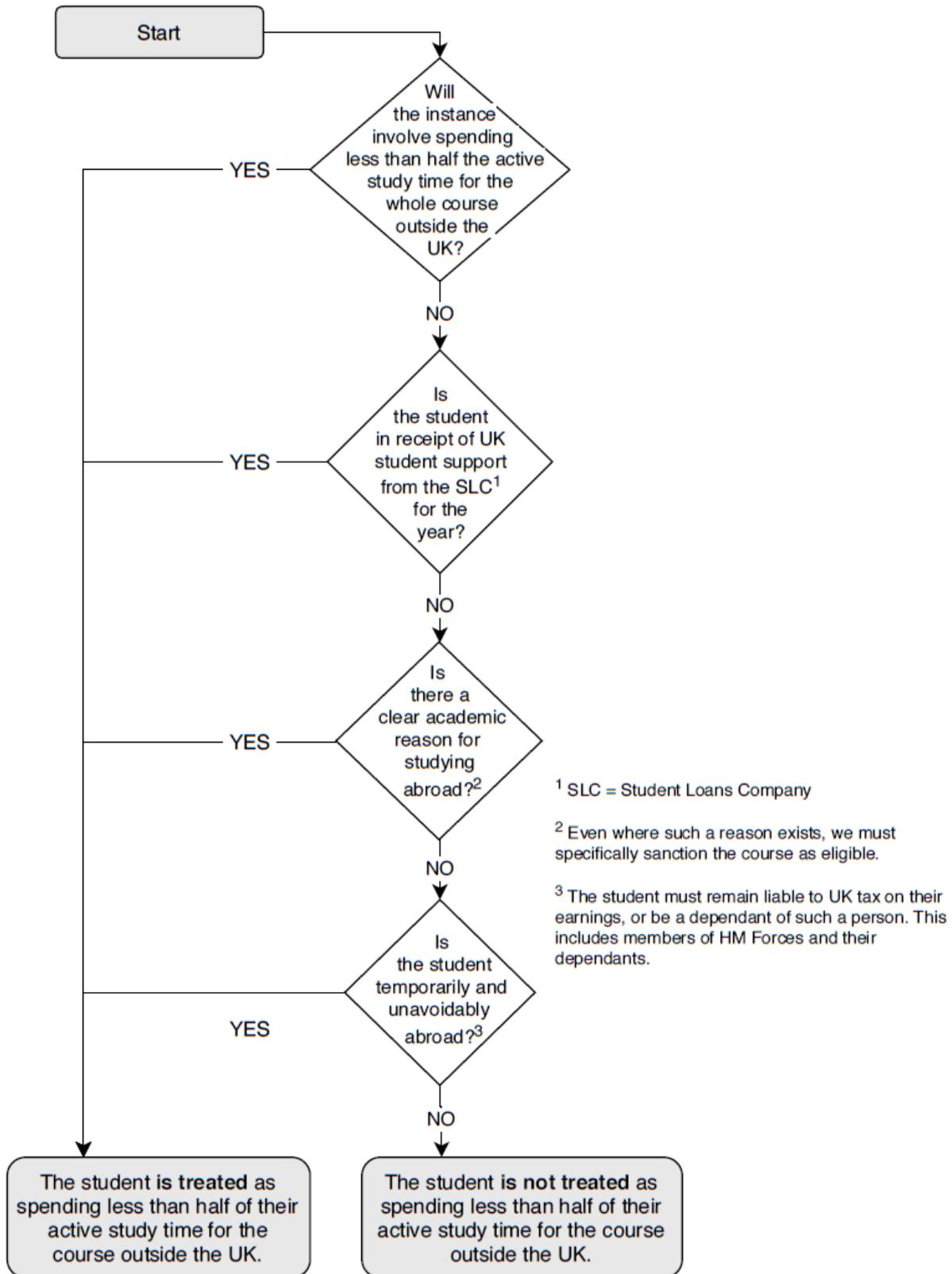


**Figure A3: Determining whether a student is actively studying with a provider**



<sup>1</sup> Unless the instance involves a significant amount of research at the provider.

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



## Related undertakings

8. An 'undertaking' includes a body corporate, a partnership, an unincorporated association or a trust. An undertaking will normally be regarded as a related undertaking of the provider if any of the following apply:
- a. The provider controls that undertaking.
  - b. The provider and another undertaking or other undertakings related to the provider together control that undertaking.
  - c. Another undertaking or other undertakings related to the provider control that undertaking.
  - d. That undertaking is recognised by the OfS and Research England as a 'connected institution', as defined by section 27 of the Teaching and Higher Education Act 1998.
  - e. We consider that the sole purpose, or one of the main purposes, of registering students at that undertaking is to avoid or minimise regulation by the OfS and Research England, to optimise funding or to manipulate data for regulatory or other purposes.
  - f. We consider that the undertaking was established by, or is operated for the primary benefit of, the provider.
9. The OfS and Research England may, at our discretion, decide to treat a related undertaking as a separate provider for funding, regulatory and other purposes if we consider that the undertaking has a separate historical identity from its parent provider.
10. For the purpose of paragraph 8, an undertaking is under the 'control' of another if any of the following apply<sup>2</sup>:
- a. That other holds, or is entitled to acquire, a majority of the shares in the undertaking.
  - b. That other holds, or is entitled to acquire, a majority of the voting rights in the undertaking.
  - c. That other has, or is entitled to acquire, the right to appoint or remove a majority of the board of directors or other governing body of the undertaking.
  - d. That other has, or is entitled to acquire, the right to exercise dominant influence over the undertaking by virtue of provisions contained in the undertaking's articles of association or any other constitution, control contract, memorandum of understanding or other document regulating the undertaking or any other undertaking.
  - e. That other has, or is entitled to acquire, the right to a share of more than half the assets in the event of a winding-up or in any other circumstances, or of more than half the income, of the undertaking.

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<sup>2</sup> The expressions 'voting rights in an undertaking', 'right to appoint or remove a majority of the directors', 'right to exercise a dominant influence' and 'control contract' have the meanings given in schedule 7 to the Companies Act 2006.

## Annex A: Defining the HESES student population

- f. Both are in common or overlapping ownership or are managed on a uniform basis or have a significant number of directors (or equivalent) or senior management in common.
  - g. That other has or is entitled to acquire the power, by any other means, to secure that the affairs of the undertaking are conducted in accordance with its wishes, or the undertaking is habitually conducted in accordance with the wishes of the other.
11. Where a school (as defined in paragraph 2c) or multi-academy trust is under the control of the provider and delivers higher education the expectation is that higher education students would be reported through the provider, but students not studying at higher education level in school would be excluded.
12. Where a student union is under the control of the provider, it is excluded from the definition of related undertakings, except where it delivers higher education.

### Partnerships between providers

13. Our regulatory framework<sup>3</sup> provides guidance on the definitions of validation and subcontractual arrangements:
- a. A **validation arrangement** applies to a course (module or programme) which a degree awarding body approves to contribute to, or lead, one of its awards. The validated course is delivered by the provider that designed it and students on the course normally have a direct contractual relationship with that provider and not the validating provider. The validating provider remains responsible for the academic standards of the award granted in its name.
  - b. A **subcontractual arrangement** (sometimes described as a ‘franchise arrangement’) is a relationship, based on a formal contract, in which a body with degree awarding powers (the lead provider) allows another provider (the delivery provider) to deliver all or part of a programme which has been designed, approved and owned by the degree awarding body. The lead provider or subcontracting provider retains overall control of the programme’s content, delivery, assessment and quality assurance arrangements.

This does not include informal arrangements that are not governed by contracts between providers, such as those that might exist for shared teaching between constituent parts of the University of London, or for study abroad under the Erasmus+ programme. It may include some exchange programmes, if there is a formal contract between providers.

14. **Joint courses** are where a course is made available by two or more providers with degree awarding powers and which leads, on successful completion, to a joint award or dual or multiple awards from each provider involved. Further guidance on joint courses was previously provided by HEFCE in ‘Institutions’ responsibilities in partnership arrangements’ (HEFCE circular letter 18/2015)<sup>4</sup>.

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<sup>3</sup> See [www.officeforstudents.org.uk/publications/securing-student-success-regulatory-framework-for-higher-education-in-england/](http://www.officeforstudents.org.uk/publications/securing-student-success-regulatory-framework-for-higher-education-in-england/).

<sup>4</sup> See [http://webarchive.nationalarchives.gov.uk/20180405120642/http://www.hefce.ac.uk/pubs/year/2015/CL\\_182015/](http://webarchive.nationalarchives.gov.uk/20180405120642/http://www.hefce.ac.uk/pubs/year/2015/CL_182015/).

## Annex A: Defining the HESES student population

15. While the nature of any partnership arrangement is for providers to decide, we would consider this to be determined by the details of the contract between the relevant providers.
16. A course is considered to be part of a subcontractual arrangement if, typically:
  - a. There is a written, legally binding agreement in place between the lead provider and the delivery provider that sets out the conditions of the arrangement.
  - b. The lead provider has a contractual relationship with the student (and the full contractual responsibility for the provision of educational services, as mentioned in paragraph 2d of this annex).
  - c. The fee or fee loan is paid to the lead provider.
  - d. The student is registered as a student of the lead provider and is included in its data returns.
17. We would expect providers to be clear on the nature of any partnership agreements and to ensure that this is communicated to students.
18. The Student Loans Company requires that students are registered with the validating body before a provider collects the fee for the student. In the case of subcontractual arrangements it should be the lead provider with contractual responsibility that registers the student with the validating body. Where delivery of Higher National Diplomas or Higher National Certificates is subcontracted to another provider, we expect the arrangement to be approved by Pearson PLC. Please refer to Pearson's guidance on collaborative and consortium arrangements<sup>5</sup>.
19. It is the responsibility of the registering provider to ensure the quality of all the data it returns, including those relating to activity at its subcontractors.

### Good practice

20. It is essential that exchanges of information and communications between the partners are frequent, timely, open and effective. In particular, we highlight the importance of a lead provider being told promptly by its partner delivery providers about any withdrawing students. This may require clear protocols among partner providers regarding the exchange of information.
21. The different roles of each partner in collecting and managing data will vary. The principle applied at audit is that student data should be managed with equal professionalism at all partner providers. When entering into subcontractual arrangements, the systems in operation and the exchange of information should form part of the negotiations and final agreement.
22. It is important that students are returned on the HESES (or HEIFES) survey and the HESA student record (or the Individualised Learner Record or the HESA alternative provider student record) by the lead provider only. A provider's student record system should contain all subcontracted-out students' records in the same way as it does students taught directly. However, providers' student record systems should clearly identify those students subcontracted out and to be returned by them, and should ensure that those not eligible (including those subcontracted in) are excluded from the

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<sup>5</sup> See <https://qualifications.pearson.com/en/support/support-topics/understanding-our-qualifications/policies-for-centres-learners-and-employees.html>.

survey. This will help to ensure that subcontracted-out students are correctly returned in HESES, and that an audit trail for such students is available.

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

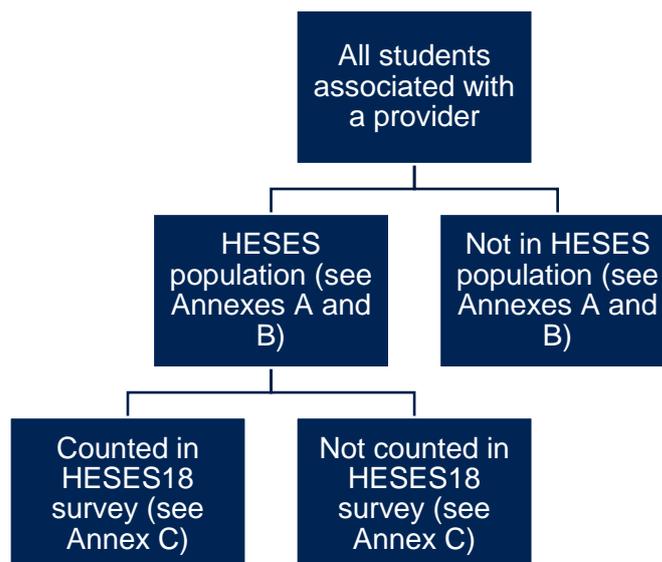
## Annex B: Recognised higher education for OfS funding purposes

This annex defines the recognised higher education courses which students must be studying if they are to be included in HESES18. It also details the treatment of students on higher, degree or advanced apprenticeships which include both recognised higher and other elements

### Annex B contents

#### Definitions

- Recognised higher education for OfS funding purposes
- Foundation years ('Level 0')
- Funding for higher, degree and advanced apprenticeship



### Definitions

#### Recognised higher education for OfS funding purposes

1. To be included in the HESES population for 2018-19 and therefore potentially counted in HESES18, an instance must be for a course that meets our definition of recognised higher education for Office for Students (OfS) funding purposes. This:
  - a. Includes courses that are designated under the Education (Student Support) Regulations 2011 and other courses that lead to qualifications meeting the standards at Level 4 and above of the 'Frameworks for higher education qualifications of UK degree-awarding bodies<sup>1</sup>, or credit towards such a qualification that is itself at Level 4 or above.
  - b. Excludes courses (and credit towards such courses) leading to qualifications in the Register of Regulated Qualifications<sup>2</sup>, unless they are courses designated under the Education (Student Support) Regulations 2011.

<sup>1</sup> Available from [www.qaa.ac.uk/quality-code/the-existing-uk-quality-code/part-a-setting-and-maintaining-academic-standards](http://www.qaa.ac.uk/quality-code/the-existing-uk-quality-code/part-a-setting-and-maintaining-academic-standards).

<sup>2</sup> See <https://register.ofqual.gov.uk/>.

2. Instances that do not meet this definition are excluded from the HESES population. References to 'recognised higher education' mean recognised solely for our funding purposes, rather than any wider purpose.

### **Foundation years ('Level 0')**

3. Instances for foundation years, access provision and other provision commonly referred to as 'Level 0' will be included in the HESES population only if they are an integrated part of a recognised higher education course, as defined in paragraph 1, such that both of the following apply:
  - a. Students are already registered for the recognised higher education course at the same provider.
  - b. Progression to the recognised higher education course is guaranteed, subject to satisfactory completion of the foundation year.
4. Free-standing foundation years and other free-standing Level 0 provision are not recognised higher education courses. The requirement that students are already registered for the recognised higher education course at the same provider means that, where the foundation year is taught by a different provider, this will be treated as integrated – and therefore within the HESES population – only if it is done under a subcontractual arrangement from the provider offering the recognised higher education course.

### **Recognised higher education provided as part of an apprenticeship**

5. Apprenticeships are programmes of study in which an apprentice is employed for a minimum of 30 hours a week while studying towards qualifications. They can be studied at several specific levels, including degree apprenticeships where apprentices study towards an undergraduate or postgraduate degree qualification.
6. Although apprenticeships are funded from a variety of sources, including the Education and Skills Funding Agency (ESFA), this does not in itself affect whether years of instance taken as part of an apprenticeship are included in HESES18, or whether Home and EU students are reported as OfS-fundable or non-fundable. Recognised higher education qualifications or credit taken as part of an apprenticeship should be considered for inclusion in HESES18 in the same way as those that are not part of an apprenticeship.
7. The OfS provides funding to providers where such years of instance meet the criteria for particular elements of teaching grant. OfS funding is treated as complementary to finance provided by the ESFA and employers, which is more analogous to finance that for other higher education provision would be provided through tuition fees or student support.
8. Only the activity within an apprenticeship that meets the definition of recognised higher education for OfS funding purposes given in this annex should be included. This means that a student who has commenced such an apprenticeship, but is not undertaking the recognised higher education part of that apprenticeship during the year of instance, should not be included in HESES. For the purposes of determining a student's mode of study, only time spent in study or learning in the workplace that directly contributes to their recognised higher education qualification should be counted towards a student's activity.

## Annex B: Recognised higher education for OfS funding purposes

9. The provider with responsibility for delivering the apprenticeship (usually contracted by the ESFA) is the lead provider, with contractual responsibility for students, and should report students in its data. Where a recognised higher education qualification or credit that is part of an apprenticeship is delivered by a different provider, this should be through a subcontractual arrangement with the lead provider (see Annex A for full definition).
10. Where higher education providers or subcontractual partners are also providing, as part of an apprenticeship, other qualifications or credits that are not recognised for OfS funding purposes, the lead provider should report two instances on the Higher Education Statistics Agency (HESA) student record for each student on the apprenticeship:
  - a. One of these should relate to study towards the qualifications or credits that meet the definition of recognised higher education in this annex and that may be OfS-fundable.
  - b. The other should relate to study towards any other qualifications. Where providers return further education activity directly to the ESFA on the Individualised Learner Record, the further education instance should not be included on the HESA record.

# Annex C: Counting student activity

This annex gives the definition of a year of instance and explains how to count them in HESES18. This includes the criteria for counting a year of instance in HESES18, the definitions of standard and nonstandard years of instance, flow charts to aid with determining how years of instance should be counted, and guidance on counting some short courses that are sometimes known as ‘summer schools’.

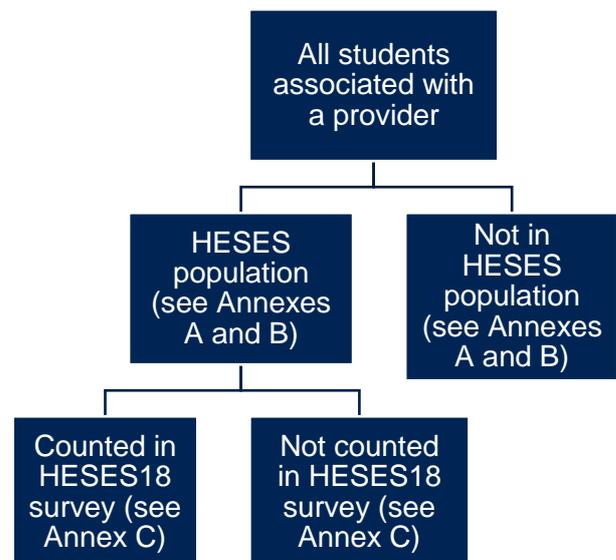
## Annex C contents

### Definitions

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

### Guidance

- How to count years of instance
  - Students who withdraw before the census date
  - Standard and nonstandard years
- New entrants
  - Starters in 2016-17, 2017-18 or 2018-19 on Tables 7a, 7b and 7c
- Assigning modules to year of instance
- Summer schools
  - Summer schools for potential higher education students
  - Access provision
  - Within-course periods of study in vacation time
  - Foundation degree bridging courses



### Examples

### Good practice

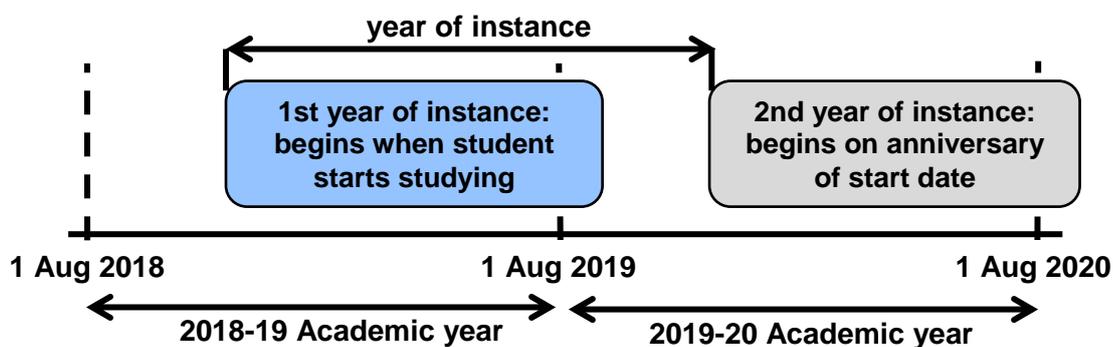
## Definitions

### Year of instance

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

2. HESES counts years of instance for students studying towards recognised higher education qualifications or credits. This is not the same as counting students. This approach ensures that comparable activity is recorded in the same way, irrespective of when it occurs. The start of a year of instance is determined on an individual student basis and is the date when the student first started studying towards the qualification, or its anniversary. Therefore a student who starts their course later than others in the same cohort will start each year of instance later than others on the course throughout their studies.

**Figure C1: Year of instance**



#### Further notes on years of instance

3. Exceptionally, a student may be on two courses at the same time, aiming for two independent recognised higher education qualifications. Each instance then generates its own countable year of instance. Thus, a student studying towards a PhD and an unrelated undergraduate professional qualification would generate two years of instance each year. However, a student studying for multiple credits at a provider that could count towards the same final qualification would generate only one year of instance each year. Usually, independent instances link to different course aims on the Higher Education Statistics Agency (HESA) student record.
4. Where a student completes a foundation degree and then undertakes a foundation degree bridging course to enable them to join the final year of an honours degree, the foundation degree bridging course should be treated as an independent course which will generate its own year of instance. However, it will not be a separate instance on the HESA record, as explained in paragraph 32 of this annex.
5. In all cases where a student is studying for two or more separate and independent qualifications, each should be returned as a separate instance on the HESA record. Guidance on when separate instances should be generated can be found at [www.hesa.ac.uk/collection/c17051/uhn/](http://www.hesa.ac.uk/collection/c17051/uhn/).

#### Counting years of instance

6. To be counted, years of instance must be generated by a student in the HESES population for 2018-19, and meet all the following criteria:
  - a. A fee is charged for tuition or supervision of research. Exceptionally, this fee may be waived for individual students based on their particular circumstances. Other than for sandwich year out students it should not be waived for all students on a course, and the criteria which determine whether the fees may be waived should not be tantamount to waiving them for all students. Where the fee has been waived for an individual student,

evidence of the reason for this waiver must be retained. This criterion does not apply to students taking a recognised higher education qualification as part of an apprenticeship.

- b. The full-time equivalence (FTE) for the year of instance is at least 0.03.
  - c. The student is not writing up a thesis or similar piece of work throughout the whole of the year of instance. Students are considered to be writing up when they have completed their research work and will not undertake any significant additional research. It is common practice for such students to receive a small amount of supervision, and they may still have access to other facilities at the provider. However, such students should still be treated as writing up. Writing up is not considered to be 'study' for HESES purposes; therefore time spent writing up for part of a year of instance should be taken into account and excluded when calculating the student's FTE.
  - d. The student has not withdrawn, and is not forecast to withdraw, within two weeks of starting their instance.
7. In some cases a fee may not be charged in the current year because a fee for the activity has already been paid in a previous year. This should not be treated as a fee waiver. Rather the student should be treated as having been charged a fee for the year.

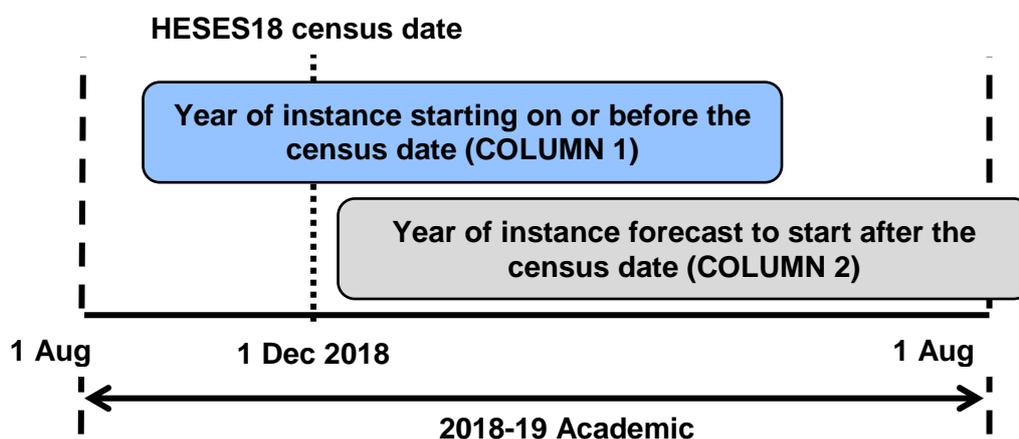
## Guidance

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

8. To be counted in HESES18, a student's year of instance must start in the 2018-19 academic year (1 August 2018 to 31 July 2019). The start date for the year of instance is the date when the student first started studying towards the qualification, or its anniversary. This should then be compared with the HESES census date, which is 1 December 2018 for HESES18:
- a. If a year of instance starts **on or before the census date** (between 1 August 2018 and 1 December 2018, inclusive) then that year of instance is recorded in **Column 1** of Tables 1, 2, 3 and 5.
  - b. If a year of instance starts **after the census date** (between 2 December 2018 and 31 July 2019, inclusive) then that year of instance is recorded in **Column 2** of Tables 1, 2, 3 and 5.

