

Office for  
Students



# Higher Education Students Early Statistics survey 2020-21 (HESES20)

Guidance for providers

**Reference** OfS 2020.42

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This document is relevant to higher education providers that have registered with (or applied to register with) the Office for Students (OfS) in the Approved (fee cap) category and are seeking OfS funding for the 2021-22 academic year.

It provides guidance on funding rules and definitions that is relevant to all such providers, but the HESES20 survey is to be completed only by providers that have students registered with them in academic year 2020-21, who are on courses recognised for OfS funding purposes. Other providers registered, or applying to register, in the Approved (fee cap) category are required to complete the Higher Education Students Forecast 2021-22 (HESF21).

The data collected in HESES20 provides an early indication of the number of higher education students studying in 2020-21, and, with data supplied to the Higher Education Statistics Agency and the Education and Skills Funding Agency, will inform the allocation of teaching funds for 2021-22.

**Action:** Providers should upload returns to the OfS portal.

This document has two parts:

- **Part I: Overview of HESES20**

This section contains an overview of HESES20, a summary of changes and clarifications since HESES19, and additional information about the HESES20 process.

- **Part II: Funding rules and definitions**

The annexes in this section define the student population covered by the HESES return and give guidance on what is 'countable' in HESES20, as well as providing information on the rules and definitions that are needed to complete the survey correctly.

## Colour coding

We aim to treat all providers fairly and equally; therefore, the vast majority of the guidance contained in this document applies to all providers.

In some specific cases, different guidance will apply. This will be explicitly stated in the text and the relevant paragraphs will be labelled with a coloured band on the left of the page as below:

- a. Guidance that applies solely to **further education and sixth form colleges and academies** (light blue).
- b. Guidance that applies to **all other providers** (red).

## Completing the survey workbook

Alongside this document, we are publishing separate, additional guidance, titled 'Completing the HESES20 workbook'.<sup>1</sup> This provides a detailed description of how to fill in the HESES20 workbook and the process of data verification. It is published to help providers who may be completing the

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<sup>1</sup> See [www.officeforstudents.org.uk/data-and-analysis/data-collection/](http://www.officeforstudents.org.uk/data-and-analysis/data-collection/).

workbook for the first time or feel they need a 'refresher' of concepts involved in completing the survey.

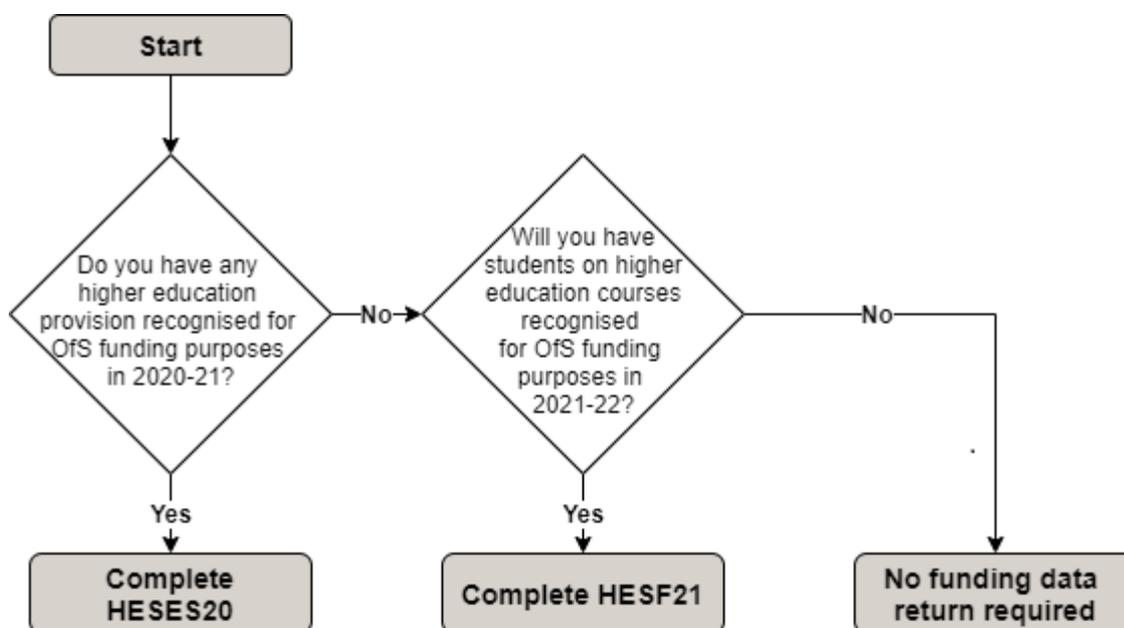
This document will also include a number of appendices that will be issued once the workbooks have been released (from October 2020). The appendices provide further technical information to support completion of the HESES20 tables and worksheets, such as specific descriptions of the validation and credibility checks applied within the workbook.

# Part I: Overview of HESES20

## Purpose

1. A higher education provider registered, or applying to register, with the Office for Students (OfS) in the 'Approved (fee cap)' category, and seeking the benefits of such registration for the 2021-22 academic year (1 August 2020 – 31 July 2021), must complete one of two data surveys to inform the calculation of OfS grants for that year. These are as follows:
  - a. For a provider that has students registered with them on courses recognised for OfS funding purposes in the 2020-21 academic year, the **2020 Higher Education Students Early Statistics (HESES20) survey**.<sup>2</sup>
  - b. For a provider that does not have students registered with them on courses recognised for OfS funding purposes in the 2020-21 academic year, the **Higher Education Students Forecast 2021-22 (HESF21) survey**.
2. This document, together with its annexes, describes the HESES20 survey and the funding rules and definitions that apply in completing it. Providers completing HESF21 should also refer to the HESES20 funding rules and definitions when completing that survey. Figure 1 can be used to identify which survey a provider should complete.

**Figure 1: Which funding data survey should an Approved (fee cap) provider complete?**



<sup>2</sup> On 30 July 2020, the OfS issued updated guidance on our approach to regulation in response to the coronavirus pandemic, including information about deadlines for data returns. See [www.officeforstudents.org.uk/publications/update-on-the-office-for-students-approach-to-regulation-and-information-about-deadlines-for-data-returns/](http://www.officeforstudents.org.uk/publications/update-on-the-office-for-students-approach-to-regulation-and-information-about-deadlines-for-data-returns/) for further information.

3. The data provided in the HESES20 survey will:

- give an early indication, for purposes including government planning, of the number of higher education students studying in the academic year 2020-21
- together with data supplied to the Higher Education Statistics Agency (HESA) and to the Education and Skills Funding Agency (ESFA), inform the allocation of teaching funds for the academic year 2021-22.

4. Information on how HESES data informs funding allocations can be found in our ‘Guide to funding 2020-21: How the Office for Students allocates money to higher education providers’ (OfS 2020.23).<sup>3</sup>

## Timetable of events and action required

5. HESES20 workbooks will be available to providers in October 2020. Providers must ensure that they complete and submit their workbooks on time. The timetable for HESES20 and expected for the 2021-22 funding round is summarised in the figure below. **Actions for providers are in bold.**

**Figure 2: Timetable for HESES20 and expected for the 2021-22 funding round**

Date	Action
September and October 2020	HESES20 webinars held and online training material released. <sup>4</sup>
Late October 2020	HESES20 workbook will be available to download from the OfS portal. This workbook will contain the 2019-20 HESA or ILR data from the data submission tool (where available).
1 November 2020	HESES20 census date for further education and sixth form colleges and academies.
<b>12 November 2020</b>	<b>HESES20 submission deadline for further education and sixth form colleges and academies. A valid HESES20 workbook must be submitted through the OfS portal by noon.</b>
From November 2020	Data verification phase, using our credibility checks and data comparisons, begins. Student data contacts are asked to verify, and answer any questions about, the data. This may involve several rounds of queries.
1 December 2020	HESES20 census date for all other providers.
<b>10 December 2020</b>	<b>HESES20 submission deadline for all other providers. A valid HESES20 workbook must be submitted through the OfS portal by noon.</b>

<sup>3</sup> See [www.officeforstudents.org.uk/publications/guide-to-funding-2020-21/](http://www.officeforstudents.org.uk/publications/guide-to-funding-2020-21/).

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

Date	Action
2 February 2021	<b>Sign-off deadline for all providers. Final HESES20 data must be signed off as correct by the provider's accountable officer as at the census date.<sup>5</sup></b>
February 2021	<b>HESES evaluation. We will contact you after your data has been signed off and ask you to complete an evaluation survey.</b> We will use this to evaluate the effectiveness of the HESES20 process and make improvements for the following year.
March 2021	Terms and conditions of funding for 2021-22 confirmed to providers.
March 2021	Capital grant allocations for 2021-22 released to providers.
May 2021	Recurrent grant allocations for 2021-22 released to providers.
May 2021	Confirmation of process and deadlines for providers to request transfers of provision and other data amendments.
Autumn 2021	Providers notified of any amendments to recurrent and capital grant allocations for 2021-22.

6. 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>6</sup>
7. As set out in our 'Terms and conditions of funding for 2020-21',<sup>7</sup> if the OfS finds (whether through data reconciliations, data audit or any other means) that erroneous data has resulted in providers receiving incorrect funding or student number allocations, then we will adjust these accordingly – subject to the availability of funds. Where data error has resulted in a funding allocation being too high, we will recover the excess funding from the provider for any year informed by the audited or reconciled data (including any consequential effects on funding for subsequent years) unless there is evidence that a provider has deliberately not complied with the funding rules or has ignored previous Higher Education Funding Council for England (HEFCE) or OfS advice and recommendations. In these exceptional circumstances, the OfS may recover funding that relates to a longer period, up to a maximum of seven years (including in relation to years when funding was provided by HEFCE). A provider must repay any funding that is identified as having been overpaid as a result of such recalculations.
8. If data or information has not been provided, or the OfS considers that it is incomplete, incorrect or otherwise not of a satisfactory quality, then the OfS may, at its sole discretion, use its own assumptions or estimates about the relevant data or information for the provider to determine its eligibility for, and level of, funding. This may include assuming that the provider

<sup>5</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>6</sup> See [www.officeforstudents.org.uk/data-and-analysis/amendments-to-data/](http://www.officeforstudents.org.uk/data-and-analysis/amendments-to-data/).