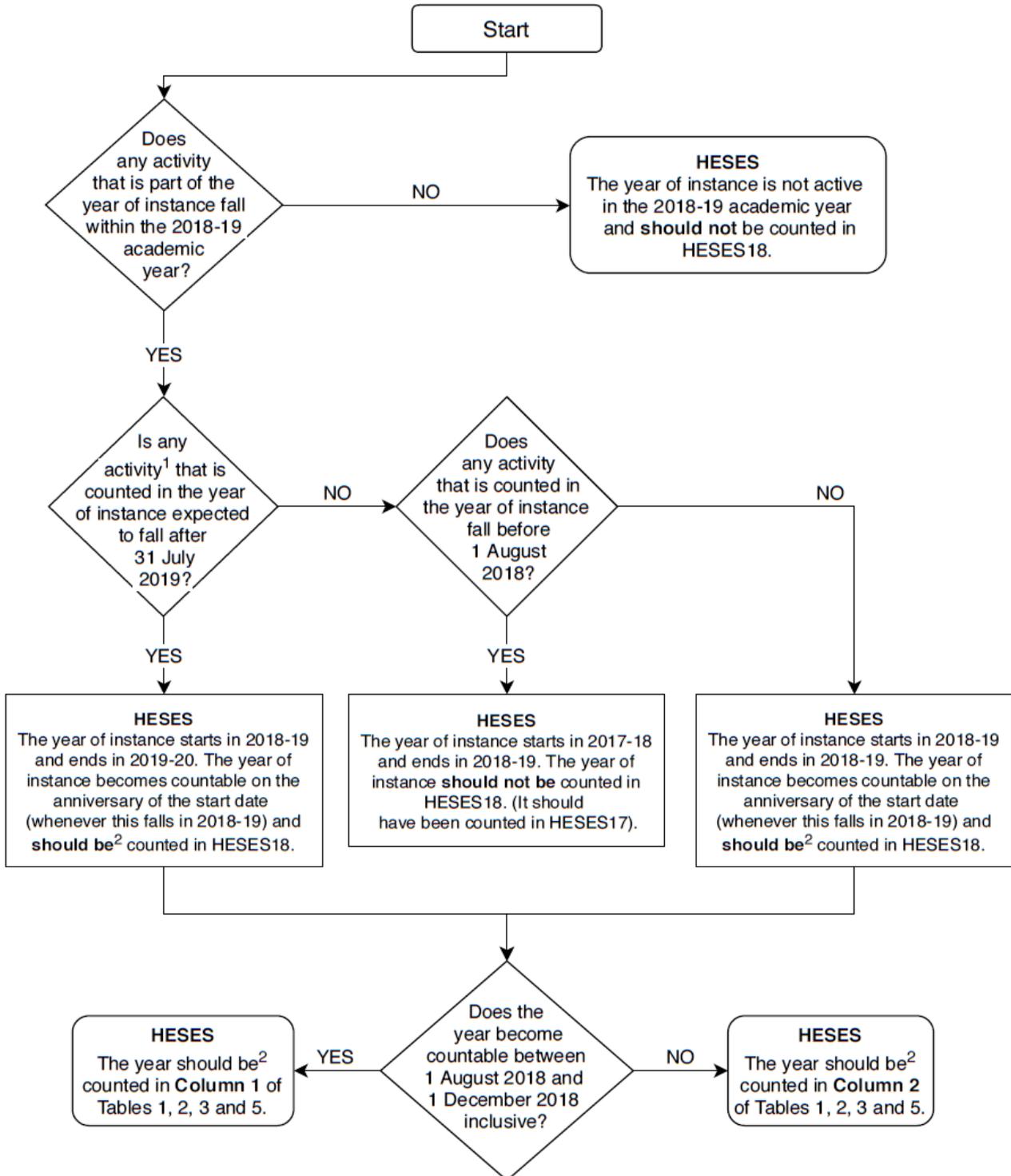
Figure C2 illustrates this concept.

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



9. The flow chart in Figure C3 can be used to determine whether the year of instance should be counted in HESES18, and if so, whether it should be returned in Column 1 or 2 of Tables 1, 2, 3 and 5.

**Figure C3: How to determine whether a year of instance should be returned in HESES18, and whether in Column 1 or 2 in Tables 1, 2, 3 and 5**



<sup>1</sup> For this purpose, periods of work experience that would cause the year of course to span academic years should be ignored.

<sup>2</sup> Subject to meeting the other conditions to be counted in HESES.

10. Students who have not completed the provider's registration process for the instance, and from whom there is no evidence of activity by the census date, should not be included in Column 1 of Tables 1, 2, 3 and 5 in the HESES18 return. However, if there is evidence of activity, students should be included in Column 1 of Tables 1, 2 or 3 and Table 5 of the HESES18 return. Efforts should be made to ensure that all eligible students are fully registered by the census date.

#### **Students who withdraw on or before the census date**

11. If a student has withdrawn from their course on or before 1 December 2018 without completing the year of instance, their year of instance should not be returned.

#### **Standard and nonstandard years**

12. There are two types of year of instance, standard and nonstandard:

- a. A **standard year** is one where all activity for the year of instance is entirely within one academic year (1 August to 31 July). Most undergraduate students are on standard years.
- b. A **nonstandard year** is one where all activity for the year of instance is **not** entirely within one academic year – that is, where the activity for the year of instance crosses from one academic year into the next.

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

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

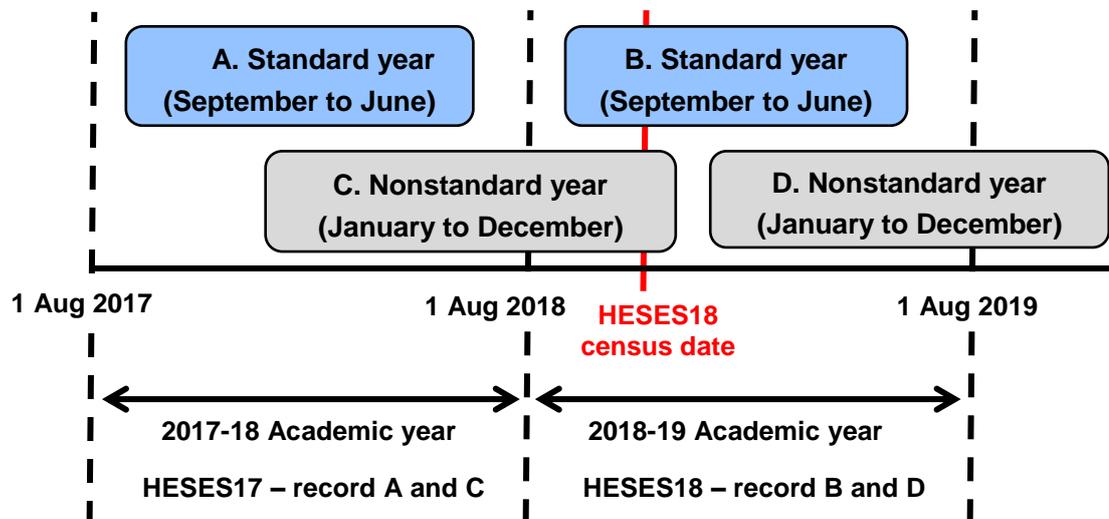
- a. For students on standard years, the FTE for the whole year of instance will usually be the same as the FTE for the academic year.
- b. For students on nonstandard years, the FTE for the whole year of instance will not necessarily be the same as the FTE for the academic year. The final academic year during which the student is active will not usually generate a countable year of instance. It will do so, however, if a student undertakes a short period of activity after the anniversary of their commencement date and that activity ends in the same academic year.

14. Figure C4 shows how to count standard and nonstandard years in HESES18:

- a. Year of instance A is a standard year that was completely within the 2017-18 academic year, and should have been recorded in HESES17.
- b. Year of instance B is a standard year that starts before the census date in the 2018-19 academic year and is recorded in Column 1 of HESES18 Tables 1, 2 or 3 and Table 5.
- c. Year of instance C is a nonstandard year that spans the census date, but started in the 2017-18 academic year. It should have been recorded in HESES17, not HESES18.

- d. Year of instance D is a nonstandard year that starts after the census date in the 2018-19 academic year and is recorded in Column 2 of HESES18 Tables 1, 2 or 3 and Table 5.

**Figure C4: How to record standard and nonstandard years**



### New entrants

15. For Tables 5 and 6, students should be classed as new entrants when they meet both the following criteria:
  - a. They first generate a countable year of instance for a higher education course recognised for OfS funding purposes.
  - b. They have not been active at the same broad level (undergraduate, postgraduate taught or postgraduate research) as a student of the same registering provider in either of the two previous academic years.
16. Students repeating the first year of a course should not therefore be included as new entrants, whereas those entering directly into the second or later year of a course could be. For merged providers the registering provider includes the previous constituent providers that merged to form the current one.
17. Where a student starts more than one instance at the same broad level in the same academic year and could be considered as a new entrant for each instance, they should be recorded as a new entrant for only one. If one such instance has an earlier start date than the others the student should be recorded as a new entrant for that instance.

### Starters in 2016-17, 2017-18 and 2018-19 on Tables 7a, 7b and 7c

18. In general, starters on Tables 7a, 7b and 7c are students starting study for the first time on a relevant pre-registration nursing, midwifery or allied health profession course in 2016-17, 2017-18 or 2018-19. In the paragraph that follows, **'the relevant date'** means:
  - 1 August 2016 for an undergraduate pre-registration nursing, midwifery or allied health profession course, other than one in dental hygiene or dental therapy

## Annex C: Counting student activity

- 1 August 2017 for a postgraduate pre-registration nursing, midwifery or allied health profession course; or an undergraduate pre-registration dental hygiene or dental therapy course.

### 19. Starters in 2016-17, 2017-18 and 2018-19:

- Include** students who transfer on or after the relevant date onto a pre-registration nursing, midwifery or allied health profession course from one that is not. The year for which they are treated as a starter is the year in which they transfer onto the pre-registration course. (Such a student transferring within an institution would not be a new entrant for the purposes of Tables 5 and 6).
- Include** students who transfer between different types of pre-registration nursing, midwifery or allied health profession course, if their previous pre-registration course started on or after the relevant date. They should be recorded against the profession that applies to their current course, but they should be recorded as a starter in the year that their previous course started. (Such a student transferring within an institution would not be a new entrant for the purposes of Tables 5 and 6).
- Exclude** students who transfer between different types of pre-registration nursing, midwifery or allied health profession course, if their previous such course started prior to the relevant date.
- Exclude** students repeating the first year of a pre-registration nursing, midwifery or allied health profession course if their course started prior to the relevant date. Students repeating the first year of a pre-registration nursing, midwifery or allied health profession course that started on or after the relevant date should be reported as starters in the year they started the course, and not when they repeated the first year.

20. Students classified as starters in 2018-19 will not necessarily be new entrants on Tables 5 and 6, though the two populations will overlap significantly.

### Assigning modules to years of instance

21. If a module spans two years of instance then all activity for that module should be counted in the second year of instance in which it occurs. Exceptionally, where the duration of the module is greater than 12 months, the activity for the module should be assigned to the year of instance in which the activity falls. This means that the module is countable across two or more years of instance. In such cases, and for HESES purposes only, the module activity in each year of instance will be treated as a separate module in its own right. This includes where the HESES year of instance concept is used to determine HESA field values, such as FUNDCOMP, LOADYRA, and FUNDLEV.
22. The flow chart in Figure C5 can be used to determine which year of instance a module should be assigned to.

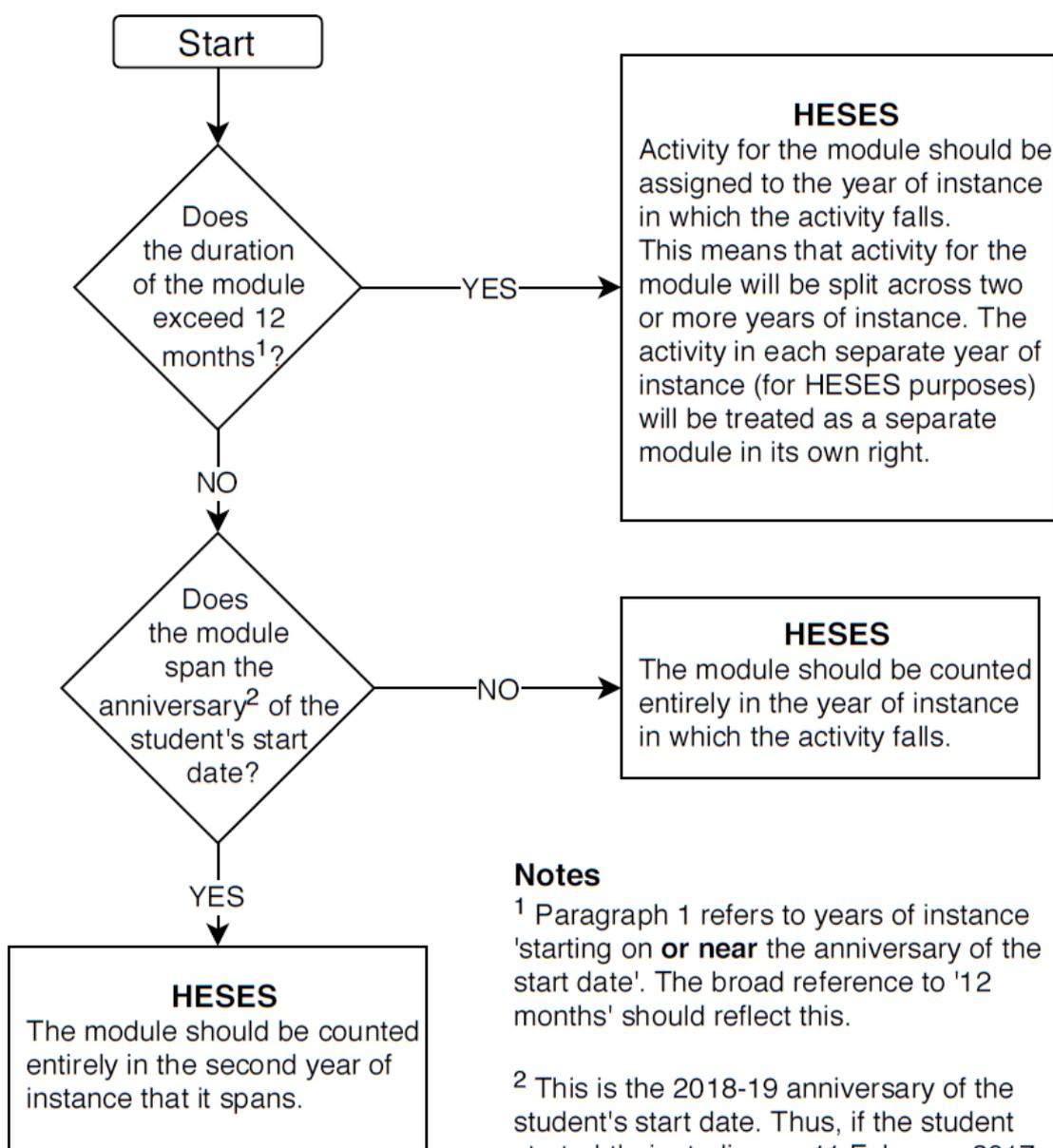
### HESA student record notes

23. Data returned on the HESA student record mainly relates to the HESA reporting year and is not separated across years of instance. To allow providers to return accurate data on activity within

years of instance, the HESA student record includes four fields: INSTAPP, LOADYRA, LOADYRB and MODYR. The last three fields are optional.

24. For monitoring purposes, where providers do not complete these fields, we will make assumptions about the FTE for the year of instance. Broadly, we assume patterns of activity across years are constant and are equivalent for similar students. Full details of the algorithms we expect to use are shown in the document '2017-18: HESA student data checking tool', which is available on our website at [www.officeforstudents.org.uk/data-and-analysis/data-checking-tools/](http://www.officeforstudents.org.uk/data-and-analysis/data-checking-tools/). Providers should, where possible, avoid making an approximation of activity for the year of instance in completing HESES.

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



### Summer schools

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

### **Summer schools for potential higher education students**

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

### **Access provision**

27. In some cases, providers offer short preparatory or access courses for individual students to facilitate progression to an initial higher education qualification. These courses are taken immediately before the start of their higher education qualification. Where such provision is an integrated part of a recognised higher education course for Office for Students (OfS) funding purposes, the students are included in the HESES population: see paragraphs 3 to 4 of Annex B for when such provision is considered integrated. The short access course and the first year of the higher education course will typically count as one year of instance. This may result in the year of instance being counted as long, as defined in Annex J.

28. If the access provision is not an integrated part of the recognised higher education course, it is not higher education and the students are not part of the HESES population.

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

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

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

### **HESA Student record notes**

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

### **Foundation degree bridging courses**

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

## HESA student record notes

33. Where a student is studying a foundation degree bridging course, the FTE recorded in the STULOAD field on the HESA Student record should be increased to reflect this. Where the bridging course spans academic years, the FTE should all be returned in the second academic year; this differs from the method used for other nonstandard years of instance. Providers should also indicate in the BRIDGE field that the student has studied a foundation degree bridging course in the year in which the FTE is increased. It may be that including a foundation degree bridging course means that the year of instance becomes nonstandard. Where the year would otherwise have been recorded as a standard year of instance, it should still be recorded as such.
34. Where a student's only activity during the academic year is a foundation degree bridging course (for instance if they withdraw during or following completion of the course, or transfer in from another provider before starting the course), the COURSEAIM field should be returned with a value of H90, I90 or J90 depending on the level of credit awarded for the bridging course.
35. Where a student undertakes a foundation degree and starts a bridging course in the same academic year, but the bridging course is counted in the next academic year, the FUNDCOMP field should reflect whether or not the student completed the foundation degree, and will therefore usually be returned with a value of 1. If the bridging course does not continue into the next academic year, the BRIDGE field should be coded as 1 and the FUNDCOMP field should reflect if the student completed the bridging course. Similarly, where the student progresses to a degree after completing the bridging course, FUNDCOMP should reflect the completion status of the year of instance of the degree.
36. Full guidance on how to return foundation degree bridging courses on the HESA Student record is available at [www.hesa.ac.uk/collection/c17051/a/bridge](http://www.hesa.ac.uk/collection/c17051/a/bridge).

## Examples

### Counting years of instance

#### Example 1: Standard year (Column 1)

37. A full-time student starts a degree programme on 22 September 2018, with each year of course finishing at the end of June: each year is a standard year. The student becomes countable on 22 September 2018 and on or around the anniversary of this date each subsequent year.

38. As the first year of instance becomes countable between 1 August 2018 and 1 December 2018, it would be included in Column 1 of Table 1 in HESES18. Later years would similarly be returned in Column 1 of subsequent HESES returns.

### **Example 2: Standard year (Column 2)**

39. A full-time student starts a Higher National Certificate on 8 December 2018, with all activity completed before the end of July 2019: therefore the year is a standard year.

40. The student becomes countable on 8 December 2018. As the year of instance becomes countable between 1 December 2018 and 31 July 2019, it would be included in Column 2 of Table 1 in HESES18.

### **Example 3: Nonstandard year**

41. A full-time student starts a three-year degree programme on 18 January 2019 with each year of the course finishing in November: each year is a nonstandard year. The student becomes countable on 18 January 2019 and on or around the anniversary of this date in each subsequent year.

42. As the first year of instance becomes countable between 1 December 2018 and 31 July 2019, it would be included in Column 2 of Table 1 in HESES18. Later years would similarly be returned in Column 2 of subsequent HESES returns.

### **Example 4: Nonstandard year, final year of course**

43. In January 2019, a full-time student begins the final year of a degree programme they started on 18 January 2017. Each year of the course runs from January to November: each year is a nonstandard year.

44. The student initially became countable on 18 January 2017, the date they started their course. As they progressed through the course they were counted on or around the anniversary of this date in each subsequent year.

45. For HESES18, as the final year of instance becomes countable between 1 December 2018 and 31 July 2019, the student would be included in Column 2 of Table 1 in HESES18, as happened in HESES17 and HESES16. All activity for this final year would be recorded on HESES18.

46. If the student successfully completes their final year, no activity would be recorded on HESES19 (for the period from August to November 2019), as all activity would have been returned on HESES18.

### **Example 5: Standard year, student starting late**

47. A full-time Higher National Diploma (HND) course starts on 10 October 2018 and runs from 10 October to 30 June each year. A student starts the HND programme late, on 10 January 2019, but intends to catch up with the rest of the students on the course and follow the same pattern of activity as them.

48. As that student's year of instance starts on 10 January 2019 and on the anniversary of that date in subsequent years, the student should be included in Column 2 of Table 1 in HESES18, and similarly in subsequent HESES returns as they continue their studies. The student should be recorded with a full-time nonstandard year of instance from January 2019 to January 2020. This will include activity from the first and second years of the course. Their second year of instance will consist of the remaining activity for the period 10 January 2020 to 30 June 2020 and will be part-time as it does not meet the definition of full-time.

### **Example 6: Standard year, student who interrupts their course**

49. A full-time student starts in September 2018 intending to study eight modules before June 2019. At the end of the first semester in February 2019, having completed four modules, they interrupt the course and return 12 months later to complete the remaining four modules by June 2020.

50. The first year of instance becomes countable in September 2018 and is therefore returned in Column 1 of Table 1 of HESES18. Data in Column 3 of Table 1 of HESES18 should reflect a forecast of such students entered in Column 1 or 2 who will intermit (and therefore non-complete) after 1 December 2018.

51. The second year of instance becomes countable at the start of the year of instance in September 2019 (and not in February 2020 when the student returns), and is therefore returned in Column 1 of Table 3 of HESES18 (as the activity in this second year of instance does not meet the criteria to be classed as full-time as set out in paragraph 1 of Annex H).

## **New entrants on Tables 5 and 6**

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

52. An OfS-fundable student studies full-time for a foundation degree at a college in the academic years 2016-17 and 2017-18, then tops up to a full-time bachelors' degree at a university in 2018-19:

- a. If the foundation degree was delivered by the college under a subcontractual arrangement from that university, then the student would be considered to be studying at the same provider (the university) and at the same broad level throughout the period 2016-17 to 2018-19. They should not therefore be reported as a new entrant for 2018-19 in Table 5.

- b. If the foundation degree was not delivered under a subcontractual arrangement, but was funded directly at the college, then the student would be considered to be a student of the college for 2016-17 and 2017-18, and of the university in 2018-19. Because the study is not at the same provider, the student should be reported as a new entrant in Table 5 when they top up to the bachelors' degree in 2018-19.

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

53. An OfS-fundable student starts a full-time foundation degree at a college under a subcontractual arrangement from a university, intending to complete this in the academic years 2018-19 and 2019-20, and then topping up to a full-time bachelors' degree at that university in 2020-21.

54. As the foundation degree was delivered by the college under a subcontractual arrangement, the student is a registered student of the university for all academic years 2018-19 to 2020-21, and the university would have the responsibility for returning the student on its HESES return. As such, for the academic years 2018-19 and 2019-20 the university would need to record the student as follows on Table 6:

- a. In 2018-19, the university would record the student in both Section A: All years and Section B: New entrants of Table 6.
- b. In 2019-20, the university would record the student in the Section A: All years column only.
- c. In 2020-21, the student would not be recorded on Table 6.

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

#### **Example 9: Students who switch modes**

55. A student started studying towards a Higher National Diploma on a part-time basis in 2016-17. In 2018-19 they switch to full-time study. The student is considered to be studying at the same provider and at the same broad level throughout the period 2016-17 to 2018-19. They should not therefore be reported as a new entrant for 2018-19 in Table 5.

#### **Example 10: Students who start a new course at the same provider**

56. A student completed a masters' course at a provider in 2016-17. In 2018-19 they start a foundation degree at the same provider. The student is considered to be generating their first countable year for that course and has not been active at the same broad level (undergraduate) at the registered provider in either of the two previous academic years. They should therefore be reported as a new entrant in Tables 5 and 6.

### **Example 11: Students who start more than one year of instance in the same academic year**

57. A student is starting the first year of an undergraduate degree course at a provider on 1 September 2018. On 1 March 2019, therefore in the same 2018-19 academic year, the student also begins the first year of a part-time HNC course with the same provider. The student is therefore starting more than one year of instance in the same academic year and could be considered a new entrant for each. The student should only be recorded as a new entrant for one course. As the degree course has the earlier start date the student would be recorded as a new entrant for the degree course and not for the HNC course.

## **Summer schools**

### **Example 12: Within-course periods of study in vacation time**

58. A student studies full-time for a degree over three years, with activity for each year of instance running from October to July. Between the second and third years, a short period of study – running from 25 July to 5 September – is undertaken to bring the student up to the standard of others on the course. This short period of study counts as part of the second year of the degree, and is not a separate instance.

## **Starters on Tables 7a, 7b and 7c**

### **Example 13: Students who transfer onto a pre-registration nursing, midwifery or allied health profession course from one that is not**

59. A student studies at a university for a full-time bachelors' degree in biological sciences in 2016-17 and 2017-18, and completes the first two years of the bachelors' degree. However, in September 2018, the student transfers to a full-time pre-registration midwifery course at the same university. The student is reported as a 'starter' for 2018-19 in Table 7a. Such a student transferring within a provider would not be a 'new entrant' for the purposes of Tables 5 and 6.

## **Good practice**

### **Removing duplicate records**

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

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

#### **Evidence relating to fee waivers**

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

## Annex D: Completion and non-completion

This annex explains how to determine the completion status of a year of instance in HESES18.

### Annex D contents

#### Definitions

- Module
- Final assessment
- Fees
- Completion

#### Guidance

- Estimates of non-completion

#### Special cases

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

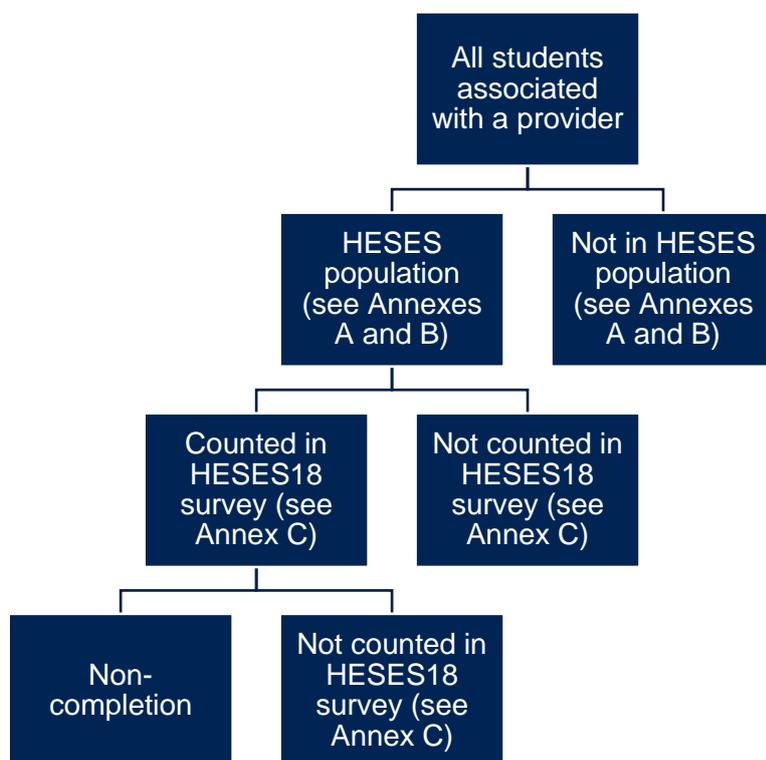
#### Examples

#### Good practice

### Definitions

#### Module

1. For the purposes of HESES18, a 'module' is a discrete component within a programme of study, sometimes referred to as a 'unit', 'course' or 'option'. Where a student is studying a number of modules that can all count towards the same qualification, this should be treated as a single instance.



## Final assessment

2. The final assessment for a module is the one that has its first occurrence on the latest normal due date: the timing of resits and coursework extensions should therefore be disregarded when determining the final assessment date. Whether an assessment is considered to be the final assessment does not depend on its associated weight. For example, if a module is assessed by an exam which accounts for 90 per cent of the marks, with the remainder assessed via coursework due after the exam (and not solely because of an extension) the coursework, rather than the exam, is the final assessment.
3. Where the last two assessments for the module are due on the same day, either one can be considered the final assessment.
4. Where the final assessments for a module comprise an assessment at a fixed date for all students (such as an exam) and another assessment at a variable date (such as a performance or presentation) which may be timetabled for individual students either before or after the fixed assessment, the fixed assessment should be treated as the final assessment.
5. A viva voce examination should not be treated as the final assessment unless all students are required to undertake it.

## Fees

6. 'Fees' has the meaning set out in Section 41 of the Higher Education Act 2004 and in the Education (Student Fees) (Exceptions) (England) Regulations 1999, which continue to apply<sup>1</sup>.

## Determining a student's completion status

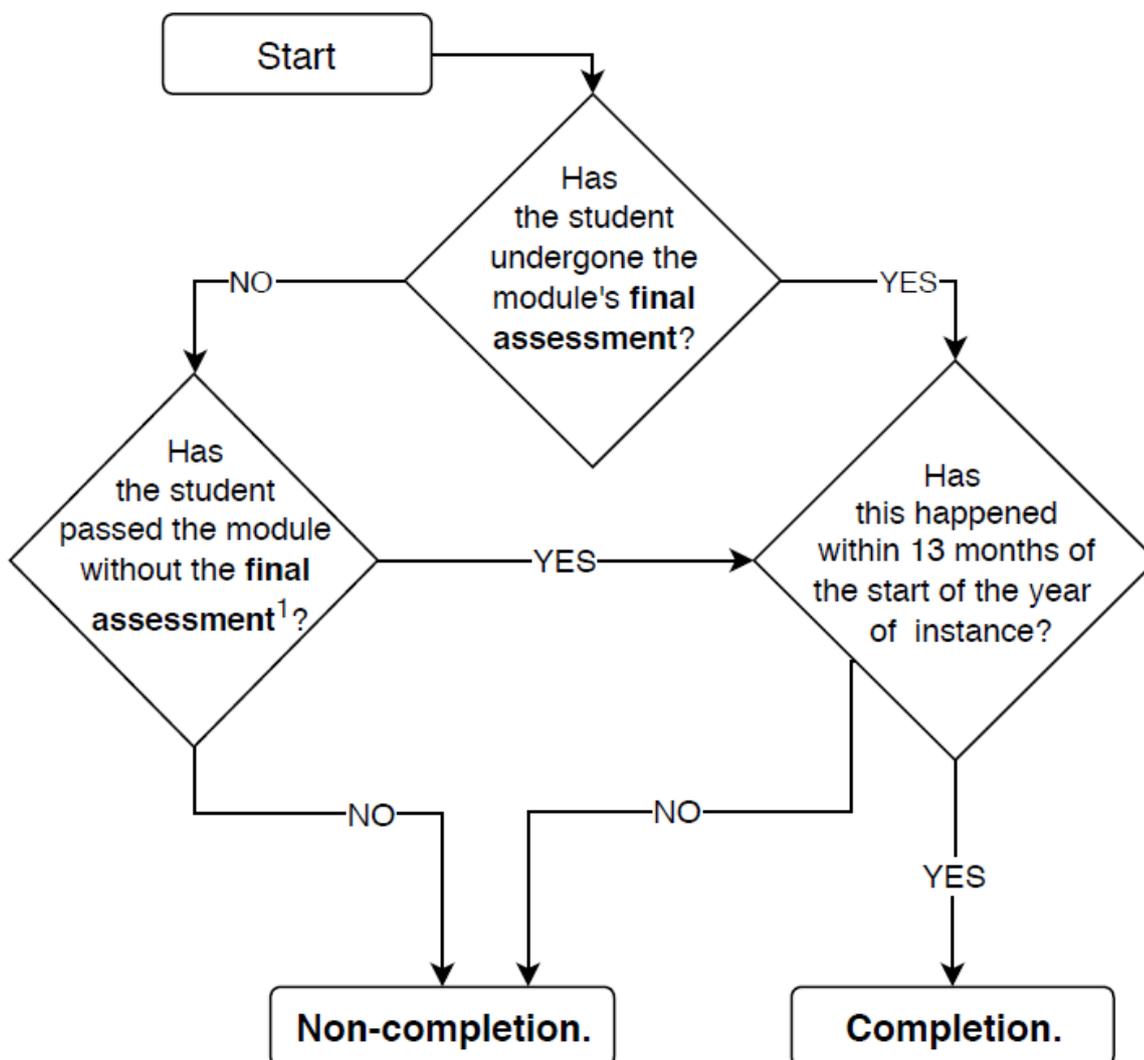
7. Where a student has a clear intention at the start of the year of instance of completing a specified activity within that year, completion is measured against this intention. To be counted as a completion (and thus be included in Column 4 of Tables 1, 2, 3, 7a, 7b, or 7c), a student must complete all the modules they intended to complete in the year of instance. They must do this within 13 calendar months of the start of the year of instance: that is to say, within 13 calendar months of the anniversary of their commencement date, which defines the start of the year of instance.
8. To complete a module, the student must do one of the following:
  - a. Undergo the final assessment of the module (this refers to the activity of the student in sitting an exam or submitting coursework rather than that of an assessment board in assessing the achievement of the student).
  - b. Pass the module, where this can be achieved without undergoing the final assessment (because they have enough marks in that module to be awarded credit for it). In some cases, providers' regulations allow credit to be given because of the level attained in other modules: this would not be treated as completion for funding purposes, even though the provider may allow the student to progress.

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<sup>1</sup> Statutory Instrument 1999/2265, available at [www.legislation.gov.uk/ukSI/1999/2265/contents/made](http://www.legislation.gov.uk/ukSI/1999/2265/contents/made).

9. A student who fails to complete any module counted in the year of instance is to be returned as a non-completion for all activity in that year. Thus a student who starts the year intending to follow a certain pattern of activity, but does not complete all of it, would be a non-completion. Therefore providers should collect information on students' initial study intentions for the year, so that completion status can be assessed appropriately.
10. If a student has not formally withdrawn from the provider by the year end, this does not in itself qualify as a completion.
11. Continuation of study to the following year is **not** evidence of, or a proxy for, completion in the previous year.
12. The flowchart in Figure D1 can be used to determine a student's completion status for a module.

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



<sup>1</sup> This should not be due to credit attained in other modules. See paragraph 8b for further detail.

## Guidance

### Estimating non-completion

13. When HESES18 is returned it will not be possible to determine definitively the completion status of most students. This means that providers will need to make an estimate of the number of non-completions that are likely to occur.
14. Providers should base these estimates on historical non-completion data from the previous three to five years, with due weight given to more recent figures. Where the non-completion rate used in the return differs significantly from past data, there should be a clear rationale for the change; providers may be asked for evidence of this during data verification of HESES18. We would not expect estimates to be adjusted in line with aspirations or targets.
15. Providers should ensure that the historical data used to make their estimates of non-completion is not skewed by exceptional circumstances such as industrial action affecting exams. However, providers should ensure that the completion status of students on the Higher Education Statistics Agency (HESA) student record reflects their actual completion status.
16. Providers should note that non-completion rates will typically vary by course, year of course and mode of study. Providers should therefore ensure that such variation is accounted for in their estimates, with non-completion rates based on data for equivalent students in previous academic years. For example, non-completion rates for first years of a course are typically higher than later years, and non-completion estimates should reflect this difference. Similarly, non-completion rates for distance-learning courses are often much higher than other provision, and estimates should therefore be based only on other distance-learning courses.
17. Where the number of students on a course is small, or the course is new, providers should base the estimates for each year of the course on groups of similar courses, to ensure that estimates are robust.
18. Providers should not use previous years' HESES estimates as a basis for determining the estimates for the current year. To ensure the most accurate data is returned, if HESA data is used, providers should make adjustments to account for students whose completion status was unknown (FUNDCOMP = 3) when the HESA data was submitted. For example, as some students recorded as FUNDCOMP = 3 in the HESA return will not subsequently complete, providers' calculations of non-completion rates should allow for such non-completions in the FUNDCOMP = 3 population.

### Special cases

#### Mode changes

19. If a student formally switches mode from full-time to part-time as defined in paragraph 134 of Annex H, their completion status should be determined with reference to their revised study intentions.

#### Modules taken in addition to the standard requirements

20. Occasionally students may study modules as part of an instance in addition to the standard requirements for full-time study. In this case, a student who completes the number of modules

normally required in the year for full-time study may be treated as a completion for the year of instance, even if they fail to complete other modules.

### **Substituted or retaken modules**

21. Within their overall study intentions, students may substitute or retake modules without affecting their completion status. For substitute or retaken modules to be counted and the original modules to be disregarded in assessing completion and full-time equivalence (FTE), both the following criteria must apply:
- a. The total number of credit points in any substituted modules would need to be greater than or equal to that in the original module or modules.
  - b. Either the fees charged remain the same (this will commonly be the case for full-time students), or the entire fee for the original module or modules is refunded and a separate fee charged for the substitute or retaken module or modules.
22. Exceptionally, a student may take a module in two years of instance, and complete the module for the second year of instance within 13 months of the start of the first year of instance. In this case the provider may count the module in either but not both of the years.

### **Years of instance or modules with no formal assessment**

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

### **Completion of one-year courses and short extensions**

24. If a course is considered as taking one year to complete, we would expect all activity for that course to be completed within one year of instance. Where the course exceeds one year of instance, for example because a final submission date falls after 12 months, we would expect a second year of instance to be recorded in HESES and the HESA record (provided all the conditions of Annexes A and C. are met). In such cases, completion for the first year of instance should be assessed by looking only at any formal assessments that fall within that first year of instance. For any modules that span the two years of instance see guidance in Annex C paragraphs 2121 to 22.
25. Many postgraduate taught courses are long and the final assessment will be a dissertation whose target submission date is on, or very close to, the anniversary of the start date. In such cases it is common to grant students a short extension to continue writing up their dissertation. Provided such postgraduate students submit their dissertation within four months of the initial due date they may be counted as a completion if all other conditions are met.

### **Modules where assessment is optional**

26. When a student undertakes a module that can lead to a qualification or credit, but does not undergo assessment for that module, in general that student will be treated as a non-completion for all their activity in the year. This applies where assessment is optional (for example on open programmes, including continuing education provision). However, an

exception is allowed where the student has entered into a binding and irreversible commitment before the commencement of the module that they will not undergo assessment for it. In this case, the module will not be reported at all in HESES, and the completion status of the student will not be affected by their completion or non-completion of the unassessed module.

### Withdrawing from a module before it starts

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

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

28. Where a student's study intentions change partway through the year of instance because they are awarded accredited prior (experiential) learning equivalent to one or more modules, their completion status should be judged against these revised study intentions. In some cases the reduced study intentions might mean that the student no longer meets the full-time attendance requirements. Provided the student meets the requirements to be treated as a mode switcher (see paragraph 134, Annex H) they should be treated as a part-time student, with completion judged against their revised study intentions.

## Examples

### Example 1: Final assessment taken within 13 months

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

### Example 2: Final assessment taken after 13 months

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

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

**Example 3: Module already passed without taking final assessment**

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

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

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

**Example 5: Progression to the following year where the student did not take a final assessment**

34. A student studies for eight modules during a year of instance. They undergo the final assessments for seven modules, but not the eighth, with the consequence that they do not have enough marks in that module to be awarded credit for it. Whether or not the provider allows the student to progress (continue) to the following year of instance, the student is treated as a non-completion for funding purposes for all activity in the year, because they did not undergo the final assessment in a module.

**Example 6: Substituted modules**

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

### **Example 7: Break in study**

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

### **Example 8: Repeating modules**

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

### **Example 9: Failure to complete overall study intentions**

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

## **HESA student record notes**

39. In completing the HESA student record, it should be noted that some students may still have opportunities after 31 July to undergo the final assessment within 13 months of the start of their year of instance. Wherever possible, the provider should seek to update its HESA student record to reflect the latest known completion status of the student. In doing so, providers will need to have due regard to HESA's data collection timescales and the need to ensure high-quality returns. We may seek further information from providers that have high numbers of students with undetermined completion status. Students should be recorded with undetermined completion status only where an opportunity still exists for the student to undergo the final assessment within 13 months. They should not be treated as having undetermined completion status simply because the 13 months have not fully elapsed.
40. In the HESA student data, the module outcome field (MODOUT) should be reported in accordance with these completion rules. The FUNDCOMP status of a student should in turn reflect the overall position of the student for the year of instance.

## Good practice

### Determining non-completion status

41. Non-completion status should be established in a timely fashion, and the student record system updated to reflect the student's change in status. This includes those students for whom this is only possible at a date after the submission of the provider's final HESA student data (these cases would have been recorded as FUNDCOMP=3). This ensures accurate data on which to base forecasts of non-completion rates in their HESES return. Reconciliations should be made with the student record system, to ensure that it is up to date and accurately reflects what is being reported elsewhere.
42. Use of a central database, rather than separate records held locally at departmental, school or faculty level, will help to ensure that the main student record is up to date and useful as a management tool.
43. Sufficient data should be recorded at the module level on the main student record system to allow accurate assessment of a student's completion status. This should include, but not necessarily be limited to, identifying the final assessment and the student's submission to it, and the overall outcome for the module. Coding should distinguish between non-submission to an assessment and a very low mark for poor academic performance or misconduct. This level of detail should be readily available to ensure accurate reporting of a student's completion status.

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

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

### Exception reports

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

### Estimation of non-completion rates

46. In addition to maintaining updated information on student non-completion status, providers should keep documentation to support their estimates of non-completions recorded in HESES, along with other documentation relating to the return, for a minimum of five years. Providers may be asked to provide this as part of audit or other data assurance activity.
47. A review of the outturn compared with the estimate should be made at the year end, and reasons sought for any discrepancies. This knowledge can then be used to inform the estimate for the following year.

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

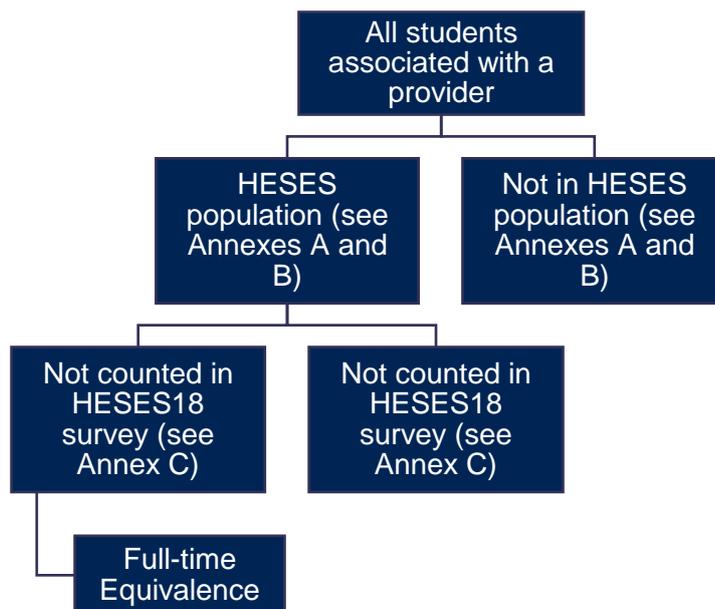
This annex explains how full-time equivalence for part-time years of instance should be calculated in HESES18. This includes guidance on how to treat students who are exempt from part of a course, and full-time students who change mode within a year of instance to become part-time students.

### Annex E contents

#### Definitions

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

#### Examples



### Definitions

1. The full-time equivalence (FTE) for a part-time course is defined with reference to an equivalent full-time course, where such a course exists.
2. Calculation of the FTE can be based on either of the following:
  - credit points studied
  - duration of the course. This should be used only where the intensity of study for the whole course is uniform across each year of instance.

In both cases, when viewed as a whole, the total FTE for a part-time course should equal the total FTE of the equivalent full-time course. Where the duration of the course is used, the calculation should be based on the number of years of instance.

3. Where no equivalent full-time course exists at the provider, a reasonable academic judgement should be made of the FTE relative to a full-time student, based on a typical full-time pattern of 120 credit points per standard year (or 180 credit points for a long year).
4. Credit awarded based on accredited prior learning modules should be excluded from the calculation of the FTE. However, activity that is preparation of a portfolio of evidence for accredited prior

learning may be counted (in such cases, a nominal FTE may be included to reflect such activity). This may mean that a student is on a full-time programme but because of accredited prior learning may be studying only at a part-time rate.

### HESA student record notes

5. In completing the STULOAD field on the Higher Education Statistics Agency (HESA) student record, providers should generally exclude accredited prior learning activity. Where some FTE is included as described in paragraph 4, this should be included in STULOAD.
6. Figure E1 shows the FTE per year against the total FTE for a given course, depending on the number of years over which the course is taken and on the basis that study intensity is uniform across each year. For a part-time course, the FTE summed over the whole course should be equal to that shown in the table below. Where the amount of study in each year is known to be different, the FTE in each year should be adjusted to reflect this but should still sum to the total FTE given below.
7. The FTE for a foundation degree bridging course is 0.3 (as defined in Annex C, paragraph 32).

**Figure E1: Estimates of FTE from duration of course**

Total FTE	Duration in years									
	1	2	3	4	5	6	7	8	9	10
4.00				1.00	0.80	0.67	0.57	0.5	0.44	0.40
3.00			1.00	0.75	0.60	0.50	0.43	0.38	0.33	0.30
2.00		1.00	0.67	0.50	0.40	0.33	0.29	0.25	0.22	0.20
1.00	1.00	0.50	0.33	0.25	0.20	0.17	0.14	0.13	0.11	0.10

8. Figure E2 shows the typical lengths of various types of higher education qualifications, although it may not be appropriate to use this where the qualification offered differs significantly from the norm for qualifications with that title. Other than for an integrated masters' degree we would not expect the FTE for a part-time degree to be calculated with reference to a four-year programme.

**Figure E2: Typical lengths of full-time higher education qualification aims**

Total FTE	Higher education qualification aims
4.00	Integrated masters
3.00	Degree
2.00	Foundation Degree HND DipHE
1.00	HNC HNC to HND top-up CertEd/Level 5 Diploma in Education and Training PGCE PGDip Postgraduate masters

Note: 'HND' = 'Higher National Diploma'; 'DipHE' = 'Diploma of Higher Education'; 'HNC' = 'Higher National Certificate'; 'CertEd' = 'Certificate in Education'; 'PGCE' = 'Postgraduate Certificate in Education'; 'PGDip' = 'Postgraduate Diploma'.

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

9. Where a student repeats a year or enters the second, or later, year of the course directly, the total FTE returned for that student should be increased or decreased to reflect this (see Example 4 (paragraph 24) in this annex).
10. For apprenticeships, only activity that directly relates to their recognised higher education qualification should be counted towards a student's FTE. We do not expect this to include all the apprentice's time in the workplace.
11. Writing up is not considered to be 'study' for HESES purposes; therefore time spent writing up for part of a year of instance should be taken into account and excluded when calculating the student's FTE.
12. Where a student does not complete a year of instance, their FTE should not be recorded on HESES. This differs from the treatment of the FTE returned on the HESA student record. When comparing the HESA student record with HESES, we will make adjustments to the FTE returned to HESA to reflect years not completed.
13. Where students change mode during a year of instance to become part-time students (see paragraph 134, Annex H), their FTE should be calculated in the usual way, by comparison with the equivalent full-time course.