<sup>7</sup> See [www.officeforstudents.org.uk/publications/terms-and-conditions-of-funding-for-2020-21/](http://www.officeforstudents.org.uk/publications/terms-and-conditions-of-funding-for-2020-21/).

has no eligible activity to count towards the allocation of a particular element of funding and thus that no such funding should be provided to it.

## Summary of changes and clarifications since HESES19

9. Those completing HESES20 who previously completed HESES19 should note the following changes and updates that have been made for HESES20. The main changes were set out in 'Data collection to inform funding for 2021-22' (OfS 2020.38).<sup>8</sup>

### Changes to tables in the survey workbook

10. Tables 6a, 6b and 6c allow us to identify the cohorts of students on certain undergraduate and postgraduate courses that on successful completion lead to first registration as a professional in nursing, midwifery and certain allied health professions (pre-registration courses) and that we will count towards calculations of our funding allocations. For HESES20, we are simplifying Tables 6a, 6b and 6c to identify years of instance for Home and EU students in each profession, broken down between OfS-fundable and non-fundable categories. We no longer require separate identification of these according to the year they started their courses. For planning purposes, these tables will still separately identify all Home and EU years of instance, both fundable and non-fundable, for students who start in 2020-21.
11. In HESES20, we are including a table (Table 7 Location) to collect information about the teaching location of OfS-fundable students. (Previously, when required, this data has been collected in a separate workbook). **This will only need to be completed by providers that have not completed HESES or HESF in previous years and will be hidden for all other providers.** Data recorded in this table will allow us to calculate any location-based funding allocations.

### Annex C

12. We have updated the guidance on years of instance to clarify that, where students are undertaking an initial qualification and then immediately progress onto a second qualification at the same broad level, these are both considered for HESES purposes to be part of the same instance. As such we would expect providers to count students only once in a HESES return for all activity within the relevant year of instance.

### Annex D

13. We have clarified the guidance on non-completions to confirm that the coronavirus pandemic is considered an exceptional circumstance and, as set out in the guidance, we would therefore

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<sup>8</sup> See [www.officeforstudents.org.uk/publications/data-collection-to-inform-funding-for-2021-22/](http://www.officeforstudents.org.uk/publications/data-collection-to-inform-funding-for-2021-22/).

not expect providers to use data on non-completions from 2019-20 in making estimates for HESES.

## Annex F

14. We have noted in the guidance that the definition of eligible students in Schedule 1 of the Education (Fees and Awards) (England) Regulations 2007, which we use to define 'Home and EU', has been updated to include:

- persons granted indefinite leave to remain as a victim of domestic violence or domestic abuse
- persons granted Calais leave.

## Annex L

15. We have updated the guidance to reflect that we are simplifying Tables 6a, 6b and 6c to identify years of instance for Home and EU students in each profession, broken down between OfS-fundable and non-fundable categories. As such, we no longer require separate identification of these according to the year they started their courses. For planning purposes, Tables 6a (full-time) and 6c (part-time) will still separately identify all Home and EU years of instance, both fundable and non-fundable, for students who start in 2020-21.

## Before completing your survey

16. 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 II. To accompany our HESES20 webinar series in the autumn, we released 'Completing the HESES20 workbook' as well as a number of online training materials, including a 'how to' video series, which are 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.
17. 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 2020. Please note that before you can access the workbook, the OfS portal user administrator at your provider will need to grant you access. Further information on how to use the portal and the role of the user administrator can be found in 'Completing the HESES20 workbook' (in particular in Appendix 1), which is available on the OfS website.<sup>10</sup>
18. When the survey workbooks are released, we will write to the 'student data contact' that your provider has nominated. 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.

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

<sup>10</sup> See [www.officeforstudents.org.uk/data-and-analysis/data-collection/heses/](http://www.officeforstudents.org.uk/data-and-analysis/data-collection/heses/).

## Notes on completing your survey

19. Figure 3 lists the tables in the HESES20 workbook.

**Figure 3: Tables in the HESES20 workbook**

Name of worksheet	Title or description	Action
Information	Workbook information.	Automatically filled
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
Courses	<b>Only visible to further education and sixth form colleges and academies.</b> Countable years of instance between 1 August 2020 and the census date at course level.	Provider to complete
1 Full-time	Full-time counts of years of instance.	Provider to complete
2 Sandwich	Sandwich year out counts of years of instance.	Provider to complete
3 Part-time	Part-time counts of years of instance and FTE.	Provider to complete
4 Year abroad	Home and EU undergraduate years abroad.	Provider to complete
5 Planning	Further student analysis for planning purposes.	Provider to complete
6a Health full-time	Full-time counts of years of instance on pre-registration health courses.	Provider to complete
6b Health sandwich	Sandwich year out counts of instance of course on pre-registration health courses.	Provider to complete
6c Health part-time	Part-time counts of years of instance and FTE on pre-registration health courses.	Provider to complete
7 Location	<b>Only to be completed by providers that have not completed HESES or HESF in previous years.</b> Teaching locations for students.	Provider to complete
Comparison tables	Tables in these worksheets summarise your HESES20 data and compare it with previous years (if available). You may be asked questions on large changes between years during data verification.	Automatically filled
Other comparisons	These tables are for information only and are not generally used during data verification. Tables in this worksheet summarise your HESES20 data and compare it with previous years (if available).	Automatically filled

Name of worksheet	Title or description	Action
A Summary B High-cost C NMAH supplement D Erasmus+ E Other high-cost TAs F Student access and success G Parameters	(Where visible) – Funding comparison tables.	Automatically filled

20. 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 2020-21, including a snapshot of your provision on the **census date** (see paragraph 5). This means that your HESES survey will include:

- a count of the students who have started their year of instance by the census date
- a forecast of the students you are expecting to start their year of instance after the census date.

21. When completing the workbook, you may see automatic highlighting of three types:

- a. Validation errors on Tables 1 to 7, highlighting where data is not correct. Any validation errors will need to be corrected before the workbook is ready to be submitted.
- b. Credibility warnings on Tables 1 to 6c, highlighting where data is possible, but appears unusual.
- c. Highlighting on Comparison worksheets 1 to 3. These worksheets contain tables that summarise your HESES20 data and compare it with data from previous years (where available). Any highlighting shows differences that are greater than might be expected.

## Submitting your survey

22. When you are satisfied that the survey is complete and accurate, you should upload it to the OfS portal. You have until the submission deadline to upload the workbook to the OfS portal.<sup>11</sup>

- a. The deadline is **noon on Thursday 12 November 2020** for further education and sixth form colleges and academies.
- b. The deadline is **noon on Thursday 10 December 2020** for all other providers.

Please note that the portal usually sees heavy traffic on the days leading up to the deadline and this can cause the upload process to take longer than usual.

23. Please note the following about the submission of HESES workbooks:

<sup>11</sup> Available at <https://extranet.officeforstudents.org.uk/data>.

- a. Although it is possible to upload your survey to the portal at any time, your final submission must be uploaded after the census date.
- b. It is possible to submit the workbook several times, but we will only keep and use the most recently uploaded version.
- c. In order not to breach data protection regulations, you must not email the HESES workbook. Please use the OfS portal.

## The data verification phase

24. 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
- identify any large or unexpected changes from previous years.

25. The data verification phase starts after the submission deadline and ends on the sign-off deadline (**Tuesday 2 February 2021** 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.

## Signing off your data

26. 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.

27. 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).

28. Under condition of registration F3 a provider must provide the OfS with such information as the OfS specifies at the time and in the manner and form specified. All providers registered in the Approved (fee cap) category that have students registered with them in 2020-21 on courses recognised for OfS funding purposes must submit a HESES20 return. 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.<sup>12</sup> Providers that do not submit credible data on time are more likely to be audited.

29. Providers themselves are responsible for the quality and accuracy of the data they submit to us and other bodies. We do not approve or agree their data submissions, but we monitor the reasonableness and credibility of data, including by comparing and reconciling different datasets and by carrying out audits. We will require providers to amend their data submissions, if we believe there are errors or inappropriate classifications which would significantly and

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<sup>12</sup> See paragraph 22 of 'Terms and Conditions of Funding for 2020-21' (OfS 2020.22), available at [www.officeforstudents.org.uk/publications/terms-and-conditions-of-funding-for-2020-21/](http://www.officeforstudents.org.uk/publications/terms-and-conditions-of-funding-for-2020-21/).

materially affect our use of the data. This may include requiring changes to how providers use subject classifications (whether LDCS or HECoS codes) and hence how students are assigned to price groups.

## After the data is signed off

30. Straight after the sign-off deadline, we will start to prepare HESES data for various uses, including the calculation of recurrent grant for 2021-22 (grant payments will be made only while, and in respect of periods during which, a provider meets all eligibility requirements for them, including that it is in the Approved (fee cap) category on the OfS's register). We will publish the HESES data for all registered providers as part of an official statistic.<sup>13</sup>
31. Shortly after the data verification phase has ended, we will contact you for feedback on the HESES process through an online survey. This feedback helps us to evaluate the effectiveness of the HESES process and will guide any improvements that we may consider for future data collection.

## Audit trail

32. 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.
33. 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.
34. 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.

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<sup>13</sup> For the OfS official statistics release schedule, see [www.officeforstudents.org.uk/data-and-analysis/producing-statistics/](http://www.officeforstudents.org.uk/data-and-analysis/producing-statistics/).

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

The annexes in Part II define the student population covered by the HESES return and give guidance on what is 'countable' in HESES20, as well as providing information on the rules and definitions that are needed to complete the survey correctly.

## Annex A: Defining the HESES student population

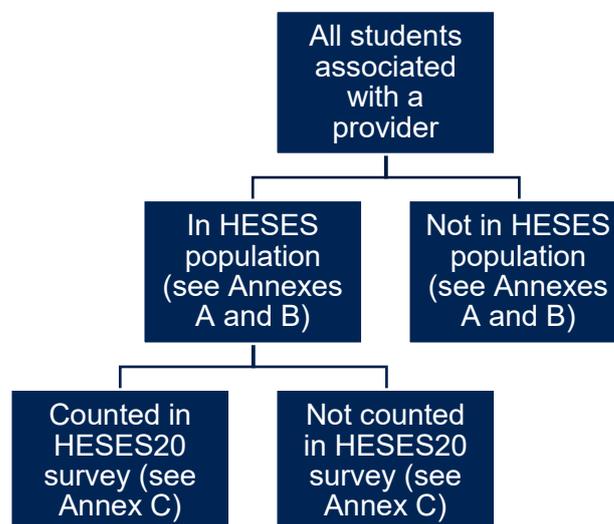
This annex defines an ‘instance’ and explains which student instances should and should not be included in the HESES population. It also explains how to treat provision delivered through subcontractual arrangements.

### Annex A contents

#### Definitions

- The HESES population for 2020-21
- Who is in the HESES population for 2020-21?
- Subcontractual arrangements

#### Good practice



### Definitions

#### The HESES population for 2020-21

1. HESES20 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, according to the definition in Annex B, rather than any wider purpose.
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; subsequent years start on or near the anniversary of this date (allowing for minor variations in term dates).
  - c. ‘Provider’ means a ‘higher education provider’ as defined in Section 83 of the Higher Education Research Act (HERA).
  - d. ‘The appropriate student record’ means the student record or the student alternative record submitted to the Higher Education Statistics Agency (HESA), or the Individualised Learner Record (ILR) submitted to the Education and Skills Funding Agency (ESFA).

## Annex A: Defining the HESES student population

- 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.
- f. The 'provider with which a student is registered' (for both HESES purposes and the appropriate 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. This applies whether the provider provides all the teaching for the course or subcontracts out some or all of that teaching to another body.
    - 1) Where fee payments from the Student Loans Company are concerned, this will also be the provider that collects the student course fee.
    - 2) Where payments from the ESFA for apprenticeships are concerned, this will also be the provider that is paid by the ESFA.
  - 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 course 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 Master Degree scheme should be registered with and reported by the provider with which they initially start the course.
- g. 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.
- h. A 'recognised higher education qualification or higher education level credit' is defined in Annex B.

### Who is in the HESES population for 2020-21?

3. Instances meeting **all** the following criteria should be included in the HESES population:
  - a. A year of instance, in which the student is registered and actively pursuing studies with the provider, begins within the academic year (1 August 2020 to 31 July 2021). 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 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 2020-21, 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.
  - b. The instance has a course aim of a higher education qualification recognised for OfS funding purposes, 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 (NVQ), but includes instances which lead to both a recognised higher education qualification and an NVQ.
  - 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.

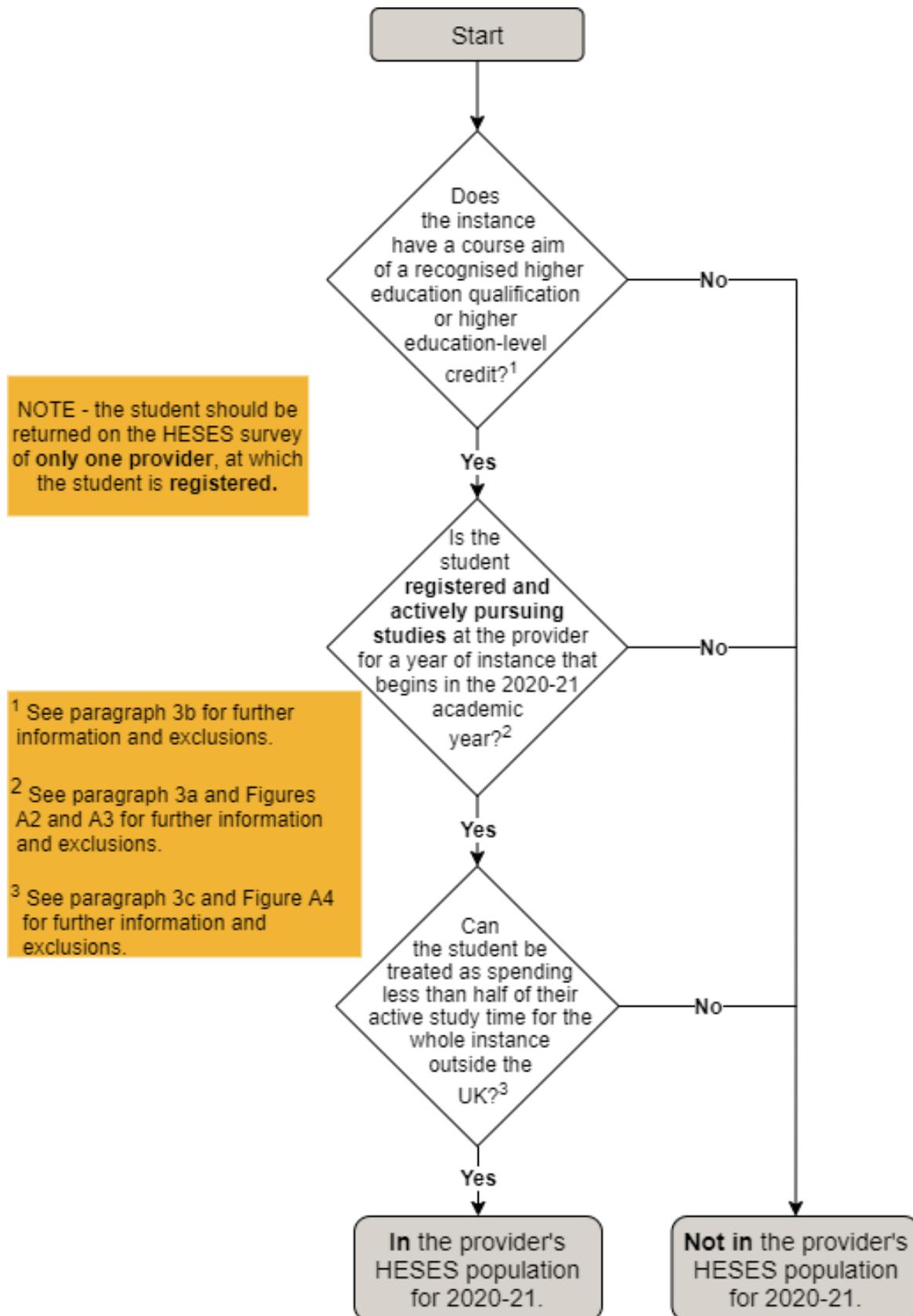
## Annex A: Defining the HESES student population

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

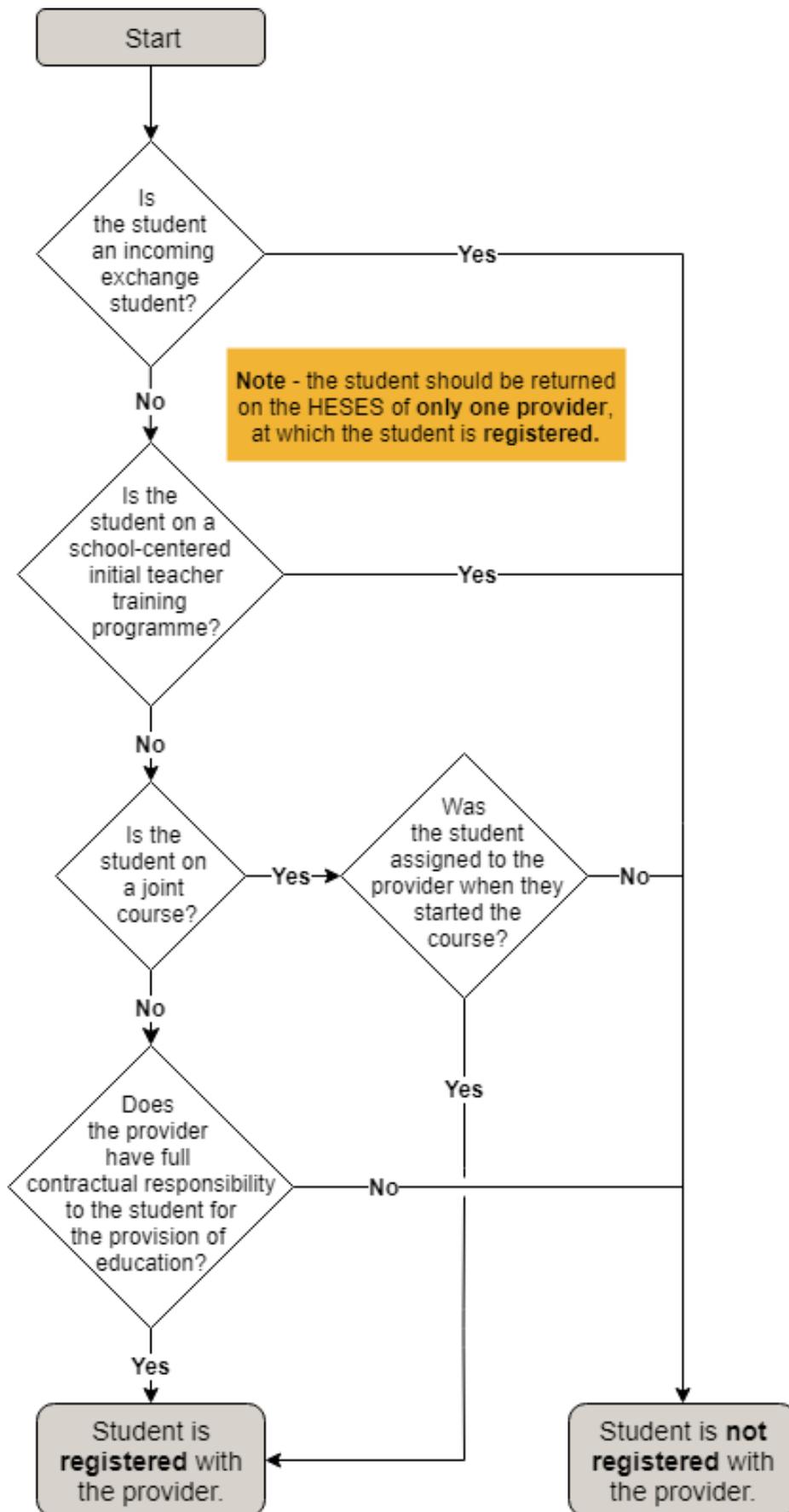
Instances for sandwich students working abroad and students on a study year abroad as part of an exchange should normally be included in the HESES population, because the year abroad will not constitute most of the instance.