### **HESA student record notes**

14. Student FTE recorded in HESES18 should relate to the years of instance being counted. In some cases this may not be consistent with the FTE returned on the HESA student record. However, it should be consistent with HESA data when summed over the instance.

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

15. For flexible part-time study programmes where students can study at their own pace, providers should ensure that estimates of the FTE are supported by historical data. Any data used in this way should not be skewed by exceptional circumstances. Providers should ensure that the FTE of students on the HESA record reflects their actual activity for the academic year.
16. Estimates of the FTE for a particular year of a course should normally be based on the average FTE for an equivalent flexible course from the previous academic year. Providers should note that rates of study for flexible courses will often vary from course to course, and should therefore ensure that such variation is accounted for in their estimates. Providers should ensure that over the course, the total FTE is equal to the total FTE for a full-time course leading to the same qualification.
17. Where the number of students on a course is small, or the course is new, providers should base the estimates for each year of the course on groups of similar courses to ensure that estimates are robust.
18. Providers should not use previous years' HESES estimates as a basis for determining the estimates for the current year. Providers should be able to demonstrate the validity of their estimates by analysing the FTE for different courses over three to five years. This will help to identify trends, and years where the result is atypical compared with the trend. Where the FTE used differs significantly from past data, there should be a clear rationale for the change; providers may be asked for evidence of this during data verification of HESES18.

## Examples

### Example 1: Calculating FTE based on credit points

19. A full-time course is studied over three years, with 120 credits taken each year. The equivalent part-time course lasts six years. In each of the first three years 90 credits are studied, and 30 credits in each of the final three. The FTE would be 0.75 in each of the first three years and 0.25 in each of the final three.

### Example 2: Calculating FTE based on duration of the course

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

### Example 3: Calculating FTE where no equivalent full-time course exists

21. A part-time masters' degree is studied over two years, with year one consisting of taught modules worth a total of 120 credits, and year two consisting of a 60-credit taught module.

22. No equivalent full-time course exists, so FTE is calculated relative to a typical full-time pattern of 180 credit points for a long year. This judgement is based on a group of similar full-time long courses that are well established at the university. The rationale is fully recorded for audit purposes.

23. Students studying on the part-time masters' course should be returned in Table 3 Part-time, with length recorded as long. They will have an FTE of 0.67 for their first year of instance, and FTE of 0.33 for the second year of instance, equalling FTE of 1 in total.

### Example 4: Repeating a year

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

### Example 5: Student with accredited prior learning

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

**Example 6: Changing from full-time to part-time within the year**

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

**Example 7: Calculating FTE where some students take longer than expected**

27. A 1.0 FTE part-time course is normally studied over two years. However, each year a small proportion of the students take three years to complete. If there are 100 students on the course and 10 take an extra year to complete, the FTE should be  $((90 \times 0.5) + (10 \times 0.33)) \div 100 = 0.48$ , and not 0.5.

**Example 8: Calculating FTE for a two-year masters' with work placement**

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

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

# Annex F: Residential and fundability status

This annex provides guidance on identifying the residential and fundability status of a student for the purposes of HESES18. It includes guidance on:

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

## Annex F contents

### Definitions

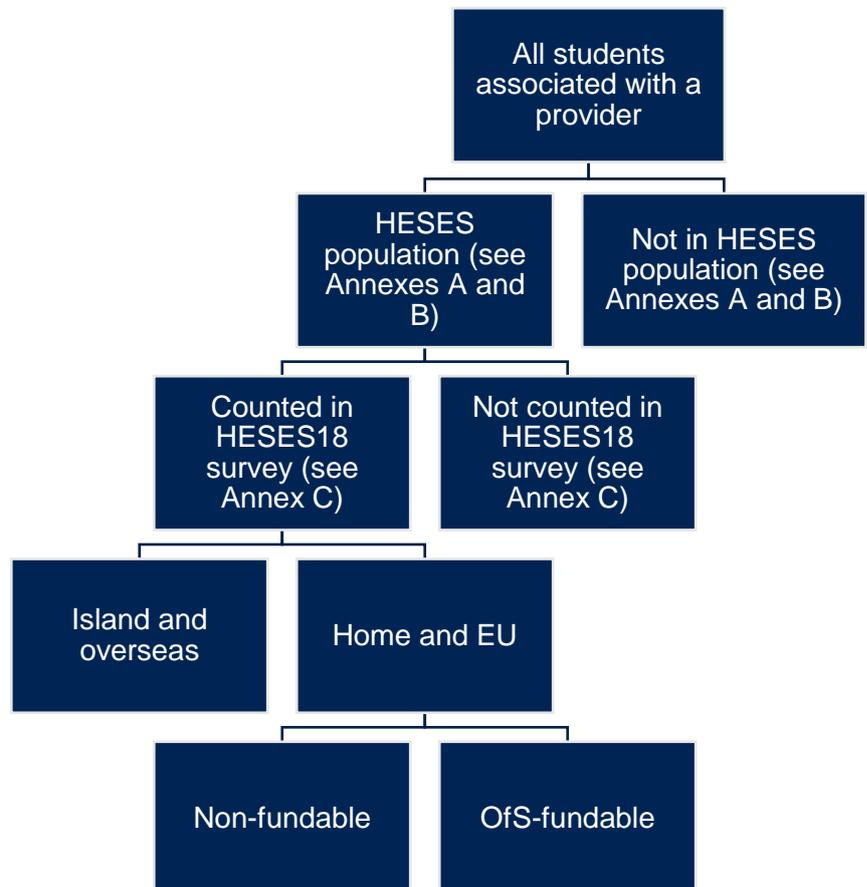
- Home and EU students
- Island and overseas students
- OfS-fundable students
- Non-fundable students

### Students aiming for ELQs

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

### Examples

### Good practice



## Definitions

### Home and EU students

1. Students are classified as 'Home and EU' if they can be regarded as eligible as defined in Schedule 1 of the Education (Fees and Awards) (England) Regulations 2007 (Statutory Instrument 2007 No. 779), as amended<sup>1</sup>. These regulations can be found on the website [www.legislation.gov.uk](http://www.legislation.gov.uk) by entering the year and number for the statutory instruments in the section 'Search All Legislation'. Students from specified overseas territories may be classified as Home and EU if they meet the criteria set out in these regulations. A list of these overseas territories and countries is available on the OfS website<sup>2</sup>.

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

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

### Other students treated as EU nationals

3. Students from Gibraltar should be treated as if they were from a country in the EU.
4. Turkish Cypriots who are recognised by the Government of the Republic of Cyprus as being Cypriot nationals are eligible to be treated as EU nationals irrespective of where they live in Cyprus. Therefore, providing they hold a Republic of Cyprus passport and meet the residency requirements, they are considered as Home and EU students.
5. Students from countries that are in the European Economic Area but not the EU (Iceland, Liechtenstein and Norway) will be considered in the same way as Home and EU students only if they meet the criteria laid down in the regulations mentioned in paragraph 1 of this annex.
6. Students from Switzerland should be treated as if they were from a country that is in the European Economic Area but not the EU.

### Obtaining guidance on fee eligibility

7. Student Finance England provides a practitioners' helpline for detailed information about policy, regulations or for help with more complex questions about assessment, eligibility or circumstance. If you are unsure whether an individual student meets the eligibility requirements as set out in paragraphs 1 to 6 of this annex, call the practitioners' helpline on 0300 100 0618. If Student Finance England says that the student is eligible, this means that the student is also regarded as Home and EU for HESES purposes.

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<sup>1</sup> Amendments have recently been made in two Statutory Instruments:

- Statutory Instrument 2018 No. 137 – a new eligible category has been introduced from 1 August 2018 for persons granted stateless leave and their family members
- Statutory Instrument 2016 No. 584 – a new eligible category from has been introduced 1 August 2016 for students who are not settled in the UK but have been residing in the UK for a long time: this category has been further amended in Statutory Instrument 2017 No. 114.

<sup>2</sup> See [www.officeforstudents.org.uk/data-and-analysis/data-collection/](http://www.officeforstudents.org.uk/data-and-analysis/data-collection/).

### UK-domiciled in Table 5

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

### Island and overseas students

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

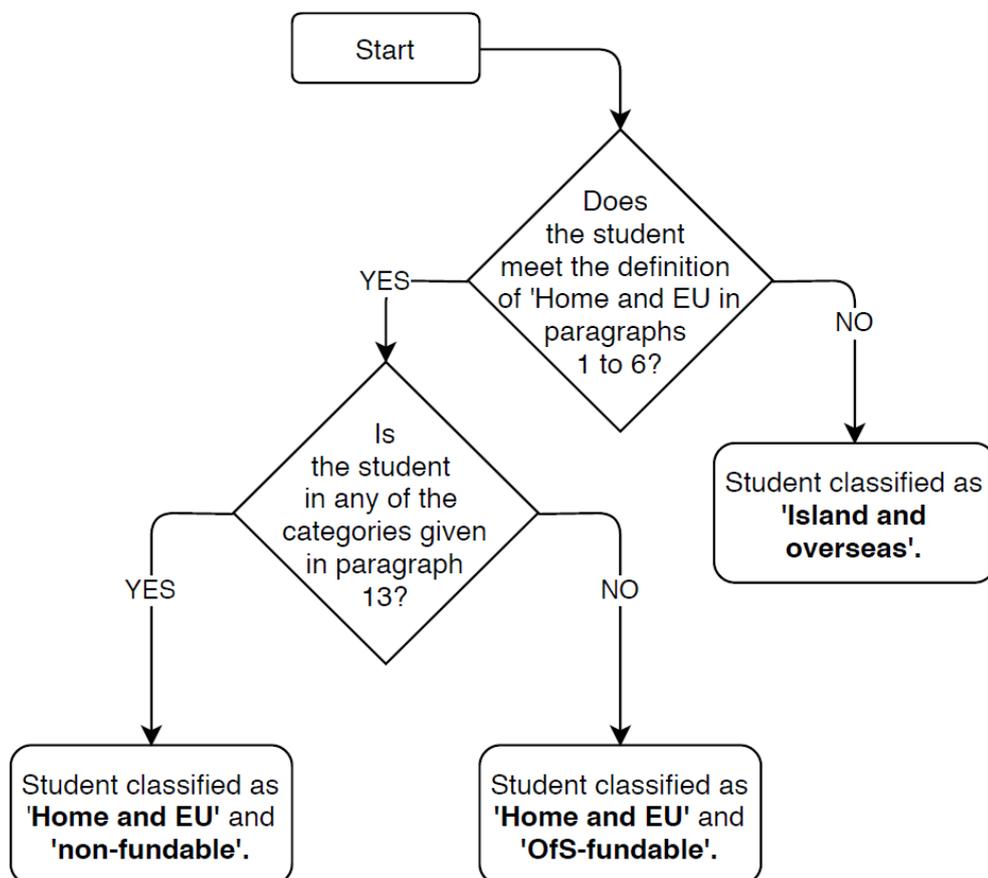
### OfS-fundable students

10. Home and EU students are eligible to be counted towards Office for Students (OfS) recurrent funds for teaching (OfS-fundable) if they are in the HESES population, as defined in Annex A, and do not meet any of the criteria in paragraph 13 of this annex. Island and overseas students are not OfS-fundable. Further guidance on the fundability status of Home and EU students on pre-registration courses in nursing, midwifery and allied health professions is provided in paragraph 15.

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

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

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



## Non-fundable students

13. Home and EU students meeting any of the following criteria should be recorded as non-fundable:
- a. Postgraduate research students.
  - b. Students on initial teacher training (ITT) courses leading to qualified teacher status (QTS) or to early years teacher status (EYTS), and all students holding QTS who are on an in-service education and training (INSET) course.
  - c. Students on courses that on successful completion lead to first registration as a professional in nursing, midwifery, dietetics, speech and language therapy, podiatry and chiropody, or orthotics and prosthetics, and which are either of the following:
    - i. Postgraduate courses that students started prior to 1 August 2018.
    - ii. Undergraduate courses that students started prior to 1 August 2017.
  - d. Students on courses provided under a contract with an NHS organisation that on successful completion lead to first registration as a professional in occupational therapy, operating department practice, orthoptics, physiotherapy, radiography or radiotherapy, and which are either of the following:
    - i. Postgraduate courses that the students started prior to 1 August 2018.
    - ii. Undergraduate courses that the students started prior to 1 August 2017.
  - e. Students on courses that started prior to 1 August 2018 provided under a contract with an NHS organisation that on successful completion lead to first registration as a professional in dental hygiene or dental therapy.
  - f. Students on courses commissioned and funded by an NHS organisation, where the tuition fee charged to the student is zero because an NHS organisation is meeting the full tuition costs of the course. This does not include students on courses studied as part of an apprenticeship, which remain fundable as long as all other fundability criteria are met. A course is commissioned by an NHS organisation if there is a contractual agreement with it that the provider will provide a certain number of places on the course. Other students on the same course who are not funded by an NHS organisation should be returned as fundable, where they meet all other relevant criteria.
  - g. Postgraduate taught students on a course, other than an ITT course, funded by another EU public source where the tuition fee charged to the student is zero because that source is meeting the tuition costs.
  - h. Students on closed courses. These are courses that are not generally available to any suitably qualified candidate, but only to employees of particular companies or organisations that are meeting the costs of students' studies. This being the case, few students on such courses will be claiming student support. Closed courses will not commonly be marketed or advertised in general prospectuses or in course searches on a provider's main website, because enrolment on them is not open to the general public. The content of such courses will also commonly be

tailored towards the needs of the employers concerned. Recognised higher education qualifications taken as part of an apprenticeship should not be treated as closed courses. Years of instance taken as part of an apprenticeship may therefore be treated as OfS-fundable subject to meeting all other criteria necessary for that status.

- i. Students who are aiming for an equivalent or lower qualification (ELQ), unless they are exempt from the ELQ policy, as defined in paragraphs 16 to 38 of this annex.
- j. Undergraduate and postgraduate taught students at the Open University who are domiciled in Scotland, Wales, or Northern Ireland.

### HESA Student record notes

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

### Fundability status of Home and EU students starting pre-registration courses in nursing, midwifery and allied health professions

15. Figure F2 describes how Home and EU students starting pre-registration courses in nursing, midwifery and allied health professions should be assigned a fundability status (OfS-fundable or non-fundable) with reference to the definitions in sub-paragraphs 13c, 13d, 13e and 13f of this annex. In Tables 7a, 7b and 7c, data cannot be entered in cells where a particular fundability status is not possible, but the guidance in Figures F2 and F3 applies to all HESES tables. The definition of 'starters' is given in Annex L paragraphs 8-9.

**Figure F2: Fundability status for Home and EU students starting pre-registration courses in nursing, midwifery and allied health professions from 2016-17**

Courses leading on successful completion to first registration in	Level of course	Home and EU Starters in 2016-17	Home and EU Starters in 2017-18	Home and EU starters in 2018-19
Nursing – adult Nursing – children Nursing – learning disability Nursing – mental health	Undergraduate	All students are non-fundable by paragraph 13cii	All students are OfS-fundable unless paragraph 13f applies	All students are OfS-fundable unless paragraph 13f applies
Nursing – unclassified Midwifery Dietetics Speech and language therapy Podiatry and chiropody	Postgraduate	All students are non-fundable by paragraph 13ci Data not required in Tables 7a, 7b and 7c	All students are non-fundable by paragraph 13ci	All students are OfS-fundable unless paragraph 13f applies

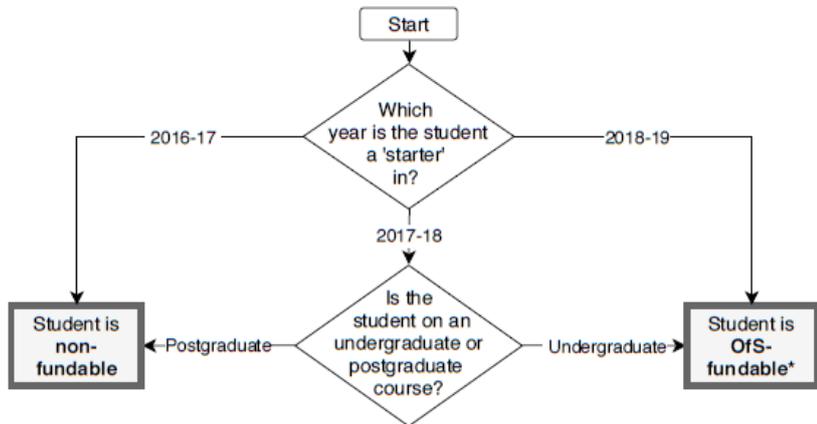
Annex F: Residential and fundability status

Courses leading on successful completion to first registration in	Level of course	Home and EU Starters in 2016-17	Home and EU Starters in 2017-18	Home and EU starters in 2018-19
Occupational therapy Operating department practice Orthoptics Physiotherapy Radiography (diagnostic) Radiography (therapeutic)	Undergraduate	Students will be non-fundable if they meet the criteria in paragraph 13dii. Otherwise they will be OfS-fundable	All students are OfS-fundable unless paragraph 13f applies	All students are OfS-fundable unless paragraph 13f applies
	Postgraduate	Students will be non-fundable if they meet the criteria in paragraph 13di. Otherwise they will be OfS-fundable Data not required in Tables 7a, 7b and 7c	Students will be non-fundable if they meet the criteria in paragraph 13di. Otherwise they will be OfS-fundable	All students are OfS-fundable unless paragraph 13f applies
Dental hygiene Dental therapy	Undergraduate (there are no postgraduate courses)	Students will be non-fundable if they meet the criteria in paragraph 13e. Otherwise they will be OfS-fundable Data not required in Tables 7a, 7b and 7c.	Students will be non-fundable if they meet the criteria in paragraph 13e. Otherwise they will be OfS-fundable	All students are OfS-fundable unless paragraph 13f applies

**Figure F3: Flowchart to determine fundability status for Home and EU students starting pre-registration courses in nursing, midwifery and allied health professions from 2016-17**

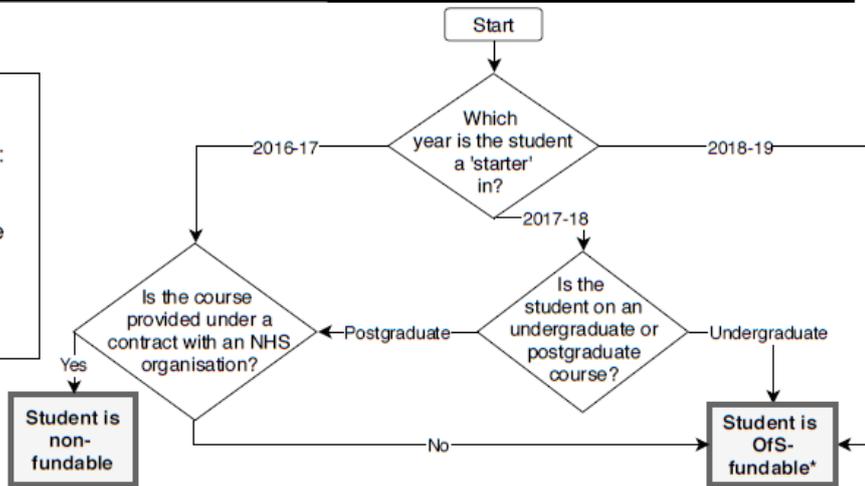
For Home and EU students on courses leading on successful completion to first registration in:

- Nursing – adult
- Nursing – children
- Nursing – learning disability
- Nursing – mental health
- Nursing – unclassified
- Midwifery
- Dietetics
- Speech & language therapy
- Chiropody or podiatry
- Prosthetics and orthotics



For Home and EU students on courses leading on successful completion to first registration in:

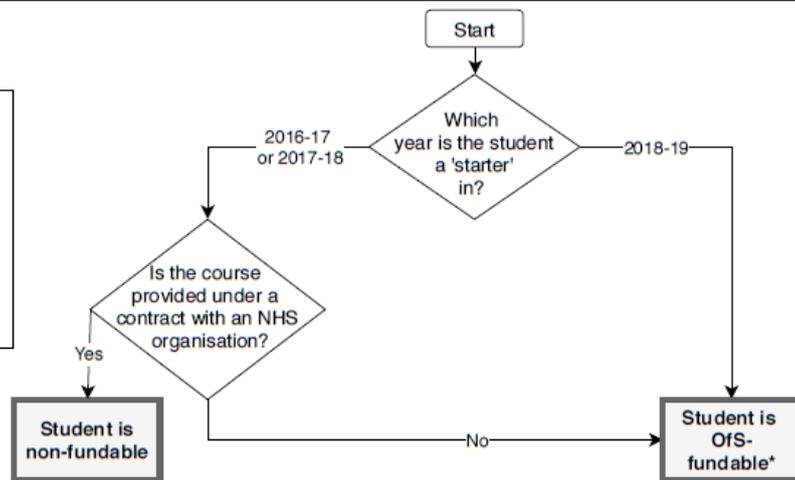
- Occupational therapy
- Operating department practice
- Orthoptics
- Physiotherapy
- Radiography (diagnostic)
- Radiography (therapeutic)



For Home and EU students on courses leading on successful completion to first registration in:

- Dental hygiene
- Dental therapy

(Undergraduate only, there are no postgraduate courses.)



NOTE: Students at the Open University who are studying in Scotland, Wales or Northern Ireland should be excluded from Tables 7a, 7b and 7c, as funding responsibility for them rests with the devolved administrations. They should, however, still be included as appropriate in other HESES tables.

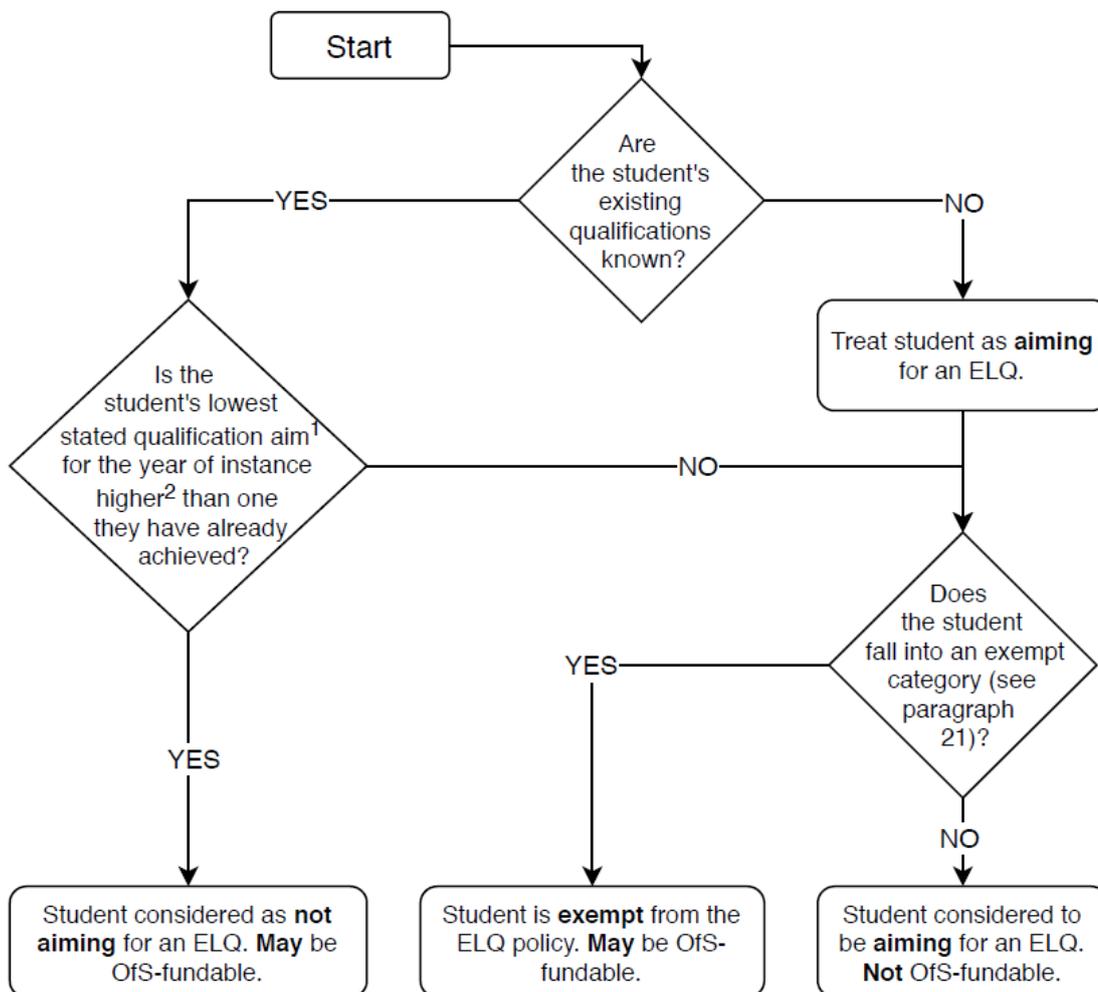
\*Unless paragraph 13f applies

### Students aiming for ELQs

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

17. The flowchart in Figure F4 can be used to determine the ELQ status of a student.

**Figure F4: Establishing ELQ status**



<sup>1</sup> See paragraph 18

<sup>2</sup> See paragraph 23.