4. All instances included in the HESES population must be included in the provider's HESA student or HESA student alternative record, or ILR even if this is not normally compulsory under the coverage of the record.
5. Students who are in the HESES population must have a HESA student, HESA student alternative or ILR record returned for 2020-21 even if they do not generate a countable year in HESES20.
  - a. Incoming exchange students should be recorded in the HESA student record using the EXCHANGE field, using codes '4', 'G' or 'Z', and on the HESA student alternative record using the EXCHIND field, using code '1'.
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 a Master of Research (MRes) qualification. 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 is included in the HESES population for 2020-21.

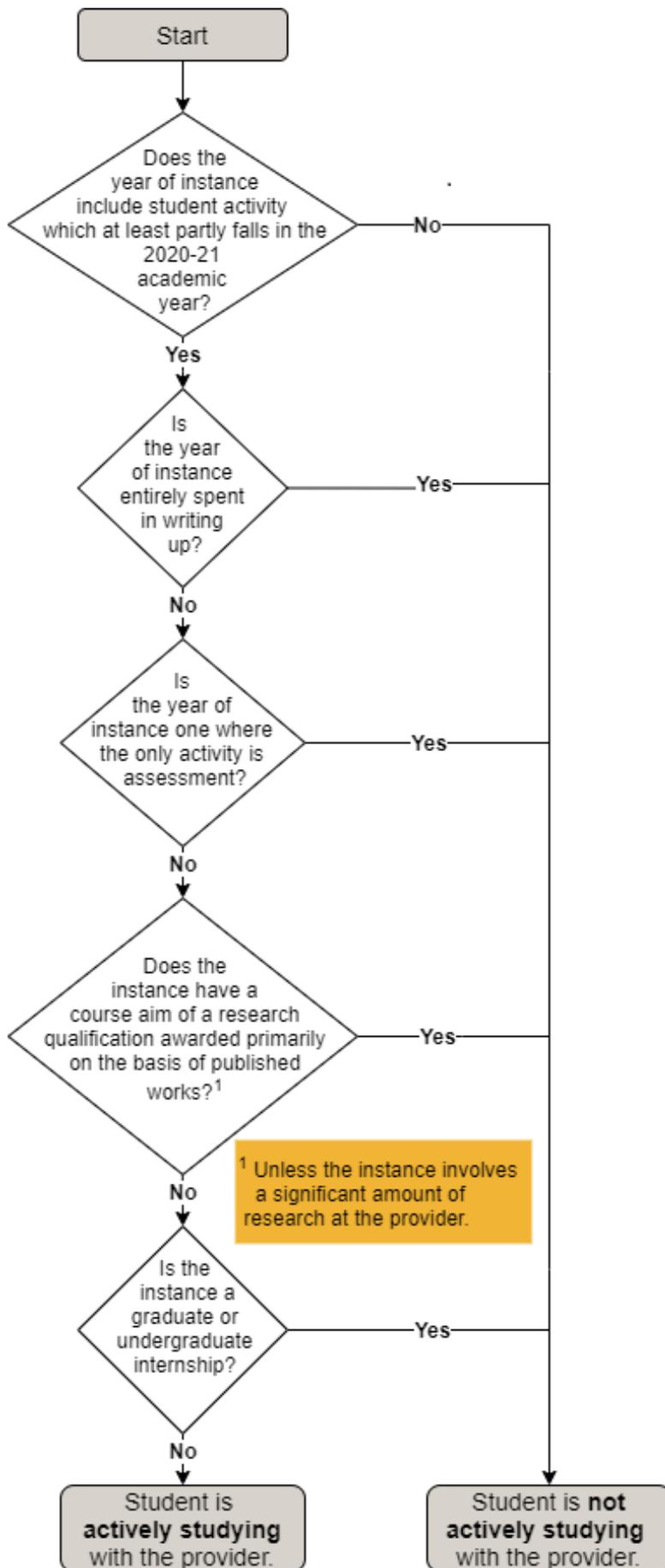
**Figure A1: Determining the HESES population for 2020-21**



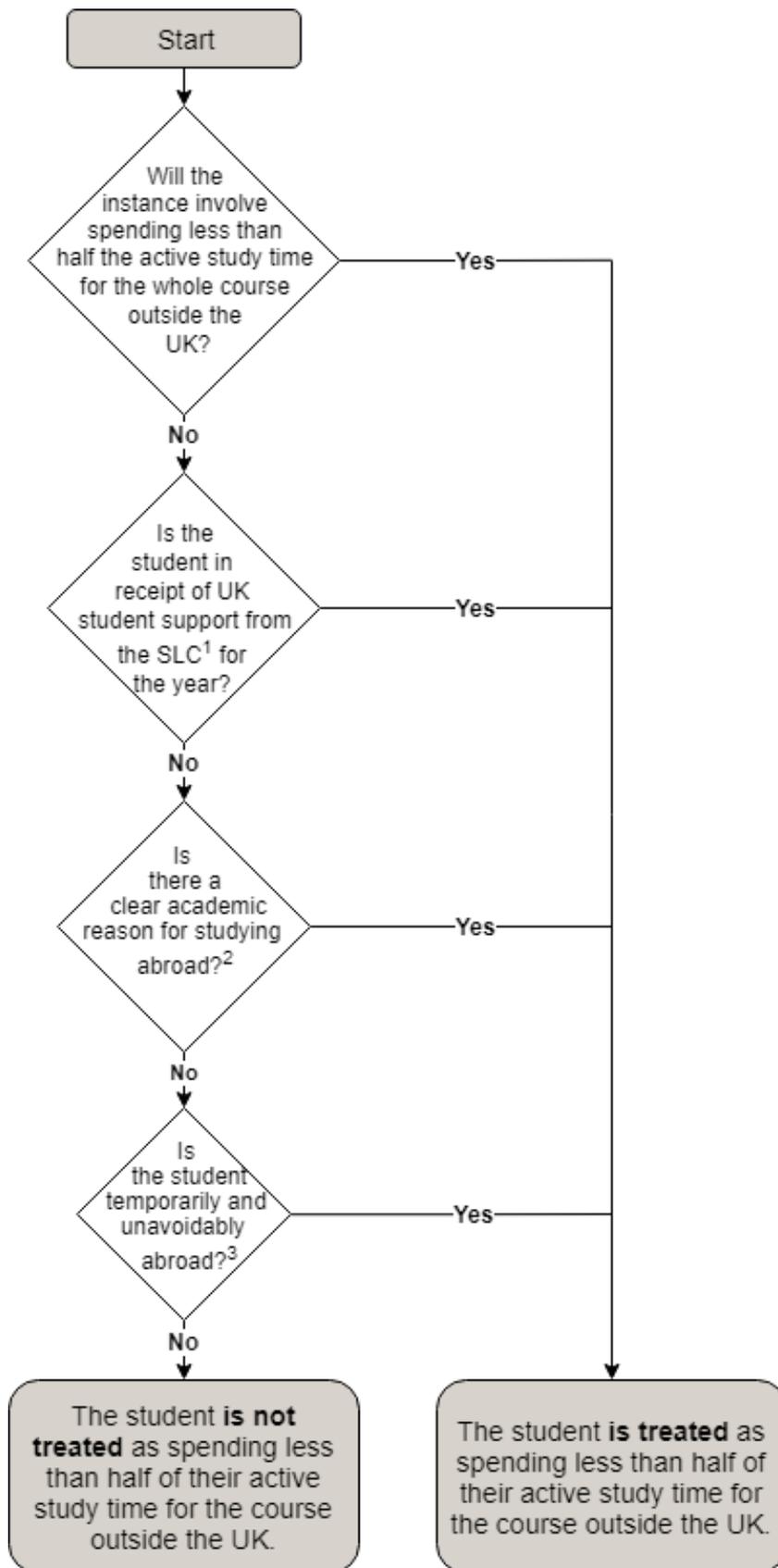
**Figure A2: Determining whether a student is registered with a provider**



**Figure A3: Determining whether a student is actively studying with a provider for a given year of instance**



**Figure A4: Instances involving study time abroad**



<sup>1</sup> SLC = Student Loans Company  
<sup>2</sup> Even where such a reason exists, we must specifically sanction the course as eligible.  
<sup>3</sup> The student must remain liable to UK tax on their earnings, or be a dependant of such a person. This includes members of HM Forces and their dependants.

## Partnerships between providers

8. Our regulatory framework provides guidance on the definitions of validation and subcontractual arrangements:<sup>14</sup>
  - a. A **validation arrangement** applies to a course (module or programme) which a degree awarding body approves to contribute to, or lead to, 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.
9. Under an **apprenticeship**, the provider with whom a student is registered is the one that is in receipt of payments for the apprenticeship from the ESFA (see paragraph 2.f. of this annex). That provider is responsible for reporting all activity undertaken as part of the apprenticeship on the appropriate student record (this may include on returns by the provider both to the ESFA and HESA) and, where the activity is towards a qualification recognised for OfS funding purposes, on HESES. If other providers also deliver training as part of the apprenticeship, they are treated (for both HESES purposes and the appropriate student record) as doing so under a subcontractual arrangement: they should not include the student in their own data returns. This applies irrespective of whether those other providers have their own degree awarding powers and are delivering their own qualifications as part of the apprenticeship. Where the provider responsible for reporting activity as part of an apprenticeship is not registered with the OfS in the Approved (fee cap) category, then students will not be included in any HESES return.
10. While the nature of any partnership arrangement (including for joint courses, as defined in paragraph 2 of this annex) is for providers to decide, we would consider this to be determined by the details of the contract between the relevant providers.
11. A course is considered to be part of a subcontractual arrangement if:
  - 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.

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<sup>14</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/).

## Annex A: Defining the HESES student population

- 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 2.f. of this annex).
  - c. The fee or fee loan (or in the case of an apprenticeship, payment from the ESFA) 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.
12. Providers should be clear on the nature of any partnership agreements and to ensure that this is communicated to students.
13. 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>15</sup>
14. It is the responsibility of the registering provider to ensure the quality of all the data it returns, including that relating to activity at its subcontractors.

### Good practice

15. 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 changes to students' study, including withdrawing. This may require clear protocols among partner providers regarding the exchange of information.
16. The different roles of each partner in collecting and managing data will vary. The principle applied at audit is that student data should be managed with equal professionalism at all partner providers. When entering into subcontractual arrangements, the systems in operation and the exchange of information should form part of the negotiations and final agreement.
17. It is important that students are returned on the HESES survey and the appropriate 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 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.
18. 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

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<sup>15</sup> See <https://qualifications.pearson.com/en/support/support-topics/understanding-our-qualifications/policies-for-centres-learners-and-employees.html>.

## Annex A: Defining the HESES student population

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.

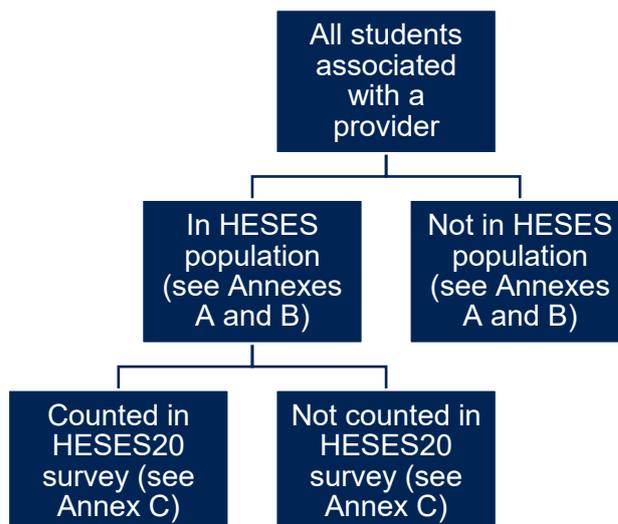
## Annex B: Recognised higher education for OfS funding purposes

This annex defines the recognised higher education courses which students must be studying if they are to be included in HESES20. 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
  - Learning aims and learning aims search
  - Professional (or similar) qualifications
  - Foundation years ('Year 0')
- Recognised higher education provided as part of an apprenticeship



#### Definitions

#### Recognised higher education for OfS funding purposes

1. To be included in the HESES population and therefore potentially counted in HESES, an instance must be for a course that meets our definition of recognised higher education for Office for Students (OfS) funding purposes. That is:
  - a. A course that is designated under the Education (Student Support) Regulations 2011.<sup>16</sup>
  - b. A 'course of higher education' as defined in Schedule 6 of the Education Reform Act 1988, other than one leading to a qualification in the Register of Regulated Qualifications.<sup>17 18</sup>
2. Study for higher education-level credit (rather than towards a specific qualification) may be included if it meets the criteria in Schedule 6 of the Education Reform Act 1988 and **either**:
  - it is not credit that may count only towards a qualification in the Register of Regulated Qualifications

<sup>16</sup> The regulations are available at: <https://www.legislation.gov.uk/uksi/2011/1986/contents>, but this does not incorporate all amendments in recent years. There have been a large number of amendments included in statutory instruments listed at: <https://www.legislation.gov.uk/all?text=2011%2F1986>.

<sup>17</sup> See <https://www.legislation.gov.uk/ukpga/1988/40/schedule/6>.

<sup>18</sup> See <https://register.ofqual.gov.uk/>.

- it is credit that may count towards a course that is designated under the Education (Student Support) Regulations 2011.
3. 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.

### Learning aims and the learning aims search

4. The Education and Skills Funding Agency (ESFA) provides a ‘Find a learning aim’ service.<sup>19</sup> This returns the awarding body and qualification type for a given learning aim. Information regarding how to request or modify a learning aim on the ESFA’s learning aims database is available.<sup>20</sup> Colleges should also email [heses@officeforstudents.org.uk](mailto:heses@officeforstudents.org.uk) as soon as possible (preferably as soon as the course has been added to the ESFA’s learning aims database), providing the learning aim reference, learning aim title, awarding body and learning aim type **as displayed on the ESFA’s learning aims database**, together with the suggested amendments. This will allow us to determine how the course should be returned in HESES20.

### Professional (or similar) qualifications

5. Courses leading to professional or similar qualifications will not normally be recognised for OfS funding purposes, because they are likely to be on the Register of Regulated Qualifications and not eligible for student support. However, if these courses also meet the definition given in paragraph 1 of this annex, they will be recognised.

### Foundation years (‘Year 0’)

6. Instances for foundation years, access provision and other provision commonly referred to as ‘Year 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.
7. Free-standing foundation years and other free-standing Year 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 only be treated as integrated – and therefore within the HESES population – if it is done under a subcontractual arrangement from the provider offering the recognised higher education course.

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<sup>19</sup> See <https://findlearningaimbeta.fasst.org.uk/>.

<sup>20</sup> See [www.officeforstudents.org.uk/data-and-analysis/supplying-data/request-or-modify-a-learning-aim/](http://www.officeforstudents.org.uk/data-and-analysis/supplying-data/request-or-modify-a-learning-aim/).

## Recognised higher education provided as part of an apprenticeship

8. Apprenticeships are programmes of study in which an apprentice is employed for a minimum of 30 hours a week while studying towards qualifications.<sup>21</sup> They can be studied at several specific levels, including degree apprenticeships where apprentices study towards an undergraduate or postgraduate degree qualification.
9. Although apprenticeships are funded from a variety of sources, including the ESFA, this does not in itself affect whether years of instance taken as part of an apprenticeship are included in HESES20, 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 are eligible for inclusion in HESES20 and may be reported as OfS-fundable, subject to meeting the criteria in Annex F, in the same way as non-apprenticeship courses.
10. The OfS funds providers where such years of instance meet the criteria for particular grants. 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 course fees or student support.
11. 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 in HESES. This means that a student who has commenced an apprenticeship, but is not undertaking the recognised higher education part of that apprenticeship during the year of instance, should not be included. 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.
12. 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).<sup>22</sup>
13. Where higher education providers (or their 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 the study as follows:
  - a. For further education and sixth form colleges that are lead providers, the higher education and any other element of the apprenticeship should be returned directly to the ESFA as separate components of the same instance in the Individualised Learner Record (ILR).

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<sup>21</sup> Temporary flexibilities to the apprenticeship programme during the coronavirus outbreak are set out in the latest guidance at <https://www.gov.uk/government/publications/coronavirus-covid-19-apprenticeship-programme-response/coronavirus-covid-19-guidance-for-apprentices-employers-training-providers-end-point-assessment-organisations-and-external-quality-assurance-pro>.

<sup>22</sup> If the lead provider of an apprenticeship is not registered with the OfS in the Approved (fee cap) category then these students will not be reported in any provider's HESES return, and no OfS funding will be provided.

b. For other lead providers:

- i. The higher education element of the apprenticeship should be returned in either the Higher Education Statistics Agency (HESA) student or HESA student alternative record as appropriate

and

- ii. All elements of the apprenticeship (including the higher education element) should be returned directly to the ESFA as separate components of the same instance in the ILR.