### Identifying entry qualifications through other sources

18. Providers should take reasonable steps to test the accuracy of the entry qualifications reported by their students, taking into account the availability of other sources of information such as data from UCAS, the Learning Records Service, the Student Loans Company, application forms and students'

certificates. This does not require a provider to test the qualifications achieved by all its students. For many students, the data provided by UCAS through the awarding body linking (often referred to as ABL) will be sufficient. However, this will not apply in some cases, such as students who achieved their Level 3 qualifications some time ago or whose qualification types are not included. In these circumstances we expect providers to verify entry qualifications using the Learning Records Service. Otherwise, providers should use a random sample to test the overall accuracy of their entry qualifications data, plus selective samples where doubts exist about the entry qualifications reported by individual students or where there is a higher possibility that the student is aiming for an ELQ.

### **Students with multiple stated qualification aims**

19. As explained in Annex I, where students currently have multiple recognised higher education qualification aims stated as part of the same instance, they should be recorded against the lower aim. Where the student's currently stated qualification aim for that instance is at a higher level than their highest existing qualification, then the year of instance should not be treated as an ELQ, even where a given year is at the same or lower level than a qualification already achieved.
20. The ELQ policy applies regardless of where a student's previous qualifications were obtained, or how they were financed.
21. In some instances, a student may not be formally awarded a qualification which they have stated as their aim and to which they are entitled, having completed all the necessary work for that qualification. This may occur if, for example, the student has been assessed as eligible for the award but has not completed the formal process of receiving it. In such cases, the student should be treated for ELQ purposes as if they had been awarded the qualification. The achievement and award of credit should not be treated as a qualification for these purposes.

### **Students exempt from the ELQ policy for OfS funding purposes**

22. Students falling into one of the following categories are exempt from the ELQ policy, and therefore may be reported as OfS-fundable provided they meet all other relevant criteria:
  - a. They receive Disabled Students' Allowances (DSA) for at least some of their year of instance reported in the HESES return. Providers should make estimates for HESES purposes of the numbers of students whose receipt of the DSA for the year of instance will be confirmed after 1 December 2018.
  - b. They have stated that their qualification aim is a foundation degree.
  - c. They are on a course of initial or in-service teacher training (in any mode or level of study). In-service teacher training courses are defined as courses whose primary (but not necessarily only) purpose is to improve the effectiveness of teachers, lecturers or trainers.
  - d. They are on a year of instance (in any mode or level of study) for which an NHS bursary is payable. More information on NHS bursaries can be found on the OfS website<sup>3</sup>.

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<sup>3</sup> See [www.officeforstudents.org.uk/data-and-analysis/data-collection/](http://www.officeforstudents.org.uk/data-and-analysis/data-collection/).

## Annex F: Residential and fundability status

- e. They are on an undergraduate or postgraduate course (in any mode of study) that on successful completion leads to first registration as a professional with one of the following.
  - i. General Medical Council.
  - ii. General Dental Council for the professions of:
    - 1) Dentistry.
    - 2) Dental therapy.
    - 3) Dental hygiene.
  - iii. Nursing and Midwifery Council.
  - iv. Health and Care Professions Council for the professions of:
    - 1) Podiatrist or chiropodist.
    - 2) Dietician.
    - 3) Occupational therapist.
    - 4) Operating department practitioner.
    - 5) Orthoptist.
    - 6) Paramedic.
    - 7) Physiotherapist.
    - 8) Prosthetist or orthoptist.
    - 9) Radiographer.
    - 10) Social worker.
    - 11) Speech and language therapist.
  - v. Scottish Social Services Council.
  - vi. Care Council for Wales.
  - vii. Northern Ireland Social Care Council.
  - viii. Royal College of Veterinary Surgeons.
- f. They are on an undergraduate course (in any mode of study) whose primary (but not necessarily only) purpose is to improve the effectiveness of practitioners registered with one of the professional bodies listed in sub-paragraph 22e. In the case of the Health and Care Professions Council, this must additionally relate to practitioners in the professions listed in sub-paragraph 22e.iv.

## Annex F: Residential and fundability status

- g. They are on an undergraduate course (in any mode of study) which leads to a professional qualification that has been professionally validated by the National Youth Agency or the Youth Council for Northern Ireland. These are courses leading to qualification to practise as a youth and community worker.
  - h. They are on an undergraduate course (in any mode of study) whose primary (but not necessarily only) purpose is to improve the effectiveness of professionally qualified youth and community workers.
  - i. They are on a full-time course (for student support purposes) which leads towards registration with the Architects Registration Board.
  - j. They are aiming for a postgraduate research qualification.
23. All exemptions listed above, except that for students in receipt of DSA mentioned in paragraph 22a, are an attribute of the course not of the individual student.

### **Determining level of qualification**

24. It is not possible to provide a full hierarchical list of the qualifications that are awarded in the UK, or indeed elsewhere. In most cases, whether or not a student will be aiming for an ELQ will be clear. However, in a minority of cases, providers will need to make a reasonable academic judgement about whether or not a student's qualification aim is at a higher level than their highest existing qualification achieved. Providers should bear in mind the guidance in paragraphs 24 to 38 of this annex.

### **Frameworks for higher education qualifications of UK degree-awarding bodies**

25. The 'Frameworks for higher education qualifications of UK degree-awarding bodies' (FHEQ, available at [www.qaa.ac.uk/quality-code/the-existing-uk-quality-code/part-a-setting-and-maintaining-academic-standards](http://www.qaa.ac.uk/quality-code/the-existing-uk-quality-code/part-a-setting-and-maintaining-academic-standards)) should generally be used to determine a basic hierarchy of qualifications, and any revisions should be reflected as they are introduced. Further guidance on the use of the frameworks is provided below.
26. In general, providers should treat qualifications that fall within the same level in the frameworks as being equivalent. However, it may be appropriate in certain circumstances to consider a hierarchy of qualifications within a single level, especially where students are progressing through a succession of qualifications. In particular:
- a. Within Level 7 on the FHEQ, it may be appropriate to consider a masters' qualification to be at a higher level than a postgraduate diploma, which in turn may be at a higher level than a postgraduate certificate. However, this may not apply in all cases and will depend on the nomenclature adopted by different awarding bodies.
  - b. Within Level 6 on the FHEQ, it will normally be appropriate to consider a bachelors' degree with honours to be at a higher level than a bachelors' degree without honours.
  - c. Within Level 5 on the FHEQ, it will normally be appropriate to consider a foundation degree bridging course (which gives access to the final year of an honours degree) to be at a higher level than a foundation degree.

27. For a student who already holds an honours degree, their classification in HESES as either undergraduate or postgraduate taught should not in itself determine whether or not they are aiming for an ELQ. The ELQ policy is about the academic level of qualifications, so the level of the final qualification for which the student is aiming will determine their ELQ status. By contrast, whether or not a student is recorded as postgraduate taught in HESES is determined by whether or not a degree-level qualification is a normal condition of entry to their course, and does not necessarily indicate the academic level of their study or final qualification aim. In particular, the following considerations will apply to any student whose highest qualification already achieved is an honours degree:
- a. Where they are undertaking a graduate conversion course, they should be recorded as a postgraduate taught student, but also considered as aiming for an ELQ. In this context, a graduate conversion course is one for which a normal condition of entry is an honours degree, but whose academic level is no higher than Level 6 on the FHEQ. Some such courses may be designed to enable access to postgraduate courses for those whose first degree was in a different subject area.
  - b. Where they are undertaking an integrated masters' programme (such as a four-year Master of Engineering (MEng), Master of Physics (MPhys) or Master of Chemistry (MChem)), they should be recorded at undergraduate level in HESES, because a degree is not a normal entry requirement for such study. However, with the exception of the Master of Pharmacy (MPharm) (see paragraph 29), they should not be treated as aiming for an ELQ, because the academic level of the final qualification of the integrated masters' programme is at Level 7 on the FHEQ. This also means that (again with the exception of students who hold an MPharm) a student who holds an integrated masters' qualification and who wishes to enrol on a taught postgraduate masters' qualification (such as an MA or MBA) should be treated as aiming for an ELQ.
28. As is stated in the frameworks, MAs granted by the Universities of Oxford and Cambridge are not academic qualifications. Students holding such awards should be treated as holding Level 6 qualifications on the FHEQ (reflecting whether or not these qualifications are degrees with honours for the purpose of the guidance at sub-paragraph 26b of this annex). A number of universities in Scotland also have a tradition of awarding MAs as opposed to BAs at undergraduate degree level. These should also be treated in the same way as bachelors' degrees, reflecting also whether they are with honours.

### **Exceptions to the frameworks for higher education qualifications**

29. The MPharm should be treated as a Level 6 qualification on the FHEQ for ELQ purposes. This means that the following hold true:
- a. A student whose highest qualification already achieved is a bachelors' degree with honours and who is studying for an MPharm should be treated as aiming for an ELQ.
  - b. A student who holds an MPharm as their highest qualification already achieved and is now studying for a taught postgraduate masters' qualification at Level 7 (such as an MA or MBA) should not be treated as aiming for an ELQ.

30. The FHEQ states (in paragraph 4.17.5) that the final outcomes of first degrees in medicine, dentistry and veterinary science typically meet the expectations of the descriptor for a higher education qualification at Level 7. However, for ELQ purposes only, these qualifications should continue to be treated as if they were at Level 6. This means that the following hold true:
- a. A student whose highest qualification already achieved is a bachelors' degree with honours and who is studying for a first registrable degree in medicine, dentistry or veterinary science should be considered to be aiming for an ELQ. However, they are exempt from the ELQ policy by virtue of sub-paragraph 22e of this annex and (assuming they meet all other criteria for that status) can be recorded as OfS-fundable.
  - b. A student who holds a first registrable degree in medicine, dentistry or veterinary science as their highest qualification already achieved and who is studying on a taught postgraduate masters' qualification (such as an MSc or MBA) should not be treated as aiming for an ELQ.
31. All postgraduate initial teacher training courses, such as PGCEs (whether Postgraduate Certificates in Education or Professional Graduate Certificates in Education) should be treated, for the purpose of the ELQ policy only, as being equivalent to Level 6. This means that a student whose highest qualification already achieved is a PGCE, and who has no other postgraduate qualification, would not be treated as aiming for an ELQ if they enrolled on a postgraduate masters' qualification. Students on a postgraduate initial teacher training course are exempt from the ELQ policy, as explained in sub-paragraph 22c of this annex.
32. Where students do not have a stated qualification aim and are studying by accumulating credit on a succession of 'courses' or modules, they should not be treated as aiming for an ELQ if they do not have a previous higher education qualification. Such accumulation of credit should be treated as progression towards a final undergraduate qualification. However, if the student has a higher education level qualification (as well as having potentially accumulated undergraduate level credit from recent study), then the student would be treated as aiming for an ELQ if that qualification is at a level equivalent to, or higher than, the credit towards which they are now studying. A similar approach should be adopted where students are accumulating credit at postgraduate level: credit previously achieved should not generally be used to determine that a student aiming for further postgraduate credit is aiming for an ELQ, but a previous postgraduate-level qualification generally should.

### **Professional qualifications and qualifications awarded abroad**

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

34. There may be cases where UK NARIC advises that, for example, the academic level of a degree awarded in another country is below that of a degree in the UK. In such a case it is acceptable to treat a student whose highest higher education qualification is a degree from that country, and who is studying for a degree in the UK, as not aiming for an ELQ. Other sources of information that may help in determining the academic level of qualifications can be found on the OfS website<sup>4</sup>.

### **Reviewing ELQ status**

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

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

In general, and subject to the guidance in paragraph 22a, we would not expect providers to change the ELQ status of their students within a year of instance.

### **Relationship of OfS policy on ELQs to fee regulations**

36. The Student Fees (Qualifying Courses and Persons) (England) Regulations (Statutory Instrument 2007 No. 778, as amended in particular by Statutory Instrument 2008 No. 1640 for the ELQ policy), define which categories of students and courses are covered by the regulated undergraduate fee regime – that is, those for whom providers cannot charge a fee that exceeds prescribed limits, including the limits stated in their access agreements up to 2018-19.

37. The Education (Student Support) Regulations 2011 (Statutory Instrument 2011 No. 1986), as amended, define entitlements to student support. Statutory Instrument 2011 No. 1986 contains a definition of ELQs.

38. There are some differences in the treatment of students for ELQ purposes between whether they may be recorded as OfS-fundable following the guidance in HESES, and whether they are liable to regulated tuition fees or are eligible for student support. In particular, there will be cases where a student can be treated as exempt from the ELQ policy for the OfS funding purposes, but where they are not covered by the Student Fees (Qualifying Courses and Persons) Regulations – thus they can, if the provider chooses, be charged a non-regulated tuition fee. We do not, however, expect there to be cases where a student is non-fundable by the OfS because of their ELQ status, but where the provider is still restricted to charging a regulated tuition fee. Any questions about these Statutory Instruments should be raised with the Student Finance England practitioners' helpline on 0300 100 0618.

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<sup>4</sup> See [www.officeforstudents.org.uk/data-and-analysis/data-collection/](http://www.officeforstudents.org.uk/data-and-analysis/data-collection/).

## Examples

### **Example 1: Student aiming for both HND and degree**

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

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

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

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

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

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

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

### **Example 5: Student studying a succession of continuing education courses**

43. A student without any prior higher education qualification is undertaking a succession of 20 credit-point undergraduate continuing education courses, all at the same academic level. After successful completion of such a course, the student is permitted to be awarded a university

certificate. If the student completes 120 credit points from such courses, they can be awarded a Certificate of Higher Education. In this example:

- a. A student who has successfully completed a 20 credit-point course, but has not been awarded the university certificate, should not be treated as aiming for an ELQ for any study towards another 20 credit-point course.
- b. Where the student has been awarded a university certificate for successfully completing a 20 credit-point course, then:
  - i. They should be treated as aiming for an ELQ if they are taking another 20 credit-point course, and either have a stated qualification aim of a university certificate or have not stated a qualification aim (that is, they are assumed to be studying towards further credit at the same level as a qualification already awarded).
  - ii. They should not be treated as aiming for an ELQ if they are taking another 20 credit-point course, but have a sole qualification aim of a Certificate of Higher Education. This is because, on the basis of the guidance at paragraph 26, the Certificate of Higher Education would be considered a higher qualification than the university certificate already achieved. If the student has stated qualification aims of both a university certificate and the Certificate of Higher Education, then (following the guidance in paragraph 16) they would be treated as aiming for an ELQ, by virtue of sub-paragraph 43b.i.

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

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

#### **Example 7: Student already registered with a regulatory body for nursing, midwifery and allied health professions, who enrolls on a pre-registration course for one of the professions**

45. A student is already registered with the Nursing and Midwifery Council as a nurse but enrolls on a pre-registration midwifery course. As the midwifery course leads to a first registration for the profession 'midwifery', the student is exempt from the ELQ policy regardless of already being registered with the Nursing and Midwifery Council as a nurse. The exemption from the ELQ policy is an attribute of the course, not of the individual student.

## **Good practice**

### **Collecting qualification data from students**

46. Providers should ask students to confirm annually that they have not achieved any new qualifications since they last enrolled.
47. Providers should ensure that their data protection notices allow them, the government or their respective agents to check the accuracy of personal information provided by students against external data sources, including the Student Loans Company and Learning Records Service. For example, they should permit the provider to test if the student has been reported on earlier Higher Education Statistics Agency or Individualised Learner Record returns of other institutions, and to contact these other institutions to confirm any qualifications obtained.

### **Keeping records of how students aiming for ELQs have been identified**

48. In all cases, providers should keep records for audit purposes of how they are identifying students as aiming for an ELQ. This should set out the broad approach adopted by the provider. Where there may be uncertainty as to whether an individual student is aiming for an ELQ, the provider should also keep a record of how it has determined their ELQ status.

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

49. Home and EU students aiming for an ELQ and not covered by an exemption should be clearly identified on the student record system, and returned in the 'non-fundable' column.

## Annex G: Price groups

This annex explains how years of instance should be mapped to price groups for the purposes of HESES18, including guidance on the specific cases of sandwich years out, medicine, dentistry, veterinary science, nursing, midwifery and allied health professions, education, social work and social policy, and computing. Examples are given for cases where a year of instance should be split across price groups or where provision is contracted out.

### Annex G contents

Notes on the structure of this annex

Specific cases

- Sandwich years out
- Medicine, dentistry and cost centres 101 and 102
- Veterinary science and cost centre 109
- Pre-registration courses in nursing, midwifery and allied health professions
- Social work and cost centre 131
- ITT, INSET and cost centre 135

Allocating years of instance to price groups based on cost centre (HESES18A)

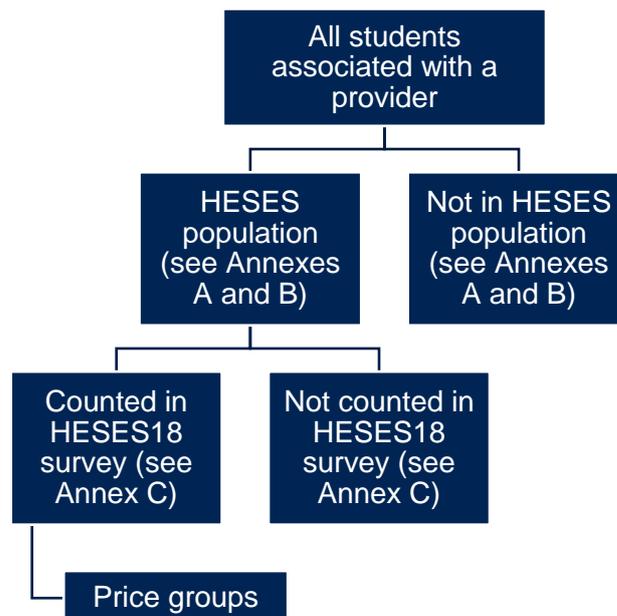
- Tables relating cost centres to price groups
- Attribution of computing to cost centres 119 and 121
- Activity delivered under a subcontractual arrangement
- Students on a study year abroad

Good practice

Allocating years of instance to price groups based on the JACS codes (HESES18B)

### Note on the structure of this annex

1. For 2018-19, two different groups of providers are being asked to complete HESES18, which comes in two different versions, 'HESES18A' and 'HESES18B'. The criteria that determine which version a provider will complete are given in full at the beginning of Part 1 of the HESES18 guidance. As the nature of the data returned by these groups is different, there are two different methods to assign years of instance to price groups, depending on which version is completed.



## Annex G: Price groups

2. In both versions, years of instance are assigned to price groups based on two criteria. First, they may be one of the specific cases noted in paragraphs 3 to 20. Secondly, if none of the specific cases apply, they are assigned to price groups based on one of these methods:
  - a. **For providers completing HESES18A:** years of instance are assigned to price groups based on the academic cost centres to which their activity is allocated. (See paragraphs 21 to 39).
  - b. **For providers completing HESES18B:** years of instance are assigned to price groups based on the Joint Academic Coding System (JACS) code of the subject of the course. (See paragraphs 40 to 42).

### Specific cases

#### Sandwich years out

3. Regardless of other specific cases listed below, academic cost centre or JACS code, students on a sandwich year out should be recorded in price group C2.

#### Medicine, and dentistry

4. Medical and dental years of instance recorded in price group A must be generated by students in one of the following categories:
  - a. Clinical medical students on the final three years of a first registrable medical qualification for doctors taken at one of these points:
    - i. After the pre-clinical part of the course.
    - ii. After a free-standing pre-clinical course.
    - iii. As part of an integrated pre-clinical and clinical course.
  - b. Clinical dental students on the final four years of a first registrable dental qualification for dentists taken at one of these points:
    - i. After the pre-clinical part of the course.
    - ii. After a free-standing pre-clinical course.
    - iii. As part of an integrated pre-clinical and clinical course.
  - c. Clinical medical (including clinical psychology) and clinical dental postgraduate taught students whose course meets the following three criteria:
    - i. The course bears very high average annual costs of at least £15,000 per full-time equivalent.
    - ii. A substantial proportion of the staff teaching time contributed to the course is provided by medically or dentally qualified, university-funded clinical academic staff who hold honorary contracts with the NHS. This includes general practitioners.

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- iii. Nearly all of the course is taught in a clinical environment. A clinical environment is one where patients are being treated – usually a hospital. This does not include settings designed for simulation, for example using models in a simulated environment, or virtual environments where, for example, patients may be seen in real time on screen but are not physically present.
  - d. Research students, the focus of whose research is in a clinical environment (as defined in paragraph 4ciii) and whose lead supervisor is a clinical academic.
5. Students who meet the criteria in paragraph 4 should have all of their activity for the year of instance attributed to price group A, irrespective of activity in any academic cost centre or JACS code.
6. Where, and only where, a postgraduate course meets the criteria set out in paragraph 4c, the subject of the course aim should be coded as A3 (clinical medicine), A4 (clinical dentistry), C842 (clinical psychology) or C845 (clinical neuropsychology) on the Higher Education Statistics Agency (HESA) student record.

### **Veterinary science**

7. Undergraduate veterinary science students should be included in price group A if they are in the final five years of a course which leads to eligibility to register to practise as a veterinary surgeon, irrespective of activity in any academic cost centre. All other undergraduate veterinary science activity, including foundation years, should be returned in price group B.
8. To be included in price group A, clinical veterinary science postgraduate taught students must be on courses which meet the following three criteria:
  - a. The course bears very high average annual costs of at least £15,000 per full-time equivalent.
  - b. A substantial proportion of the staff teaching time contributed to the course is provided by veterinary-qualified, university-funded, clinical academic staff.
  - c. Nearly all of the course is taught in a clinical environment. A clinical environment for veterinary science is one where animals are receiving medical treatment – usually an animal hospital. This does not include settings designed for simulation, for example using models in a simulated environment, or virtual environments where, for example, animals receiving treatment may be seen in real time on screen but are not physically present.
9. For veterinary science research students to be included in price group A, the focus of their research must be in a clinical environment (as defined in paragraph 8c) and the lead supervisor should be a clinical academic.
10. Students who meet the criteria in paragraphs 8 to 9 should have all of their activity for the year of instance attributed to price group A, irrespective of any activity in any academic cost centres or JACS code.

## Annex G: Price groups

11. Where, and only where, a postgraduate course meets the criteria set out in paragraphs 8 to 9, the subject of course aim should be coded as D2 (clinical veterinary medicine and dentistry), on the Higher Education Statistics Agency (HESA) student record.