## Annex C: Counting student activity

This annex gives the definition of a year of instance and explains how to count them in HESES20. This includes the criteria for counting a year of instance in HESES20, the definitions of standard and nonstandard years of instance, flowcharts 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

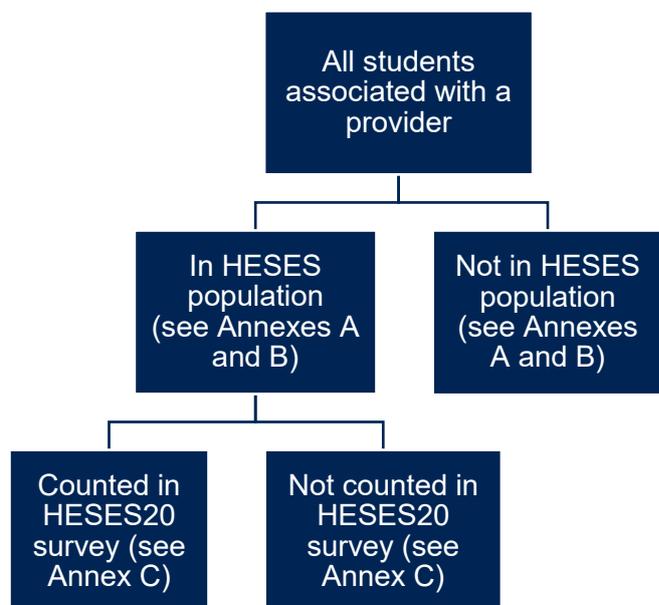
- Year of instance
  - Further notes on years of instance
- Counting years of instance

#### Guidance

- How to count years of instance
  - Students who withdraw before the census date
  - Standard and nonstandard years
- New entrants
  - Starters by year on Tables 6a, 6b and 6c
- Assigning modules to years 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

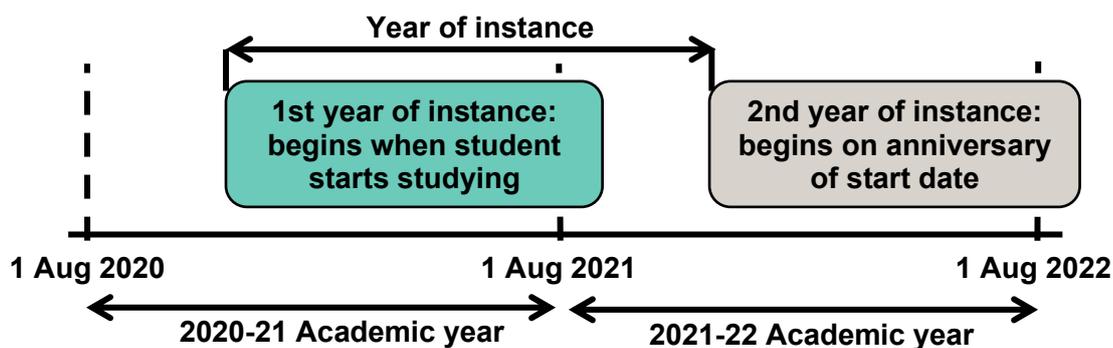


## Definitions

### Year of instance

1. Annex A paragraph 2.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; 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. 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 appropriate student record (HESA student or HESA student alternative) as explained in paragraphs 31-34 of this annex. A separate record should be included in the ILR for foundation degree bridging courses as described in paragraph 35 of this annex.
4. Where a student undertakes an initial qualification then immediately progresses (disregarding any intervening vacation) to a second qualification at the same broad level, (undergraduate or postgraduate taught), for HESES purposes these are considered both part of the same instance and are not considered independent. We would therefore usually expect the student to be counted only once in a HESES return for all activity within the relevant year of instance. Thus, a student studying towards a foundation degree who will progress within the year of instance to topping up to a degree, or a student taking an HNC who will progress within the year of instance to topping up to an HND, should be returned only once in the relevant HESES. Where such students are studying part-time, we would expect the FTE returned to reflect the activity in the year of instance towards both learning aims. For all such years of instance, whether full-time or part-time, we would not expect the total FTE to exceed one.

5. 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 identifiers on the Higher Education Statistics Agency (HESA) student record and HESA student alternative record, and to different learning aims on the Individualised Learner Record (ILR). Guidance on when separate instances should be generated for HESA student<sup>23</sup> and HESA student alternative<sup>24</sup> is available. Further education and sixth form colleges and academies are advised to consult this guidance for further details on when two separate instances should be recorded in HESES for students progressing between qualifications.

### **Withdrawal from an instance**

6. For the purposes of HESES, a student has withdrawn from their instance if they leave before its completion and do not have an intention to return and continue it. Students who suspend studies should not be treated as having withdrawn.

## **Guidance**

### **Counting years of instance**

7. To be counted, years of instance must be generated by a student in the HESES population for 2020-21, 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. 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.
  - 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

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<sup>23</sup> See guidance on understanding student continuity at [www.hesa.ac.uk/collection/c20051/uhn/](http://www.hesa.ac.uk/collection/c20051/uhn/).

<sup>24</sup> See guidance on understanding student continuity at [www.hesa.ac.uk/collection/c20054/uhn/](http://www.hesa.ac.uk/collection/c20054/uhn/).

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.

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

8. To be counted in HESES20, a student's year of instance must start in the 2020-21 academic year (1 August 2020 to 31 July 2021). The start date for the year of instance is the date when the student first started studying towards the qualification, or its anniversary. This is compared with the HESES20 census date, which is 1 November 2020 for further education and sixth form colleges and academies, and 1 December 2020 for all other providers:

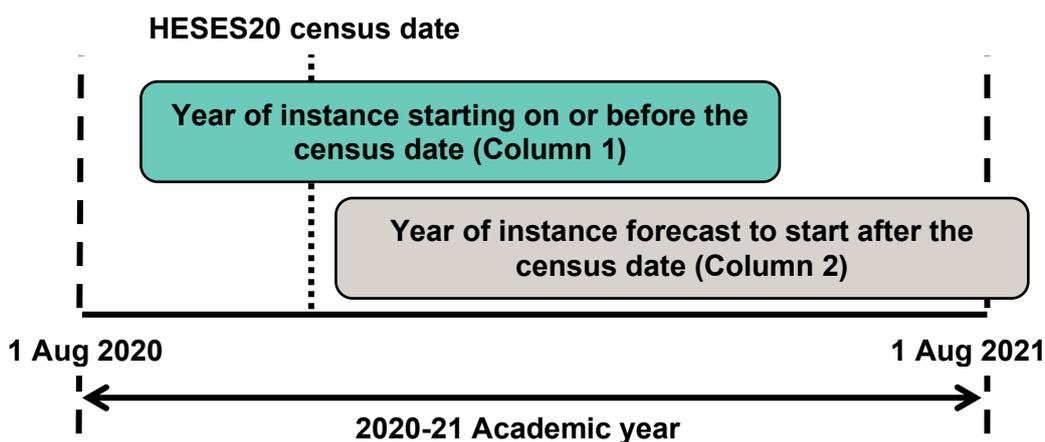
- a. If a year of instance starts **on or before the census date** (between 1 August 2020 and 1 November 2020 inclusive for further education and sixth form colleges and academies, and between 1 August 2020 and 1 December 2020 inclusive for all other providers) then that year of instance is recorded in **Column 1** of Tables 1, 2, 3, 5 and 6.

For further education and sixth form colleges and academies, Column 1 of Tables 1, 2, 3 and 5 will be automatically populated by years of instance added to the courses table.

- b. If a year of instance starts **after the census date** (between 2 November 2020 and 31 July 2021 inclusive for further education and sixth form colleges and academies, and between 2 December 2020 and 31 July 2021 inclusive for all other providers) then that year of instance is recorded in **Column 2** of Tables 1, 2, 3, 5 and 6.

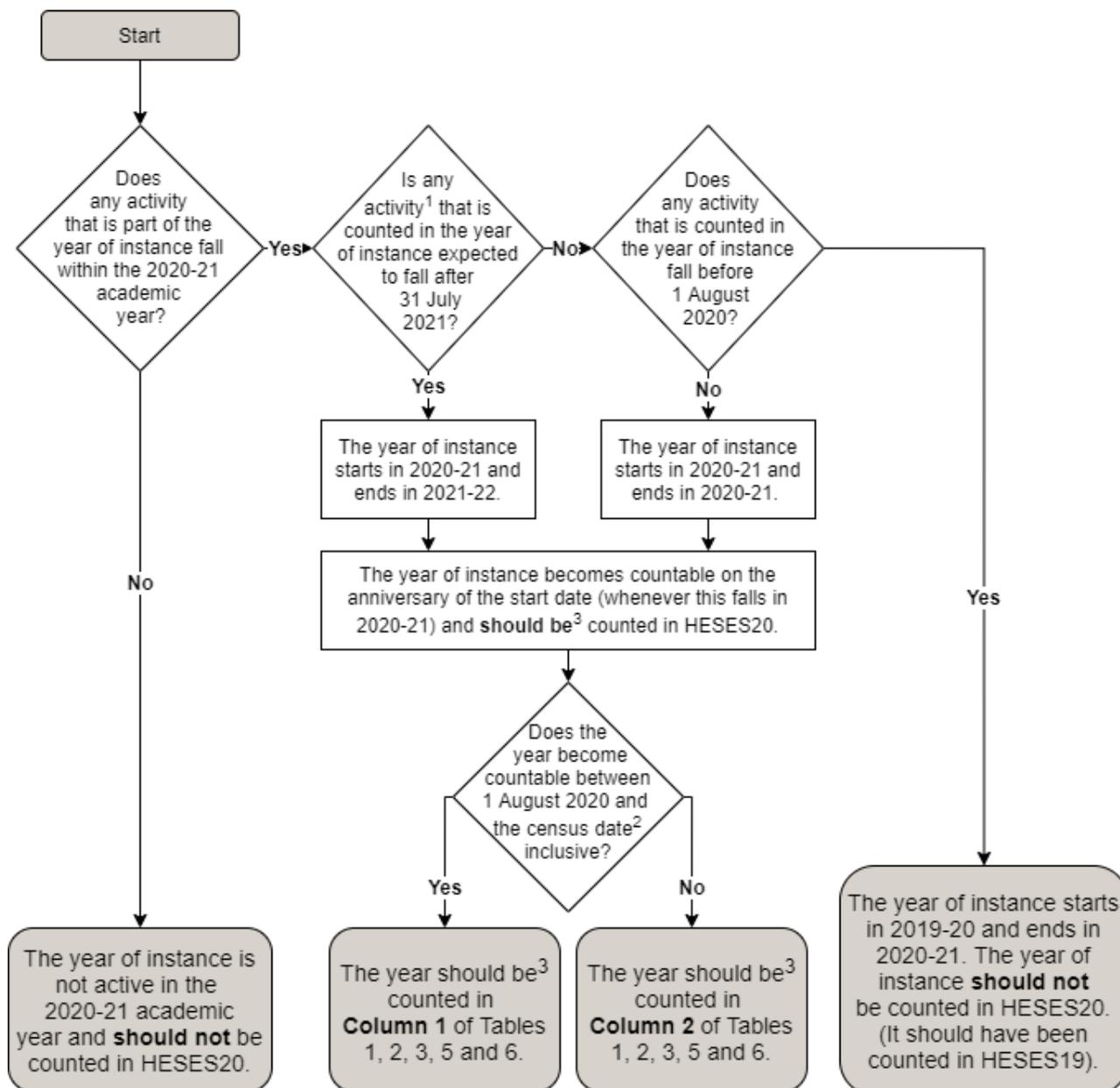
Figure C2 illustrates this concept.

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



- 9. The flowchart in Figure C3 can be used to determine whether the year of instance should be counted in HESES20 and, if so, whether it should be returned in Column 1 or 2 of Tables 1, 2, 3, 5 and 6.

**Figure C3: How to determine whether a year of instance should be returned in HESES20 and whether in Column 1 or 2 in Tables 1, 2, 3, 5 and 6**



<sup>1</sup> For this purpose, periods of work experience that would cause the year of instance to span academic years should be ignored.  
<sup>2</sup> The census date is 1 November 2020 for further education and sixth-form colleges and academies, and 1 December 2020 for all other providers.  
<sup>3</sup> Subject to meeting the other conditions to be counted in HESES20.

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, 5 and 6 in the HESES20 return. However, if there is evidence of activity, students should be included in Column 1 of HESES20 Tables 1, 2 or 3 and Table 5, and where appropriate Table 6. 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 the census date 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).
- 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.

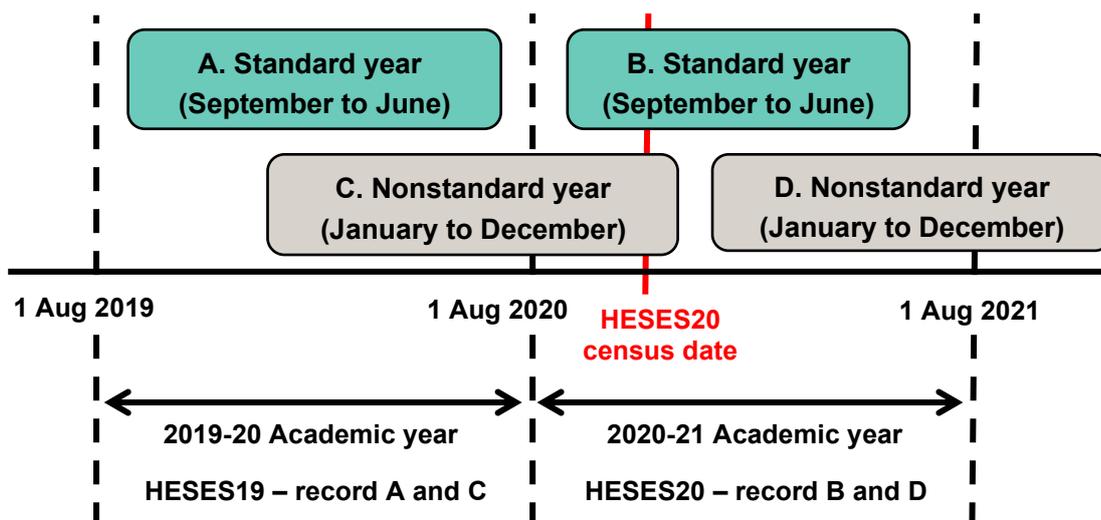
13. In both standard and nonstandard years, **students become countable at the start of each year of instance**. The FTE returned should be the FTE for the whole year of instance (see Annex E for further details):

- 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 HESES20:

- a. Year of instance A is a standard year that was completely within the 2019-20 academic year, and should have been recorded in HESES19.
- b. Year of instance B is a standard year that starts before the census date in the 2020-21 academic year and is recorded in Column 1 of HESES20 Tables 1, 2 or 3 and Table 5, and where appropriate Table 6 and/or Table 7.
- c. Year of instance C is a nonstandard year that spans the census date, but started in the 2019-20 academic year. It should have been recorded in HESES19.
- d. Year of instance D is a nonstandard year that starts after the census date in the 2020-21 academic year and is recorded in Column 2 of HESES20 Tables 1, 2 or 3 and Table 5, and where appropriate Table 6 and/or Table 7.

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



### New entrants

15. For Table 5, 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.

### Recording starters on Tables 6a, 6b and 6c

18. In general, starters on Tables 6a, 6b and 6c are students starting study for the first time on a relevant pre-registration nursing, midwifery or allied health profession course in a specific academic year. Please note:

- a. Students who transfer during an academic year onto a pre-registration nursing, midwifery or allied health profession course from one that is not should be treated as a starter in the year in which they transfer onto the pre-registration course.
- b. Students who transfer between different types of pre-registration nursing, midwifery or allied health profession course should be recorded against the profession that applies to their current course. They should be treated as a starter in the year that their previous course started.

- c. Students repeating the first year of a pre-registration nursing, midwifery or allied health profession course should be treated as starters in the year they started the course, and not when they repeated the first year.

19. Students classified as starters in 2020-21 will not necessarily be new entrants on Table 5, though the two populations will overlap significantly.

### **Assigning modules to years of instance**

20. 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 student field values, such as FUNDCOMP, LOADYRA, and FUNDLEV.

21. The flowchart in Figure C5 can be used to determine which year of instance a module should be assigned to.

### **HESA student record notes**

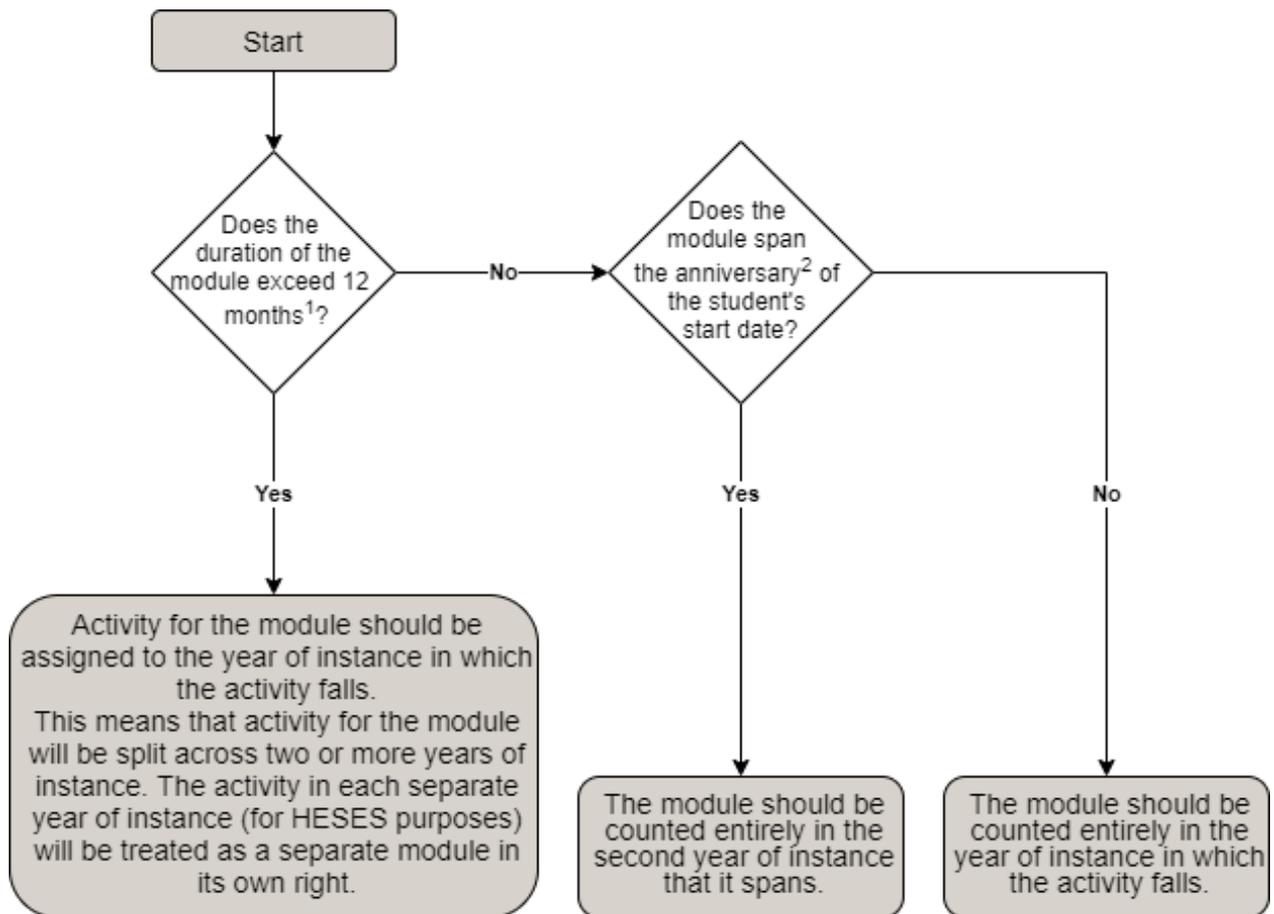
22. Data returned on the HESA student record mainly relates to the HESA reporting year and is not separated across years of instance. To allow providers to return accurate data on activity within years of instance, the HESA student record includes three fields: INSTAPP, LOADYRA and LOADYRB. The last two fields are optional.

23. 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 HESES comparison algorithms for 2019-20 are shown in the document 'HESES19 comparison technical document'.<sup>25</sup> Due to the coronavirus pandemic and HESA's exceptional guidance for 2019-20,<sup>26</sup> these algorithms do not rely on the accurate recording of FUNDCOMP. The algorithms for recreating HESES20 from 2020-21 HESA student data may differ and will be confirmed in due course. Providers should, where possible, avoid making an approximation of activity for the year of instance in completing HESES.