### **Pre-registration courses in nursing, midwifery and allied health professions**

12. Students on pre-registration courses that on successful completion lead to first registration with the Nursing and Midwifery Council (NMC) as a professional in nursing (all specialisms), should be entirely attributed to price group C1, irrespective of activity in any academic cost centre or JACS code.
13. Students on pre-registration courses that on successful completion lead to a first registration with the General Dental Council (GDC) as a professional in dental therapy and dental hygiene, should be entirely attributed to price group A, irrespective of activity in any academic cost centre or JACS code.
14. Students on pre-registration courses that on successful completion lead to first registration with a relevant recognised regulatory body as a professional in midwifery, dietetics, speech and language therapy, podiatry and chiropody, orthotics and prosthetics, occupational therapy, operating department practice, orthoptics, physiotherapy, and radiography should be entirely attributed to price group B, irrespective of activity in any academic cost centre or JACS code.
15. For the purposes of paragraph 14, the relevant recognised regulatory bodies are the NMC for midwifery and the Health and Care Professions Council (HCPC) for all other professions listed (identifiable on the HESA record where REGBODY = 42, 44, 46, 47, 48, 50, 52, 55, 56, 57 for relevant professions regulated by the HCPC, and 65 for midwifery regulated by the NMC).

### **Social work**

16. Students on courses leading to registration as a social worker with one of the UK regulatory bodies, or providing post-registration qualifications for social workers, should be entirely attributed to price group C2, irrespective of activity in any academic cost centre or JACS code.
17. For the purposes of paragraph 16, the UK regulatory bodies are the Scottish Social Services Council, the Care Council for Wales, the Northern Ireland Social Care Council and the Health and Care Professions Council (identifiable on the HESA record where REGBODY = 09, 10, 11, 54 respectively).

### **ITT, INSET and other education students**

18. Students on initial teacher training (ITT) courses, whether leading to qualified teacher status (QTS), qualified teacher learning and skills (QTLS) or early years teacher status (EYTS), should be entirely attributed to price group C2, irrespective of activity in any academic cost centre or JACS code. All Home and EU students on ITT courses leading to QTS or EYTS should be returned as non-fundable.
19. In-service education and training (INSET) courses are defined as courses whose primary (but not necessarily only) purpose is to improve the effectiveness of teachers, lecturers or trainers. Students who do not hold QTS, QTLS or EYTS but are studying for an ITT qualification via an INSET course should be recorded in price group C2, irrespective of activity in any academic cost centre or JACS

## Annex G: Price groups

code. Other students on INSET courses should be attributed to price groups in the normal way. Home and EU students holding or aiming for QTS on INSET courses should be returned as non-fundable.

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

### HESES18A: Allocating years of instance to price groups based on cost centre

21. **This section applies only to providers completing HESES18A.** Only where **none** of the specific cases defined in paragraphs 3 to 20 apply, years of instance should be allocated to price groups according to the mix of cost centres in which activity takes place, using the mappings shown in Tables G1 and G2.

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

Cost centre	Price Group
101 Clinical medicine	B
102 Clinical dentistry	B
103 Nursing and allied health professions	C2
104 Psychology and behavioural sciences	C2
105 Health and community studies	C2
106 Anatomy and physiology	B
107 Pharmacy and pharmacology	B
108 Sports science and leisure studies	C2
109 Veterinary science	B
110 Agriculture, forestry and food science	B
111 Earth, marine and environmental sciences	B
112 Biosciences	B
113 Chemistry	B
114 Physics	B
115 General engineering	B
116 Chemical engineering	B
117 Mineral, metallurgy and materials engineering	B
118 Civil engineering	B
119 Electrical, electronic and computer engineering	B
120 Mechanical, aero and production engineering	B
121 Information technology, systems sciences and computer software engineering	C1
122 Mathematics	C2

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Cost centre		Price Group
123	Architecture, built environment and planning	C2
124	Geography and environmental studies	C2
125	Area studies	D
126	Archaeology	C1
127	Anthropology and development studies	D
128	Politics and international studies	D
129	Economics and econometrics	D
130	Law	D
131	Social work and social policy	D
132	Sociology	D
133	Business and management studies	D
134	Catering and hospitality management	C2
135	Education	D
136	Continuing education	D
137	Modern languages	C2
138	English language and literature	D
139	History	D
140	Classics	D
141	Philosophy	D
142	Theology and religious studies	D
143	Art and design	C1
144	Music, dance, drama and performing arts	C1
145	Media studies	C1
999	Cost centre not assignable	D

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

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

22. Full details of how to assign departments to cost centres are in 'Assignment of departments to academic cost centres: 2005-06' (HEFCE Circular letter 32/2005)<sup>1</sup>. Student activity is allocated to cost centres according to the cost centre of the member of staff teaching the module or supervising the activity. This will be described by the modules in the HESA student record. If a module or part of a course is provided by a different cost centre from the rest of the course, this should be identified on the HESA student record and on HESES by mapping the relevant student activity to the correct price group.

### Attributing computing to cost centres 119 and 121

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

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

### HESA student record notes

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

26. In general, staff will be associated with only a single cost centre even where their department is split across cost centres. Where a department is split across cost centres, it is necessary to identify which modules are taught by individual members of staff in order to assign the student activity to the appropriate cost centre. In general this approach will not be consistent with pro-rating student activity to the staff cost centre split at departmental level. Where two or more members of staff from different cost centres are associated with a particular activity, the student activity should be split according to the proportion contributed by each member of staff. Up to two decimal places may be used for this.

### Activity delivered under a subcontractual arrangement

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

- a. The student activity is at least 20 per cent of the total student activity in the department that arranges it.
- b. The contracted-out full-time equivalent student numbers are at least 100.

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<sup>1</sup> Available online at [webarchive.nationalarchives.gov.uk/20120118171947/http://www.hefce.ac.uk/pubs/circlets/2005/cl32\\_05/](http://www.hefce.ac.uk/pubs/circlets/2005/cl32_05/).

## Annex G: Price groups

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

### **Students on a study year abroad**

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

30. The following examples apply to a provider completing HESES18A. They relate to a student who aims to study for four 30-credit-point modules in a year:

#### **Example 1 Allocation to price group based on staff cost centre**

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

#### **Example 2: Allocation to price group in department with split cost centres**

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

#### **Example 3: Allocation to price group for activity delivered under subcontractual arrangement**

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

- a. Return the activity under the cost centre of the department that arranged the provision, in which case the student would be returned under cost centre 140 and the activity would therefore be allocated to price group D for this module.
- b. Return the activity under the cost centre most closely matching the academic content of the provision, in which case the student would be returned under cost centre 126 and the activity would therefore be allocated to price group C1 for this module.

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

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

### Good practice

#### Assigning departments to cost centres

38. Providers completing HESES18A should be able to provide evidence of how they have allocated particular departments to cost centres, and their compliance with the guidance in HEFCE Circular letter 32/2005. This should include the rationale for splitting or not splitting departments.
39. The assignment of departments to cost centres should be reviewed regularly to ensure that the guidance is being followed.

#### HESES18B: Allocating years of instance to price groups based on JACS codes

40. **This section applies only to providers completing HESES18B.** Only where **none** of the specific cases defined in paragraphs 3 to 20 apply, years of instance should be allocated to price groups according to the JACS code relating to the subject for the course, using the mappings shown in Tables G3 and G4. A full list of JACS codes and associated subject descriptions is available in Annex A of OfS 2018.<sup>31</sup>
41. Some qualifications contain study in two or more distinct subject areas, for example a chemistry and business course. Where the qualification has more than one JACS code, the student should be split between the relevant price groups in proportion to the split between each subject for the course as a whole.
42. JACS codes contain up to four characters which indicate a hierarchy of subject specialism. The top level of the hierarchy is represented by a single character (a letter). Each additional character represents a (further) sub-level. In Tables G3 and G4, the mapping of JACS codes to price groups includes all sub-levels of each code, unless stated otherwise. For example, 'A' includes all JACS codes that begin with A, 'B2' includes all codes that begin with B2 and 'F77' includes all codes that begin with F77.

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<sup>2</sup> Funding for academic year 2019-20: Approach and data collection, available at: [www.officeforstudents.org.uk/publications/funding-for-academic-year-2019-20-approach-and-data-collection/](http://www.officeforstudents.org.uk/publications/funding-for-academic-year-2019-20-approach-and-data-collection/). See the 'JACS4' worksheet. The 'HESES18 B' worksheet also shows the relationship between JACS codes and the Common Aggregation Hierarchy that applies to Higher Education Classification of Subjects (HECoS) codes used for data collection from 2019-20.

**Table G3: Attribution of JACS codes to price groups**

JACS codes (including all sub-levels of the hierarchy)	Price groups
A	B
B0, B1 (other than B160, B170), B2, B4, B5, B6, B820, B830, B840, B900, B950, B960, B990	B
B351, B353	C1
B (other than above)	C2
C6, C8 (other than C834, C835, C865)	C2
C834, C835	D
C (other than above)	B
D44 (other than D441, D443, D448)	D
D6 (other than D61)	C2
D (other than above)	B
F643, F752, F760, F764, F77, F78, F8	C2
F (other than above)	B
G	C2
H166	C2
H (other than above)	B
I510	C2
I (other than above)	C1
J310, J920	C1
J (other than above)	B
K120	C1
K (other than above)	C2
L51, L7	C2
L (other than above)	D
M	D
N234	C2
N (other than above)	D
P	C1
Q2, Q4, Q9	C2
Q (other than above)	D
R	C2
T690, T7, T8	D
T (other than above)	C2
V4	C1
V (other than above)	D

JACS codes (including all sub-levels of the hierarchy)	Price groups
W160, W330, W357, W376, W530, W63, W8	D
W (other than above)	C1
X	D
Y	D

**Table G4: JACS codes contained within price groups**

Price group	JACS codes (including all sub-levels of the hierarchy)
B	A, B0, B1 (except B160, B170), B2, B4, B5, B6, B820, B830, B840, B900, B950, B960, B990, C0, C1, C2, C3, C4, C5, C7, C865, C9, D (except D440, D442, D444, D445, D446, D447, D600, D62, D63, D64, D69), F (except F643, F752, F760, F764, F77, F78, F8), H (except H166), J (except J310, J920)
C1	B351, B353, I (except I510), J310, J920, K120, P, V4, W (except W160, W330, W357, W376, W530, W63, W8)
C2	B160, B170, B3 (except B351, B353), B7, B8 (except B820, B830, B840), B910, B920, B930, B940, C6, C8 (except C834, C835, C865), D6 (except D61), F643, F752, F760, F764, F77, F78, F8, G, H166, I510, K (except K120), L51, L7, N234, Q2, Q4, Q9, R, T (except T690, T7, T8)
D	C834, C835, D44 (except D441, D443, D448), L (except L51, L7), M, N (except N234), Q (except Q2, Q4, Q9), T690, T7, T8, V (except V4), W160, W330, W357, W376, W530, W63, W8, X, Y

## Examples

### Example 5: Allocation to price group based on JACS code

43. A student is studying at a provider who will be completing HESES18B. The student studies on a course assigned with a JACS code of Q610. The student would therefore be allocated to price group D for this course.

### Example 6: Allocation to price group based on JACS code

44. Two students studying for different undergraduate degrees have respective JACS codes of W300 and W330.

- a. W3 (music) is a sub-level of W (creative arts and design) and is not identified as an exception in Table G3. This shows that W300 will be returned as price group C1.
- b. W330 (history of music) is a sub-level of W3 (and so also a sub-level of W), but it is identified as an exception in Table G3. This shows that W330 will be returned as price group D.

## Annex H: Mode of study

This annex explains how to determine, for the purposes of HESES18, the mode of study for a year of instance (full-time, sandwich year out or part-time). It includes guidance on how to treat learning in the workplace and work experience when determining mode of study. In general, all students on a given course with a broadly similar pattern of activity, for a given year of instance, should be recorded as having the same mode.

### Annex H contents

#### Full-time

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

#### Sandwich year out

#### Part-time

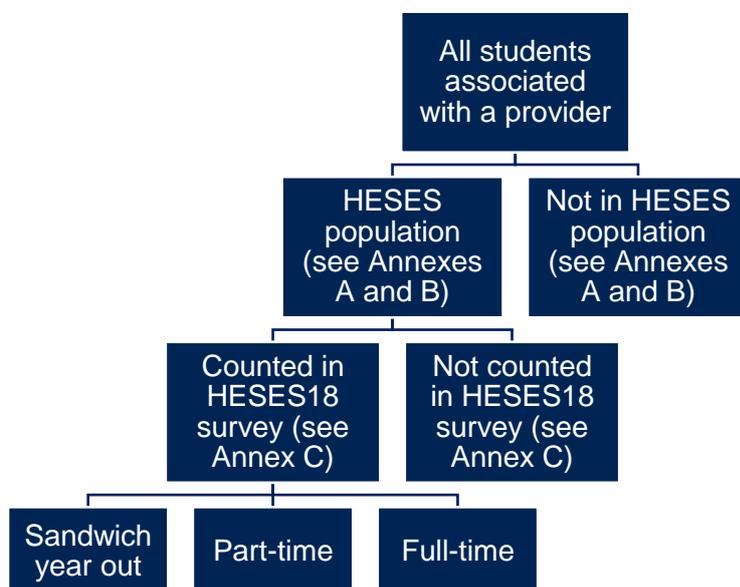
#### Additional guidance on mode of study

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

#### Examples

### Full-time

1. A year of instance is counted as full-time if it meets **all** of the following criteria:
  - a. The student is normally required to attend the provider, or elsewhere, for periods amounting to at least 24 weeks within the year of instance, and during that time they are expected to undertake periods of study, tuition, learning in the workplace, or sandwich work placement that does not meet the criteria to be sandwich year out, which amount to an average of at least 21 hours per week.



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

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

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

### **Accredited prior learning**

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

### **Sandwich year out**

5. A year of instance is counted as a 'sandwich year out' if it includes a period of work-based experience and meets the following criteria:
  - a. The course falls within the definition of a 'sandwich course' in Regulation 2(10) of the Education (Student Support) Regulations 2011 (Statutory Instrument 2011 No. 1986) as amended, or the year of instance is an Erasmus+ year abroad spent working.
  - b. It is a year of instance:
    - i. During which any periods of full-time study are in aggregate less than 10 weeks.  
  
or
    - ii. For which, in respect of that year of instance and any previous years of instance, the aggregate of any one or more periods of attendance which are not periods of full-time study (disregarding intervening vacations) exceeds 30 weeks.
  - c. A reduced fee is chargeable for the course for the year, compared with what would be chargeable if the student were studying full-time in the year.
6. Students spending a full year abroad working, including under the Erasmus+ scheme, should be returned as sandwich year out. This includes students under the British Council's Language Assistants scheme.
7. Students on pre-registration nursing, midwifery and allied health profession courses who are on a sandwich year out are also recorded on Table 7b. Such sandwich year out students can only be

entered as starters in 2016-17 or 2017-18, as we do not expect students to be on a sandwich year out in 2018-19 if it is the first year of their course (see Annex L paragraph 11).

## Part-time

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

## Additional guidance on mode of study

9. In some cases a student's mode of study changes between years. For example, the mode of a student on a full-time 18-month course would change from full-time in year one to part-time in year two, if the second year does not have 24 weeks of study.

### HESA student record notes

10. In this case the student's activity would be recorded as 'other full-time' (MODE = 02) in year two on the HESA student record.

## Apprenticeships

11. Where students are studying for a recognised higher education qualification as part of an apprenticeship they will normally be dividing their time between work and study. Therefore, we would expect years of instance for these students to be part-time. For apprenticeships, only activity that directly relates to their recognised higher education qualification should be counted. We do not expect this to include all the apprentice's time in the workplace, including for the purpose of determining whether the attendance requirements for categorisation as a full-time year of instance are met.
12. We recognise that the concept of a full-time fee may not be meaningful for recognised higher education undertaken as part of an apprenticeship. Where this is the case, the criterion in paragraph 1b can be disregarded for the purpose of determining whether a year of instance for an apprentice should be classified as full-time. However, years of instance for any recognised higher education studied as part of an apprenticeship should not be categorised as full-time unless, when compared with the equivalent full-time course not taken as part of an apprenticeship:

- the duration of the course is the same
- the number of credits studied per year is the same.

Where no such equivalent course exists, the duration and number of credits studied should be assessed against the typical length of a similar qualification, as noted in Annex E.

## Students only active for part of a year

13. In general, where a student plans to study at a full-time rate for a portion of the year – for example only for the first semester – they will be part-time, even though they are 'full-time' for that period of

study. The mode of attendance must be established with reference to the intended activity for the whole year of instance.

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

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

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

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

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

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

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

## **Examples**

### **Example 1: Student intermitting their studies**

18. A student intends to study full-time in 2018-19 for the second year of their course. They complete all modules in term one, but then intermit their studies for a year. They return to full-time study in term two of 2019-20 and complete all remaining modules.

- a. For 2018-19, the student would have a full-time mode of study for the year of instance, though they would be a non-completion.

- b. For 2019-20, the student would have a part-time mode of study for the year of instance, as they would not meet the criteria given in paragraph 1a.

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

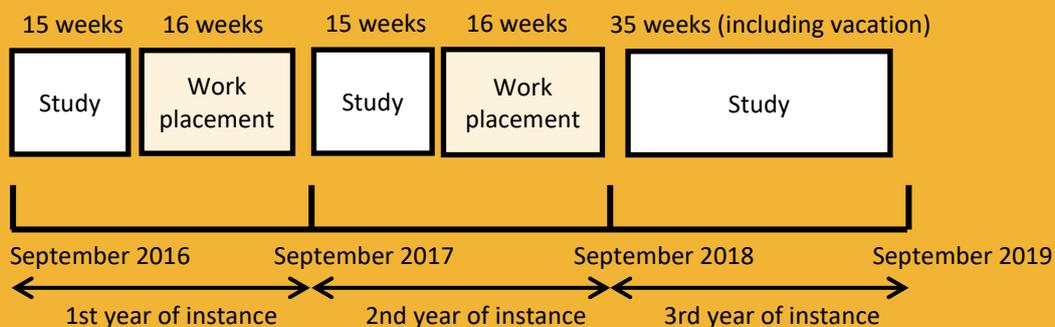
19. A student is studying on the final year of a full-time course, which is ordinarily completed in less than 24 weeks. The student would have a part-time mode of study for the year.

### Example 3: Student repeating part of the year

20. A student is studying full-time in 2017-18, but fails three modules. In 2018-19 the student repeats these modules on a part-time basis, studying for an average of seven hours per week. The student is still eligible to claim full-time student support. As the year of instance would not meet criteria given in paragraph 1a, the student would have a part-time mode of study for the year.

### Example 4: Year in which total sandwich placement exceeds 30 week

21. A student studies for a Higher National Diploma (HND) over three years. This includes two periods of work placement, taken in the first and second years of instance.



- a. The first year of instance is full-time, as the period of full-time study is more than 10 weeks, the cumulative period on work placement to date is less than 30 weeks, and the total attendance is greater than 24 weeks.
- b. The second year of instance is a sandwich year out. Though the pattern of activity is the same as for the first year, the cumulative period on work placement exceeds 30 weeks (16 + 16 = 32 weeks total work placement). This meets the definition in paragraph 5b(ii).

**Example 5: Degree apprenticeship**

22. A provider is currently offering a pre-registration nursing course, studying for 360 credits over three years. Starting in the next academic year, it will also offer the course as a four-year degree apprenticeship. On this course, apprenticeship students will be studying at the university for 30 weeks in the year, at an average of 22 hours of study per week.

23. Students on the four-year degree apprenticeship course would be considered to be part-time as the duration of the course is longer and they will be studying for fewer credits in each year.

## Annex I: Level of study

This annex explains how to determine a student’s level of study (undergraduate or postgraduate) for the purposes of HESES18. It also explains how the undergraduate data on Table 5 is split into sub-levels, and how to separate postgraduate students into postgraduate taught and postgraduate research.

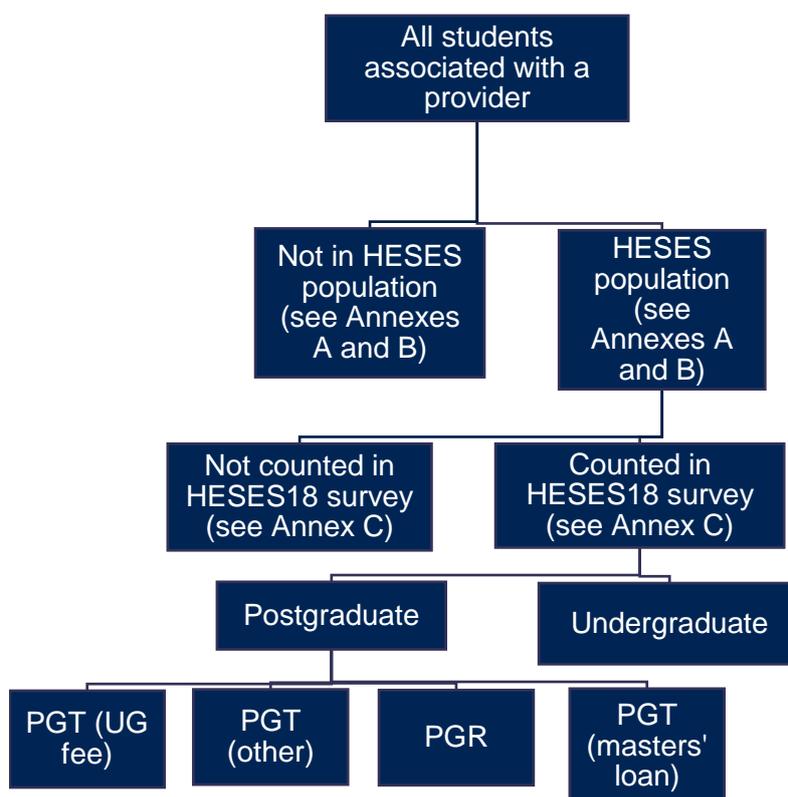
### Annex I contents

#### Undergraduate (UG)

- Undergraduate sub-levels on Table 5

#### Postgraduate

- Postgraduate research (PGR)
- Postgraduate taught (undergraduate fee) (PGT (UG fee))
- Postgraduate taught (Masters’ loan) (PGT (Masters’ loan))
- Postgraduate taught (other) (PGT (Other))



#### Examples

### Undergraduate (UG)

1. Undergraduates are students on higher education courses for which it is not a normal condition of entry that they are already qualified to degree level: that is, not already qualified at Level 6 of the ‘Framework for higher education qualifications in England, Wales and Northern Ireland’ (FHEQ)<sup>1</sup>. They may be studying towards a first degree (including foundation degree), integrated masters’ programme (such as a four-year Master of Engineering (MEng)), higher education certificate, higher education diploma or equivalent, or registered for a higher education-level credit that can be counted towards one of these qualifications.

<sup>1</sup> See [www.qaa.ac.uk/quality-code/the-existing-uk-quality-code/part-a-setting-and-maintaining-academic-standards](http://www.qaa.ac.uk/quality-code/the-existing-uk-quality-code/part-a-setting-and-maintaining-academic-standards).

### **Undergraduate sub-levels on Table 5 (apprenticeships)**

2. On Table 5 only, undergraduate data is further split into three sub-levels, so that we can separately count years of instance taken as part of an apprenticeship. These sub-levels record:
  - a. Students on apprenticeships containing a higher education element at Level 4 or Level 5 of the FHEQ. Further guidance regarding the FHEQ can be found in Annex F paragraph 25.
  - b. Students on apprenticeships containing a higher education element at FHEQ Level 6 or above.
  - c. All other undergraduate (non-apprenticeship) students.

### **Postgraduate**

3. Postgraduate students are registered for courses or credits where a normal condition of entry is that entrants are already qualified to degree level: that is, already qualified at Level 6 of the FHEQ. There are two groups, postgraduate research (PGR) and postgraduate taught (PGT).

#### **Postgraduate research**

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

#### **Postgraduate taught**

5. Postgraduate taught students are postgraduates who do not meet the requirements to be a research student.
6. Postgraduates include those on graduate conversion courses and all on postgraduate initial teacher training courses such as Postgraduate or Professional Graduate Certificates in Education (PGCEs). We split PGT students between those who are on courses that are eligible under the undergraduate student support regime, those who are on courses that are eligible under the masters' loan arrangements, and all others.
7. All PGT students on apprenticeships should be split between the three categories of PGT (UG fee), PGT (Masters' loan) and PGT (Other) according to the characteristics of their recognised higher education course, rather than their own personal eligibility for any such student support.

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

8. This category is for PGT students on courses that are designated under the undergraduate student support arrangements. It applies only to:
  - a. Students aiming for a postgraduate initial teacher training qualification.

## Annex I: Level of study

- b. Some students studying architecture – specifically those who are on Part 2 of the qualification leading towards registration with the Architects Registration Board.
  - c. Students on postgraduate, pre-registration nursing, midwifery and allied health courses, as defined in Annex L.
9. On Table 5 there are two sub-levels to PGT (UG fee): students on apprenticeships containing an element of recognised higher education; and all other PGT (UG fee).

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

10. Inclusion in this category is dependent on the eligibility of the course, rather than the student's own characteristics. The PGT (Masters' loan) category applies only to postgraduate taught students on courses that are designated under Regulation 4 of the Education (Postgraduate Master's Degree Loans) Regulations 2016 (Statutory Instrument 2016/606)<sup>2</sup>, as amended. However, it excludes students on postgraduate courses that may also be designated under the undergraduate student support arrangements, such as postgraduate, pre-registration nursing, midwifery and allied health courses – these should be recorded in the PGT (UG fee) category. The PGT (Masters' loan) category applies to courses that are one of the following:
- a. A full-time course of one or two academic years in duration.
  - b. A part-time course which it is ordinarily possible to complete in no more than twice the period ordinarily required to complete its one or two academic year full-time equivalent.
  - c. A part-time course that does not have a full-time equivalent and which it is ordinarily possible to complete in up to three academic years.
11. Masters' loans are available only where the student is undertaking a full stand-alone masters' course, not a partial masters' course requiring a lesser number of credits, whether as a result of the student's previous study or their experience<sup>3</sup>. Therefore, students who are topping up to a masters' qualification from another postgraduate qualification, such as a diploma or certificate, should not be recorded against this category. Because assignment to this category is not dependent on the characteristics of the student, it includes those who are not personally eligible for a masters' loan because of, for example:
- their age
  - their nationality or domicile
  - their status as a student aiming for an equivalent or lower qualification (ELQ)
  - their having started their course prior to 1 August 2016

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<sup>2</sup> Available from [www.legislation.gov.uk/uksi/2016/606/contents/made](http://www.legislation.gov.uk/uksi/2016/606/contents/made).

<sup>3</sup> See the section on 'Previous study' at <https://www.practitioners.slc.co.uk/products/postgraduate-education/postgraduate-masters-loan/eligibility/>.

## Annex I: Level of study

- any intention they may have to take longer to complete a part-time course than the definition of designated courses allows as being 'ordinarily possible'.
12. Students who are aiming for a masters' degree through a PGR programme may also be eligible for a masters' loan. However, such students should continue to be classified in HESES18 as PGR. No breakdown of PGR students between those on programmes eligible for a masters' loan and others is required.
13. On Table 5 there are two sub-levels to PGT (Masters' loan): students on apprenticeships containing an element of recognised higher education; and all other PGT (Masters' loan).

### Postgraduate taught (Other)

14. PGT students who do not fall under the previous two categories should be recorded as PGT (Other).
15. On Table 5 there are two sub-levels to PGT (Other): students on apprenticeships containing an element of recognised higher education; and all other PGT (UG fee).

## Examples

### Example 1: Student topping up to a masters' qualification from another postgraduate qualification

16. A student registers for a 60-credit postgraduate certificate (PGCert). Upon successful completion of the PGCert, they then register for a 120-credit postgraduate diploma (PGDip), for which the 60-credit PGCert counts towards the PGDip credit requirement. Upon successful completion of the PGDip, they then register for a 180-credit masters, for which the 120-credit PGDip already counts towards the masters' credit requirement.

17. In this case the student would be recorded as PGT (Other) throughout their studies. This is because while studying for the PGCert and PGDip, they are not explicitly studying for a masters; and when they do finally register for a masters, they are using PGT credit previously achieved to top up.

### Example 2: Student registering for a masters', but instead completing a PGDip

18. A student registers for a 180-credit masters, with no previously achieved credit being used to count towards it. They do not complete the full course, but complete sufficient to be awarded a 120-credit PGDip.

19. The student would be recorded as PGT (Masters' loan), because they are aiming for a full PGT masters' qualification.

**Example 3: Student awarded an intermediate qualification**

20. A student registers for a 180-credit masters', with no previously achieved credit being used to count towards it, and while continuing to study towards it they are awarded an intermediate qualification (of a PGCert or PGDip).

21. They will continue to be reported as PGT (Masters' loan), even after being awarded the intermediate qualification, because they are continuing on the same masters' course. However, if the intermediate qualification was awarded because the student formally withdrew from the masters' course at that point, and the student then returned (perhaps after a break) to register afresh to top up the intermediate qualification to a masters, they would be reported as PGT (Other) for the top-up study.

## Annex J: Long years of instance

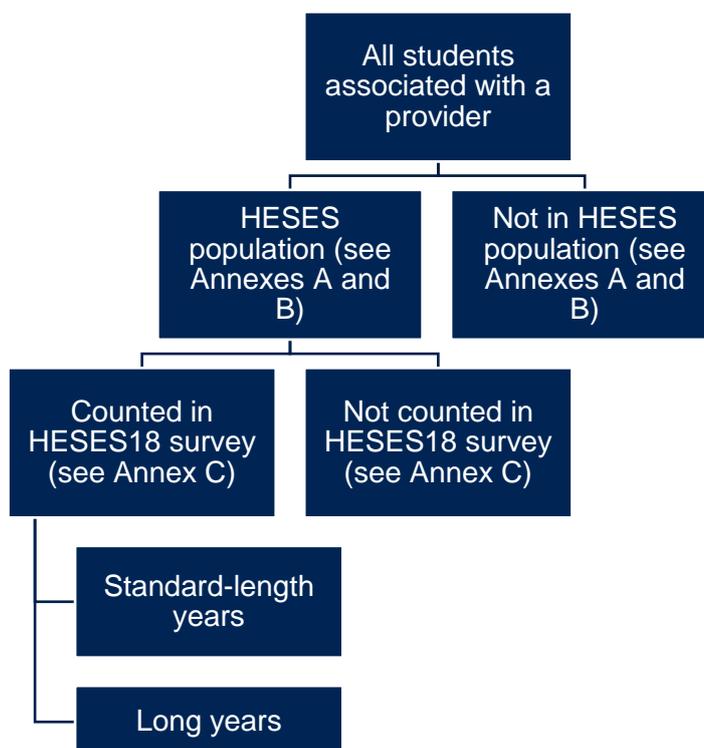
This annex explains how to determine if a full-time or part-time year of instance should be classed as 'long' for the purposes of HESES18. It also contains guidance on how to treat learning in the workplace and work experience when determining the length of a year of instance, as well as examples of how to treat mixed-length courses.

### Annex J contents

#### Definitions

- Full-time long years of instance
- Part-time long years of instance
- Mixed-length courses

#### Examples



### Definitions

#### Full-time long years of instance

1. For full-time courses, the year of instance will be classified as 'long' for our purposes if students are normally required to attend for 45 weeks or more within that year of instance.
2. When determining length, students are deemed to be attending the provider if they are actively pursuing full-time studies towards the qualification. Years of instance that are not long are referred to as standard-length.
3. If the year of instance is 45 weeks or more in length because of a period of work-based study, then the year of instance is not counted as long. This applies to both learning in the workplace and work experience, including work placements. Sandwich years out cannot therefore be recorded as long, nor would we generally expect foundation degrees, qualifications taken as part of an apprenticeship or years of instance for pre-registration courses in nursing, midwifery and allied health to be recorded as long.

## Annex J: Long years of instance

4. For undergraduate students, long years of instance typically occur in accelerated programmes where the qualification is achieved in a much shorter time than normal. The following are not criteria in defining a long year of instance for HESES reporting purposes:
  - a. The number of credit points studied in the year.
  - b. The eligibility of a full-time student under the undergraduate student support arrangements for a 'long courses loan'.
5. For postgraduate students, most long years of instance will be for higher degrees such as a masters'.

### Part-time long years of instance

6. For part-time courses, the distinction will depend on the length of each year for an equivalent full-time course. The number of weeks attended within the year of instance for part-time students is irrelevant in determining whether the year of instance is long. The equivalent full-time course used should be the same as that used in calculating the full-time equivalence (FTE).
7. If an equivalent full-time course does not exist, the method for determining whether a part-time year of instance is long should be consistent with the approach taken to determine the FTE, following the guidance in paragraph 3 of Annex E. The rationale for such a judgement should be recorded for audit purposes.

### Mixed-length courses

8. In some cases a full-time course may have one or more years of instance which are long, and one or more standard-length years. When determining which FTE to return as long for the equivalent part-time course, the following two principles should be applied:
  - a. The FTE over the entire part-time course should be identical to that of the full-time course.
  - b. The proportion of the FTE recorded as long should be the same on both the full-time and part-time courses.

## Examples

### Example 1: Foundation degree with work-based study

9. A full-time student on a foundation degree studies for 47 weeks in the year of instance, 10 of which are work-based study. The year of instance is not counted as long, because without the work-based study the number of weeks studied within the year of instance is 37.
10. Similarly, a full-time student on a foundation degree studies for 47 weeks in the year of instance entirely in the workplace. The year of instance is not counted as long.

### **Example 2: Calculating the length of year for a part-time course from the full-time equivalent**

11. A full-time, one-year course has a 30-week year of instance; the equivalent part-time course lasts for two years, each with a 45-week year of instance. The part-time course would not be long.
12. Conversely, if each year of the part-time course lasted for 30 weeks, but the year of instance for the full-time course was 45 weeks, then the part-time course would be classified as long. The FTE for the part-time course would be 0.5 in both cases.

### **Example 3: Taking a foundation degree bridging course after a foundation degree**

13. A student completes a two-year, full-time foundation degree, then chooses to undertake a foundation degree bridging course over the summer in order to enrol full-time on the third year of an honours degree. In this case, both years of the foundation degree and the third year of the honours degree should be recorded as standard-length. The foundation degree bridging course should be recorded separately as a standalone, part-time course with an FTE of 0.3.

### **Example 4: Mixed length part-time course – standard-length**

14. A four-year part-time course has an equivalent two-year full-time course where year one is long and year two is standard-length. As the proportion of FTE recorded as long should be the same on both full and part-time courses, the first two years of the part-time course should be recorded as long, with the remaining two recorded as standard-length. The FTE would be 0.5 in each of the four years to ensure the total FTE over the whole part-time course is the same as the equivalent full-time course ( $4 \times 0.5 = 2$  FTE).

### **Example 5: Mixed length part-time course – accelerated**

15. A part-time course lasts two and a half years and has an equivalent two-year full-time course where year one is long and year two is standard-length. The part-time course has FTE of 0.8, 0.8 and 0.4 in the three years respectively, which ensures the total FTE over the whole course is the same as the full-time course ( $0.8 + 0.8 + 0.4 = 2$  FTE).
16. To ensure the proportion of FTE reported as long for the part-time course is equivalent to the full-time course (as per sub-paragraph 8b), all first years of study can be recorded as long (0.8 FTE), and all activity for half of the students in the final years of study recorded as long, and the activity of the other half as standard-length. The second year would be recorded as standard-length.

**Example 6: Nursing course including significant work placement**

17. A university has a full-time course in children's nursing lasting three years. During this time, students study at the university on a modular basis for 45 weeks of the year. As part of the requirements for registration with the Nursing and Midwifery Council, students are required to spend 50 per cent of the course (2,300 hours) in theoretical learning and the remaining 50 per cent of the course in a practice setting.
18. Though a student would be engaged in study or work-based learning for 45 weeks of the year, this is due to the presence of the practice placement. The year would therefore not meet the definition of 'long' and would be recorded as standard-length.

## Annex K: Year abroad categories in Table 4

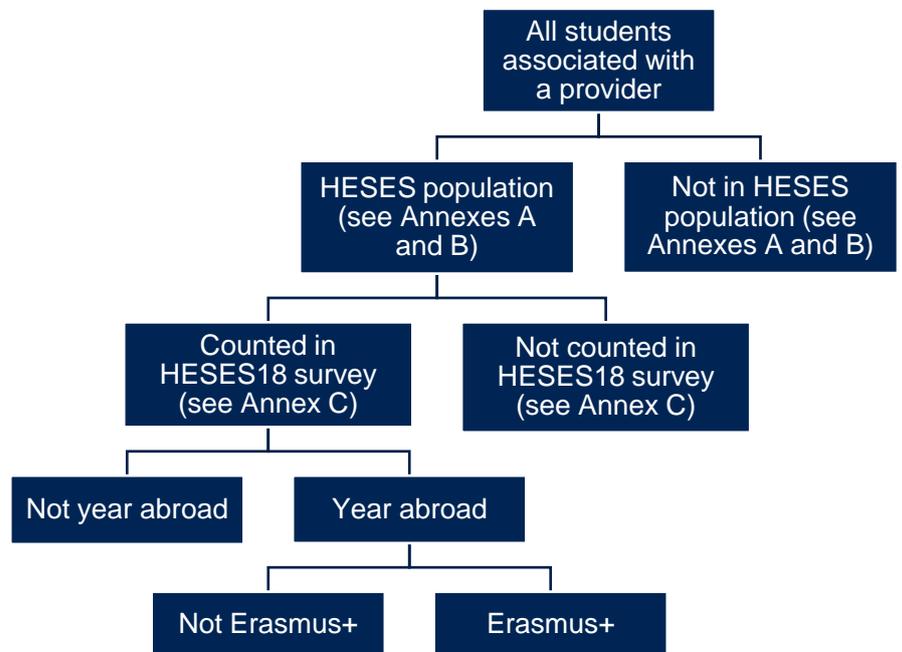
This annex provides guidance on how to assign years of instance to the appropriate category of year abroad in Table 4 of HESES18.

### Annex K contents

Year abroad

Erasmus+

Examples



1. Table 4 collects information about a subset of Home and EU undergraduate students included in Columns 1 and 2 of Tables 1 and 2: those undergraduates taking a year abroad in 2018-19 as part of their instance.
2. We will use the information on Table 4 to determine the 2019-20 'Erasmus+ and overseas study programmes' funding allocation to support providers' participation in such programmes.

### Year abroad

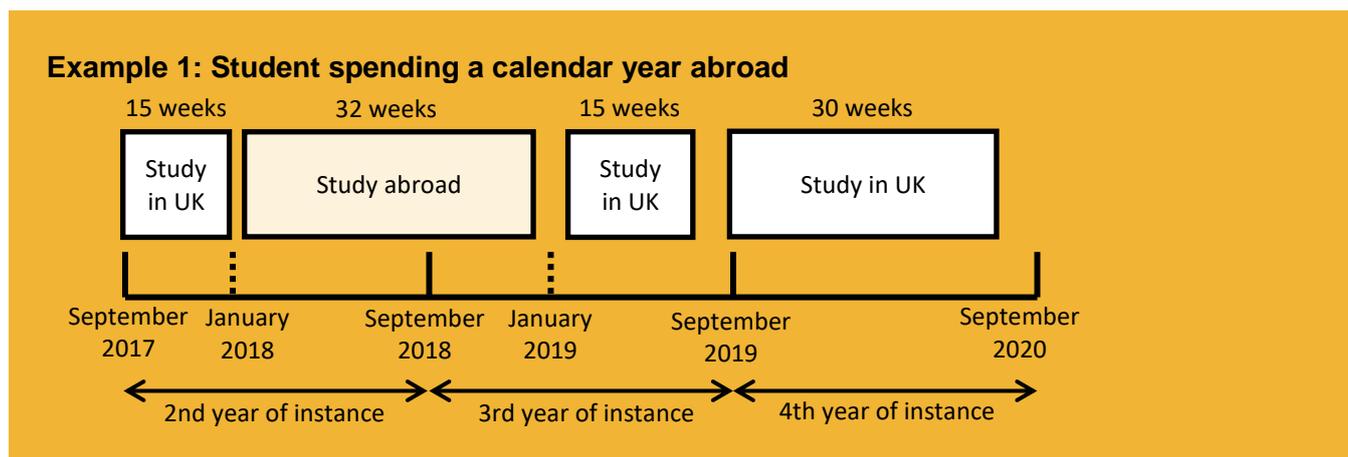
3. A full-time year of instance is a year abroad if it is provided in conjunction with an overseas educational provider and either:
  - a. During which any periods of full-time study at the provider in the UK are in aggregate less than 10 weeks.
  - b. For which, in respect of that academic year and any previous academic years of the course the aggregate of any one or more periods of attendance which are not periods of full-time study at the provider in the UK (disregarding intervening vacations) exceeds 30 weeks.

4. A 'sandwich year out' year of instance is a year abroad if one of the following applies:
  - a. All periods of attendance that are not full-time study are spent outside the UK.
  - b. At least one period of attendance in the year of instance that is not full-time study is taken under the Erasmus+ programme.
5. Some years abroad may comprise a combination of work experience and full-time study at a provider outside the UK. Where the period of work experience is not sufficient for the year of instance to meet the definition of sandwich year out, it should be categorised as a full-time year abroad.

## Erasmus+

6. Years abroad are split between those taken under the Erasmus+ programme and other years abroad<sup>1</sup>. An Erasmus+ year abroad is an Erasmus year as defined in the Education (Student Support and European University Institute) (Amendment) Regulations 2013, Statutory Instrument 2013/1728, Regulation 4(b)<sup>2</sup>. If a year abroad comprises more than one period of study or work placement abroad, not all of which are taken under the Erasmus+ programme, the year of instance should be recorded as follows:
  - a. As an Erasmus+ year abroad if at least one study or work placement is taken under the Erasmus+ programme during the current year of instance.
  - b. As a non-Erasmus+ year abroad otherwise. This may include cases where an Erasmus+ study or work placement, which counts towards categorising the current year of instance as a year abroad, was taken in a previous year of instance but not in the current one.

## Examples

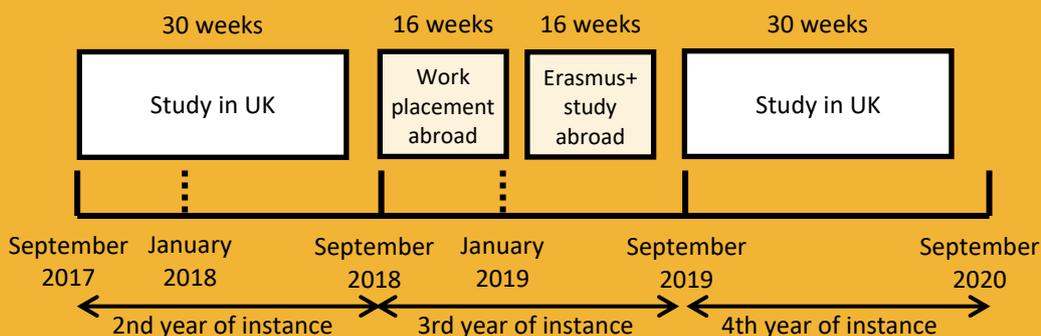


<sup>1</sup> Erasmus+ is the European Union programme for education, training, youth and sport for the period from 2014 to 2020. Further information about it can be found at [www.erasmusplus.org.uk/](http://www.erasmusplus.org.uk/) and the Erasmus+ programme guide, available online at [www.erasmusplus.org.uk/key-resources](http://www.erasmusplus.org.uk/key-resources).

<sup>2</sup> See [www.legislation.gov.uk/ukxi/2013/1728/regulation/4/made](http://www.legislation.gov.uk/ukxi/2013/1728/regulation/4/made).

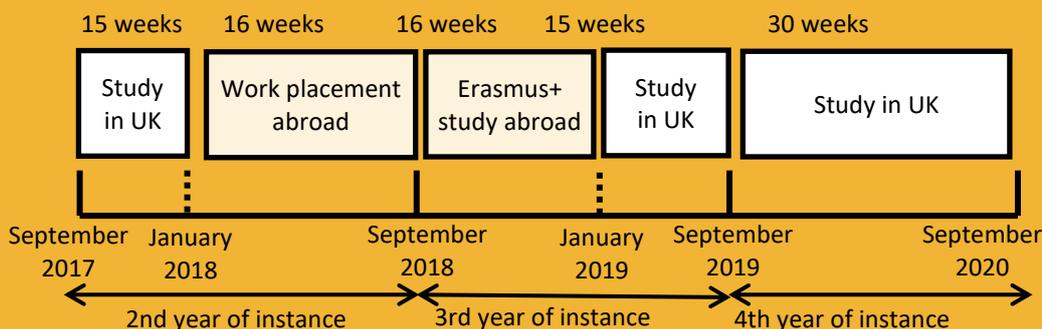
7. A student studies a four-year full-time undergraduate course from September 2016 to June 2020. The student spends a year abroad studying at an overseas provider for the calendar year 2018, which incorporates parts of their second and third years of instance; all other study is in the UK.
8. The second year of instance does not meet the definition of a year abroad, because the student has spent at least 10 weeks studying at their UK provider between September and December 2017, and they have not yet spent over 30 weeks studying abroad by the end of the year of instance.
9. The third year of instance meets the definition of a year abroad, because (including the time abroad during their second year of instance) the student will have spent over 30 weeks studying abroad by the end of that year. If the year abroad is taken under the Erasmus+ programme, the year of instance should be identified as a full-time Erasmus+ year abroad.

**Example 2: Student spending an academic year abroad**



10. A student studies a four-year full-time undergraduate course from September 2016 to June 2020. The student spends a year abroad between September 2018 and June 2019, contained entirely within their third year of instance; all other study is in the UK. The year abroad comprises one semester which is a 16-week work placement not taken under the Erasmus+ programme, and another semester which is a 16-week study placement at an overseas university which is taken under the Erasmus+ programme.
11. The work placement is not in itself sufficient for the year of instance to count as a sandwich year out. Because at least one study or work placement is taken under the Erasmus+ programme in the current year of instance, the year of instance is categorised as a full-time Erasmus+ year abroad.

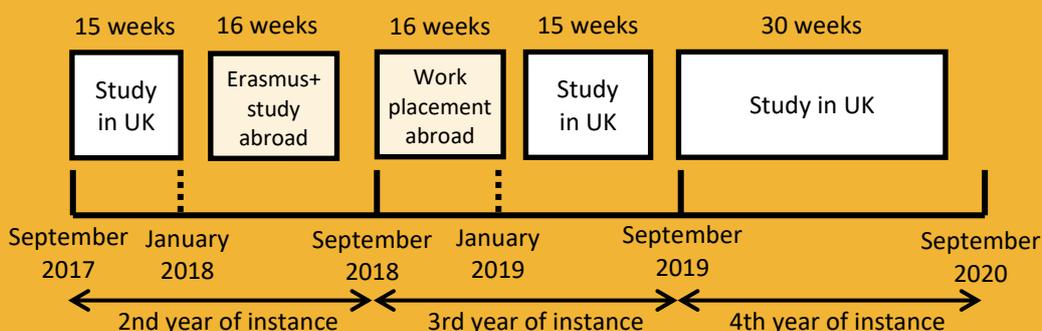
### Example 3: Work then Erasmus+ study abroad



12. As in Example 1, but the calendar year abroad comprises one 16-week semester (taken at the end of the second year of instance) which is a work placement abroad not taken under the Erasmus+ programme, and another 16-week semester (at the start of the third year of instance) which is a study period at an overseas provider taken under the Erasmus+ programme. As with Example 1, the second year of instance does not meet the definition of a year abroad.

13. The third year of instance meets the definition of a year abroad, but the work placement is not in itself sufficient for any year of instance to count as a sandwich year out. Because at least one period of study or work placement in the current year of instance is taken under the Erasmus+ programme, that year of instance counts as a full-time Erasmus+ year abroad.

### Example 4: Erasmus+ study then work abroad



14. As in Example 3, but the semesters are reversed: the calendar year abroad comprises one 16-week semester (taken at the end of the second year of instance) which is a study period at an overseas provider taken under the Erasmus+ programme, and another 16-week semester (at the start of the third year of instance) which is a work placement abroad not taken under the Erasmus+ programme. As in Examples 1 and 3, the second year of instance would not meet the definition of a year abroad.

15. The third year of instance still meets the definition of a year abroad. The work placement is not in itself sufficient for the year of instance to count as a sandwich year out. No study or work placement in the current year of instance is taken under the Erasmus+ programme (even though one was in the previous year of instance). Therefore the third year of instance counts as a full-time non-Erasmus+ year abroad

# Annex L: Pre-registration nursing, midwifery and allied health courses including guidance for Tables 7a, 7b and 7c

This annex defines the pre-registration healthcare profession courses which must be included in HESES18. It also details definitions specific to Tables 7a, 7b and 7c. Only providers delivering these courses in 2018-19 need to complete these tables.

## Annex L contents

### Definitions

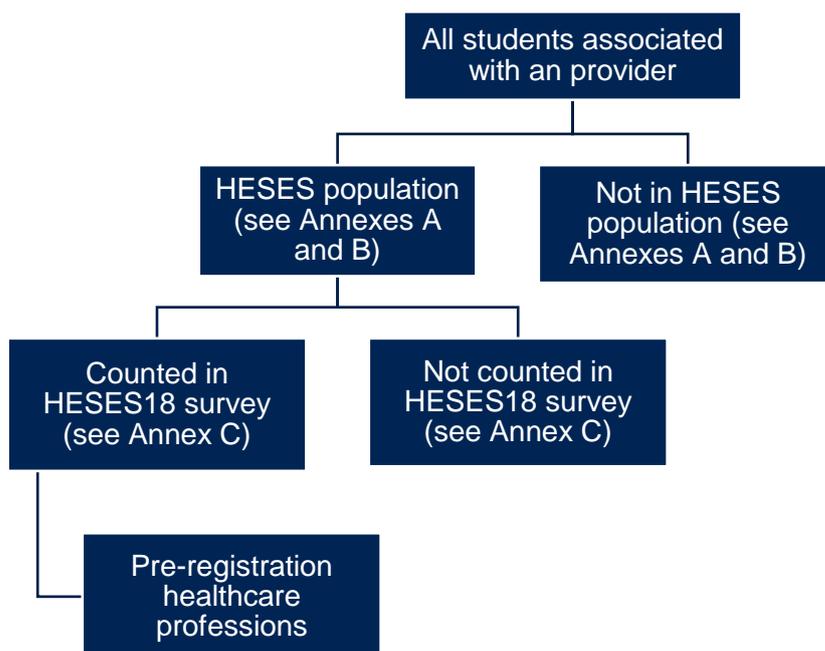
- HESES nursing, midwifery and allied health professions population for 2018-19
- Healthcare professions
- Starters in 2016-17, 2017-18 and 2018-19

### Guidance

- Mode
- Length

### Examples

### Good practice



1. For undergraduate pre-registration nursing, midwifery and allied health courses, other than those in dental hygiene and dental therapy, the transfer of funding responsibility from the Department of Health and Social Care took effect from 2017-18. Transfer of funding responsibility for undergraduate dental hygiene and dental therapy and for postgraduate pre-registration courses took effect from 2018-19. Tables 7a, 7b and 7c therefore collect data separately according to whether students started courses in 2016-17, 2017-18 or 2018-19. The fundability status of students may therefore vary according to when a student started their course, the level of the course and, for some professions, whether or not the course was previously provided under a contract with an NHS organisation. Guidance on fundability status is provided in Annex F. The differences between the data collected in HESES18 and the data collected in 2017-18 are described under 'Summary of changes and clarifications since HESES17'.

## Definitions

### HESES nursing, midwifery and allied health professions population for 2018-19

2. The HESES18 population for Tables 7a, 7b and 7c comprises years of instance for Home and EU for students on pre-registration nursing, midwifery and allied health profession courses (defined

Annex L: Pre-registration nursing, midwifery and allied health courses including guidance for Tables 7a, 7b and 7c

below), who started their courses in the academic years 2016-17, 2017-18 and 2018-19. This information will be used to inform funding allocations for providers in 2019-20.

3. These years should continue to be included in Tables 1 to 6 as Home and EU, either as fundable or non-fundable, as appropriate (see Annex F).
4. Students at the Open University who are studying in Scotland, Wales or Northern Ireland should be excluded from Tables 7a, 7b and 7c, as funding responsibility for them rests with the devolved administrations. They should, however, still be included as appropriate in other HESES tables.

### Healthcare professions

5. For the professions listed in **Figure L1**, only pre-registration courses at English providers that are approved by the relevant regulatory body should be included. These are:
  - for nursing and midwifery, the Nursing and Midwifery Council
  - for dental hygiene and dental therapy, the General Dental Council
  - for all other professions listed, the Health and Care Professions Council.
6. 'Pre-registration' is an attribute of the course, not of the individual student. If a pre-registration course leads to a first registration for that specific profession, the student is recorded in Tables 7a, 7b and 7c, regardless of whether the student is already registered with the regulatory body for another profession. Courses that do not meet the definition of pre-registration (and will therefore not be recorded on Tables 7a, 7b or 7c) should still be recorded in Tables 1 to 3.

**Figure L1: Courses for which activity should be included in Tables 7a, 7b and 7c**

Pre-registration courses in	Leading to registration with
Nursing – adult	Nursing and Midwifery Council (NMC). Relevant courses are those at English providers listed at <a href="http://www.nmc.org.uk/education/approved-programmes/">www.nmc.org.uk/education/approved-programmes/</a> by selecting the relevant course type from the drop-down menu headed 'Course'. In general these are, respectively: <ul style="list-style-type: none"> <li>• 'Pre-registration nursing – Adult'</li> <li>• 'Pre-registration nursing – Child'</li> <li>• 'Pre-registration nursing – Learning Disabilities'</li> <li>• 'Pre-registration nursing – Mental Health'.</li> </ul> In addition, the NMC website identifies six types of 'Dual award – pre-registration nursing' courses (for each possible combination of two of the four specialisms). Years of instance or course for students on such courses should also be included on Tables 7a, 7b and 7c, but split equally between the two nursing specialisms concerned. For example, for a course identified on the NMC website as 'Dual award – pre-registration nursing – mental health/child', years of instance should be split equally on Tables 7a, 7b and 7c between the categories 'Nursing – children' and 'Nursing – mental health'.
Nursing – children	
Nursing – learning disability	
Nursing – mental health	

Annex L: Pre-registration nursing, midwifery and allied health courses including guidance for Tables 7a, 7b and 7c

Pre-registration courses in	Leading to registration with
Nursing – unclassified	NMC. In some cases, pre-registration nursing courses may share a common first year, during which students will choose their nursing specialism for later years of the course. Any such years of instance that cannot yet be assigned to one of the nursing specialisms above should be recorded under ‘Nursing – unclassified’. They must, however, be part of a pre-registration course listed at <a href="http://www.nmc.org.uk/education/approved-programmes/">www.nmc.org.uk/education/approved-programmes/</a> by selecting the relevant course type from the drop-down menu headed ‘Course’.
Midwifery	NMC. Relevant courses are those at English providers listed at <a href="http://www.nmc.org.uk/education/approved-programmes/">www.nmc.org.uk/education/approved-programmes/</a> by selecting ‘Pre-registration midwifery – Three-year programme – 18-month programme’ from the drop-down menu headed ‘Course’.
Dietetics	Health and Care Professions Council (HCPC). Relevant courses are those at English providers listed at <a href="http://www.hcpc-uk.org/education/programmes/register/">www.hcpc-uk.org/education/programmes/register/</a> by selecting ‘Dieticians’ from the drop-down menu under ‘Profession’.
Occupational therapy	HCPC. Relevant courses are those at English providers listed at <a href="http://www.hcpc-uk.org/education/programmes/register/">www.hcpc-uk.org/education/programmes/register/</a> by selecting ‘Occupational therapists’ from the listing under ‘Profession’.
Operating department practice	HCPC. Relevant courses are those at English providers listed at <a href="http://www.hcpc-uk.org/education/programmes/register/">www.hcpc-uk.org/education/programmes/register/</a> by selecting ‘Operating department practitioners’ from the listing under ‘Profession’.
Orthoptics	HCPC. Relevant courses are those at English providers listed at <a href="http://www.hcpc-uk.org/education/programmes/register/">www.hcpc-uk.org/education/programmes/register/</a> by selecting ‘Orthoptists’ from the listing under ‘Profession’.
Orthotics and prosthetics	HCPC. Relevant courses are those at English providers listed at <a href="http://www.hcpc-uk.org/education/programmes/register/">www.hcpc-uk.org/education/programmes/register/</a> by selecting ‘Prosthetists / orthotists’ from the listing under ‘Profession’.
Physiotherapy	HCPC. Relevant courses are those at English providers listed at <a href="http://www.hcpc-uk.org/education/programmes/register/">www.hcpc-uk.org/education/programmes/register/</a> by selecting ‘Physiotherapists’ from the listing under ‘Profession’.
Podiatry and chiropody	HCPC. Relevant courses are those at English providers listed at <a href="http://www.hcpc-uk.org/education/programmes/register/">www.hcpc-uk.org/education/programmes/register/</a> by selecting ‘Chiropodists / podiatrists’ from the listing under ‘Profession’.
Radiography (diagnostic)	HCPC. Relevant courses are those at English providers listed at <a href="http://www.hcpc-uk.org/education/programmes/register/">www.hcpc-uk.org/education/programmes/register/</a> by selecting ‘Radiographers’ from the listing under ‘Profession’. Providers will then need to distinguish between the two types of radiography according to the aim and content of their particular courses.
Radiography (therapeutic)	
Speech and language therapy	HCPC. Relevant courses are those at English providers listed at <a href="http://www.hcpc-uk.org/education/programmes/register/">www.hcpc-uk.org/education/programmes/register/</a> by selecting ‘Speech and language therapists’ from the listing under ‘Profession’.

Pre-registration courses in	Leading to registration with
Dental hygiene	General Dental Council (GDC). Relevant courses are those at English providers listed at <a href="http://www.gdc-uk.org/professionals/education/recent-inspections/inspections-dental-therapy">www.gdc-uk.org/professionals/education/recent-inspections/inspections-dental-therapy</a> . Providers will then need to distinguish between the two types of programme, reflecting the courses they offer and the qualification aim of their students. Where a student has a single aim for a qualification in dental hygiene, they should be recorded under dental hygiene.
Dental therapy	Otherwise, they should be recorded under dental therapy (including where they are aiming for qualifications in both dental hygiene and therapy).

### HESA student record notes

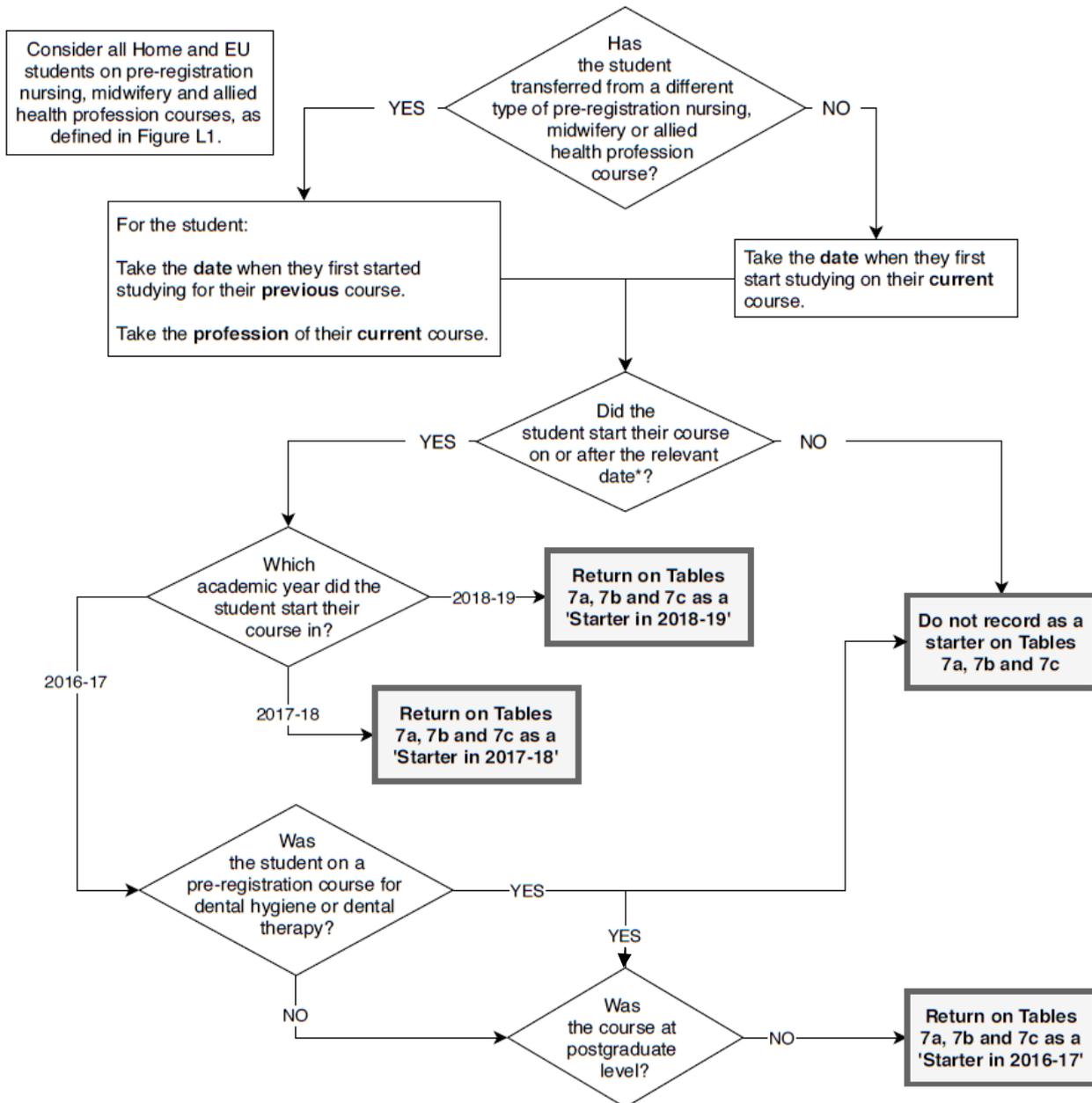
7. Students recorded on Tables 7a, 7b and 7c should be separately identifiable on the Higher Education Statistics Agency (HESA) student record using a combination of the HESA fields COURSEAIM and REGBODY.
  - a. For COURSEAIM, the codes are M16, M26, M86, H16, H62, I16 and J26.
  - b. For REGBODY, the codes are 06, 36, 37, 42, 44, 46, 47, 48, 50, 52, 55, 56, 57, 61, 62, 63, 64 and 65.

### Starters in 2016-17, 2017-18 and 2018-19

8. In Tables 7a, 7b and 7c, the definition of 'starters' is not the same as for new entrants in Tables 5 and 6 (see Annex C), and is summarised in **Figure L2**. In general, starters on Tables 7a, 7b and 7c are students starting study for the first time on a relevant pre-registration course in 2016-17, 2017-18 or 2018-19. In the paragraph that follows, '**the relevant date**' means:
  - 1 August 2016 for an undergraduate pre-registration nursing, midwifery or allied health profession course, other than one in dental hygiene or dental therapy
  - 1 August 2017 for a postgraduate pre-registration nursing, midwifery or allied health profession course; or an undergraduate pre-registration dental hygiene or dental therapy course.
9. Starters in 2016-17, 2017-18 and 2018-19:
  - a. **Include** students who transfer on or after the relevant date onto a pre-registration nursing, midwifery or allied health profession course from one that is not. The year for which they are treated as a starter is the year in which they transfer onto the pre-registration course.
  - b. **Include** students who transfer between different types of pre-registration nursing, midwifery or allied health profession course, if their previous pre-registration course started on or after the relevant date. They should be recorded against the profession that applies to their current course, but they should be recorded as a starter in the year that their previous course started.
  - c. **Exclude** students who transfer between different types of pre-registration nursing, midwifery or allied health profession course, if their previous course started prior to the relevant date.

- d. **Exclude** students repeating a year of a pre-registration nursing, midwifery or allied health profession course, if their course started prior to the relevant date. Students repeating the first year of a pre-registration nursing, midwifery or allied health profession course that started on or after the relevant date, should be reported as starters in the year they started the course, and not when they repeated the first year.

**Figure L2: Identifying starters in 2016-17, 2017-18 and 2018-19**



\*The relevant date' means:

- 1 August 2016 for an undergraduate pre-registration nursing, midwifery or allied health profession course, other than one in dental hygiene or dental therapy
- 1 August 2017 for an postgraduate pre-registration nursing, midwifery or allied health profession course; or an undergraduate pre-registration dental hygiene or dental therapy course.

Annex L: Pre-registration nursing, midwifery and allied health courses including guidance for Tables 7a, 7b and 7c

10. We require data in Tables 7a, 7b and 7c on starters in 2016-17, 2017-18 and 2018-19 for undergraduate pre-registration courses, other than dental hygiene and dental therapy, for which the transfer of funding responsibility began in 2017-18. We require data in Tables 7a, 7b and 7c on starters in 2017-18 and 2018-19 for postgraduate pre-registration courses, and dental hygiene and dental therapy courses for which transfer of funding responsibility began in 2018-19.

## Guidance

### Mode

11. The definitions of mode for Tables 7a (full-time), 7b (sandwich year out) and 7c (part-time) are in Annex H. However, sandwich year out students on Table 7b can only be entered as starters in 2016-17 and 2017-18 (we do not expect students to be on a sandwich year out in 2018-19 if it is the first year of their course). The vast majority of students on pre-registration courses will undertake learning in the workplace, which can count towards full-time study and will therefore not meet the definition of a sandwich year out.

### Length

12. Years of instance can either be standard-length or long, as defined in Annex J. We do not generally expect years of instance for pre-registration courses to meet the definition of 'long', because periods of work-based study, including placements, should not be counted in determining whether such years meet the minimum 45-week attendance requirement in the year (see Annex J). Postgraduate masters' courses may be an exception to this.

### Level

13. All postgraduate taught students studying a pre-registration nursing, midwifery or allied health profession course are now to be recorded in HESES as postgraduate taught (undergraduate fee). This applies irrespective of when they started their course or their own personal eligibility for undergraduate student support.

## Examples

### **Example 1: Student who transfers between different types of pre-registration nursing, midwifery or allied health profession course**

14. A student started a pre-registration course in 'Nursing – children' in September 2017. The student transfers to a pre-registration course in midwifery in September 2018. The student is recorded against the profession 'midwifery', but is recorded as a starter in 2017-18, the year that their previous pre-registration course started.

**Example 2: Student who transfers onto a pre-registration nursing, midwifery or allied health profession course from one that is not**

15. A student studied at a college for a full-time bachelors' degree in biological sciences in 2016-17 and 2017-18, and completed the first two years of the bachelors' degree. However, in September 2018, the student transfers to a full-time pre-registration midwifery course at the same college. The student is reported as a starter for 2018-19 in Table 7a.
16. However, such a student transferring within a provider would not be reported as a 'new entrant' on Tables 5 and 6, as they are studying at the same provider and at the same broad level.

**Example 3: Student studying on a dental hygiene course in 2018-19**

17. A student started a full-time pre-registration course in dental hygiene in 2016-17. They repeat their first year in 2017-18 and progress onto the second year of course (their third year of instance) in 2018-19. The student is a starter in 2016-17 (when they first started the course) and not in 2017-18. They are excluded from Table 7a because starters in 2016-17 are not required for pre-registration dental hygiene and dental therapy courses. However, the year of instance will be included in Tables 1 and 5.

**Example 4: Students starting a course in podiatry in January 2018 or January 2019**

18. A student is undertaking a pre-registration course in podiatry. They are recorded against the profession 'podiatry and chiropody'.
  - a. If they started the course in January 2018 they are recorded as a starter in 2017-18 (as they began the first-year of their pre-registration course during the 2017-18 academic year), and:
    - i. OfS-fundable if the course is undergraduate and not commissioned and funded by an NHS organisation (as the course started after the 1 August 2017 transfer of funding – see Annex F, paragraphs 13c and 13f).
    - ii. Non-fundable if the course is postgraduate (as the course started prior to the 1 August 2018 transfer of funding – see Annex F, paragraph 13c).
  - b. If they started the course in January 2019 they are recorded as a starter in 2018-19 (as they began the first-year of their pre-registration course during the 2018-19 academic year), and OfS-fundable, as long as all other fundability criteria are met.

**Example 5: Student already registered with the NMC, who enrolls on a pre-registration midwifery course in 2018-19**

19. A student previously trained as a nurse (Nursing – child) and registered as a nurse with the NMC in 2016. The student starts a full-time pre-registration midwifery course in October 2018. The midwifery course is listed as a pre-registration course by the NMC.
20. As the midwifery course leads to a first registration for the profession ‘midwifery’, the student is recorded in Table 7a against the profession ‘midwifery’ as a starter in 2018-19, regardless of already being registered with the NMC as a nurse.

**Example 6: Student starting a specialist nursing course in September 2018**

21. A student previously trained as a nurse (Nursing – adult) and registered as a nurse with the NMC in 2016. The student starts a full-time undergraduate bachelors degree in Specialist Nursing – health visiting at a provider’s School of Health in September 2018. This course is listed as an approved course by the NMC with course entry requirements that specify applicants should have active registration on Part one or Part two of the NMC Register.
22. The student is not recorded in Table 7a because the course is post-registration. The Specialist nursing – health visiting course does not lead to a first registration for the profession ‘nursing’, This course leads to registration on Part three of the NMC register for specialist community public health nurses.

**Example 7: Nursing course including significant work placement**

23. A provider has a full-time bachelors’ degree in Nursing – mental health lasting three years. This includes mandatory learning in the workplace, which comprises approximately 60 per cent of the course being spent on clinical placements each year, with the remainder being student learning hours.
24. Though a student would be engaged in study or work-based learning for 45 weeks of the year, this is due to the presence of the clinical placement. The year would not therefore meet the definition of long and would be recorded as standard-length

## Annex M: List of abbreviations

Abbreviation	Definition
<b>ABL</b>	Awarding Body Linking
<b>CertEd</b>	Certificate in Education
<b>DipHE</b>	Diploma of Higher Education
<b>DSA</b>	Disabled Students' Allowance
<b>ELQ</b>	Equivalent or lower qualification
<b>ESFA</b>	Education and Skills Funding Agency
<b>EU</b>	European Union
<b>EYTS</b>	Early Years Teacher Status
<b>FHEQ</b>	The 'Frameworks for higher education qualifications of UK degree-awarding bodies'
<b>FTE</b>	Full-time equivalence
<b>HEFCE</b>	Higher Education Funding Council for England
<b>HEIFES</b>	Higher Education in Further Education: Students survey
<b>HESA</b>	Higher Education Statistics Agency
<b>HESES</b>	Higher Education Students Early Statistics survey
<b>HNC</b>	Higher National Certificate
<b>HND</b>	Higher National Diploma
<b>HCPC</b>	Health and Care Professions Council
<b>INSET</b>	In-service education and training
<b>ITT</b>	Initial teacher training
<b>NMC</b>	Nursing and Midwifery Council
<b>PG</b>	Postgraduate
<b>PGCE</b>	Postgraduate Certificate in Education or Professional Graduate Certificate in Education
<b>PGR</b>	Postgraduate research
<b>PGT</b>	Postgraduate taught
<b>QTS</b>	Qualified Teacher Status (non-fundable)
<b>QTLS</b>	Qualified teacher learning and skills (OfS-fundable)
<b>UCAS</b>	Formerly the Universities and Colleges Admissions Service
<b>UG</b>	Undergraduate
<b>UK NARIC</b>	UK National Recognition Information Centre
<b>UKPRN</b>	UK Provider Reference Number



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