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<sup>25</sup> See [www.officeforstudents.org.uk/data-and-analysis/data-checking-tools/2019-20-hesa-student-data-checking-tool/](http://www.officeforstudents.org.uk/data-and-analysis/data-checking-tools/2019-20-hesa-student-data-checking-tool/).

<sup>26</sup> See <https://www.hesa.ac.uk/definitions/student-collection/c19051-student-record-exceptional-guidance>.

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

<sup>1</sup> Paragraph 1 refers to years of instance 'starting on or near the anniversary of the start date'. The broad reference to '12 months' should reflect this.

<sup>2</sup> This is the 2020-21 anniversary of the student's start date. Thus, if the student started their studies on 11 February 2020, the anniversary would be 11 February 2021.

## Summer schools

24. 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

25. These are intended for prospective 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

26. In some cases, providers offer short preparatory or access courses for individual students to facilitate progression to an initial higher education course. They are taken immediately before the start of the higher education course. Where such provision is an integrated part of a recognised higher education course for OfS funding purposes, the students are included in the HESES population: see Annex B paragraphs 6 and 7 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.

27. 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**

28. 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.

29. Such short periods of study should be returned on the HESA student, HESA student alternative record, or ILR in the same way that 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 degrees and bridging courses**

30. 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**

31. 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.

32. 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.

33. 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 whether 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.

34. Full guidance on how to return foundation degree bridging courses on the HESA student record is available at <http://www.hesa.ac.uk/collection/c20051/a/bridge>.

### ILR notes

35. Any foundation degree bridging courses should be returned as a separate record in the ILR with:

- a. Student load returned as 30 (Student Instance FTE = 030.0), except where the course spans two academic years, when the load should be proportionally split between them.
- b. Mode returned as part-time (Mode of Study = 03).
- c. A learning aim from the ESFA's learning aims search with a 'learning aim type' code of 6001, 'Foundation degree bridging course', and appropriate LDCS codes.<sup>27</sup> (It may be necessary to request a specific learning aim for the bridging course.)
- d. A separate Aim sequence number (AimSeqNumber).

### Examples

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

36. A full-time student starts a degree programme on 22 September 2020, with each year of course finishing at the end of June: each year is a standard year. The student becomes countable on 22 September 2020 and on or around the anniversary of this date each subsequent year.

37. As the first year of instance becomes countable between 1 August 2020 and the census date, it would be included in Column 1 of Table 1 in HESES20. Later years would similarly be returned in Column 1 of subsequent HESES returns.

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

38. A full-time student starts a Higher National Certificate programme on 8 December 2020, with all activity completed before the end of July 2021: therefore the year is a standard year.

39. The student becomes countable on 8 December 2020. As the year of instance becomes countable between the census date and 31 July 2021, it would be included in Column 2 of Table 1 in HESES20.

<sup>27</sup> See <https://findlearningaimbeta.fasst.org.uk/>.

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

40. A full-time student starts a three-year degree programme on 18 January 2021 with each year of the course finishing in December: each year is a nonstandard year. The student becomes countable on 18 January 2021 and on or around the anniversary of this date in each subsequent year.
41. As the first year of instance becomes countable between the census date and 31 July 2021, it would be included in Column 2 of Table 1 in HESES20. Later years would similarly be returned in Column 2 of subsequent HESES returns.

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

42. In January 2021, a full-time student begins the final year of a degree programme they started on 18 January 2019. Each year of the course runs from January to December: each year is a nonstandard year.
43. The student initially became countable on 18 January 2019, 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.
44. For HESES20, as the final year of instance becomes countable between the census date and 31 July 2021, the student would be included in Column 2 of Table 1 in HESES20, as they would have been in HESES19 and HESES18. All activity for this final year would be recorded in HESES20.
45. No activity for this year of instance would be recorded on HESES21 (for the period from August to the census date), as all the activity would have been returned on HESES20.

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

46. A full-time Higher National Diploma (HND) course starts on 10 October 2020 and runs from 10 October to 30 June each year. A student starts the HND programme late, on 10 January 2021, but intends to catch up with the rest of the students on the course and follow the same pattern of activity as them.
47. As that student's year of instance starts on 10 January 2021 and on the anniversary of that date in subsequent years, the student should be included in Column 2 of Table 1 in HESES20, and in Column 2 of subsequent HESES returns as they continue their studies. The student should be recorded with a full-time nonstandard year of instance from January 2021 to January 2022. 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 2022 to 30 June 2022 and will be part-time as it does not meet the definition of full-time as set out in Annex H paragraph 1.

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

48. A full-time student starts in September 2020 intending to study eight modules before June 2021. At the end of the first semester in February 2021, having completed four modules, they interrupt the course and return 12 months later to complete the remaining four modules by June 2022.
49. The first year of instance becomes countable in September 2020 and is therefore returned in Column 1 of Table 1 of HESES20. Data in Column 3 of Table 1 of HESES20 should reflect a forecast of such students entered in Column 1 or 2 who will intermit (and therefore non-complete) after the census date.
50. The second year of instance becomes countable at the start of the year of instance in September 2021 (and not in February 2022 when the student returns), and is therefore returned in Column 1 of Table 3 of HESES21 as the activity in this second year of instance does not meet the criteria to be classed as full-time.

### **Example 7: Students topping up from a foundation degree**

51. An OfS-fundable student studies full-time for a foundation degree at a college in the academic years 2018-19 and 2019-20, then tops up to a full-time bachelors' degree at a university in 2020-21:
  - 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 2018-19 to 2020-21. They should not therefore be reported as a new entrant for 2020-21 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 2018-19 and 2019-20, and of the university in 2020-21. 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 2020-21.

### **Example 8: Students who switch modes**

52. A student started studying towards a Higher National Diploma on a part-time basis in 2018-19. In 2020-21 they switch to full-time study. The student is studying at the same provider and at the same broad level throughout the period 2018-19 to 2020-21. Therefore they should not be reported as a new entrant for 2020-21 in Table 5.

**Example 9: Students who start a new course at the same provider**

53. A student completed a masters' course at a provider in 2018-19. In 2020-21 they start a foundation degree at the same provider. The student is 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. Therefore they should be reported as a new entrant in Table 5.

**Example 10: Students who start more than one year of instance in the same academic year**

54. A student is starting the first year of an undergraduate degree course at a provider on 1 September 2020. On 1 March 2021 the student 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.

**Example 11: Within-course periods of study in vacation time**

55. 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.

**Example 12: Students who transfer onto a pre-registration nursing, midwifery or allied health profession course from one that is not**

56. A student studies full-time at a university for a bachelors' degree in biological sciences in 2018-19 and 2019-20, and completes the first two years. However, in September 2020, the student transfers to a pre-registration midwifery course, studying full-time at the same university. The student is reported as a 'starter' for 2020-21 in Table 6a. Such a student transferring within a provider would not be a 'new entrant' for the purposes of Table 5.

### **Example 13: Students undertaking activity for two qualifications as part of the same instance in 2020-21**

57. A student studies full-time at a college on a foundation degree in 2018-19 and 2019-20. Due to the coronavirus pandemic, they are unable to complete the final module in their foundation degree during 2019-20 as intended. The college has rescheduled this module for October 2020 and the student undertakes this alongside activity on a top-up degree.
58. Though the student would be undertaking activity towards two qualifications in 2020-21, for HESES purposes these are considered both part of the same instance, and we would not expect the total FTE to exceed one.
- If the student is full-time, we therefore expect the student to be recorded only once in HESES20. For further education and sixth form colleges and academies, this would mean only recording the student on the top-up qualification on the Courses table.
  - If the student is part-time, we would expect the student to be recorded only against the top-up qualification, but the FTE in column 4a of Table 3 should reflect the total activity for both the foundation degree and the top-up degree (up to a maximum of 1 FTE).
59. When completing their end of year individualised data returns, further education and sixth form colleges and academies will need to record these qualifications as separate records in the 2020-21 ILR (in line with the ILR guidance).

## **Good practice**

### **Removing duplicate records**

57. 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.
58. 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. Further education and sixth form colleges and academies should take particular care to ensure that where students generate two records in the ILR, but these records are part of the same instance, the student is only counted once for HESES purposes.

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

59. 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 HESES20.

### 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
  - Completion of one-year courses and short extensions
  - Modules where assessment is optional
  - Withdrawing from a module before it starts
  - Changing study intentions within the year due to accredited prior learning

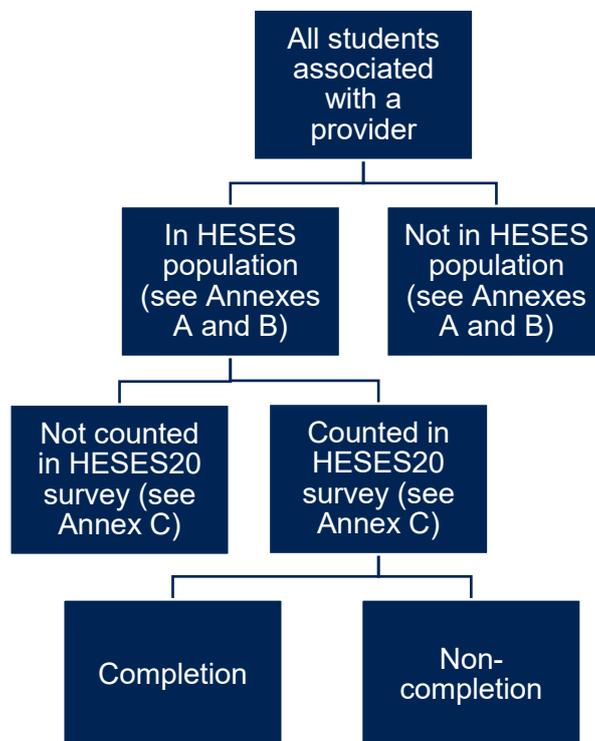
#### Examples

#### Good practice

### Definitions

#### Module

1. For the purposes of HESES20, 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 85(2) of the Higher Education and Research Act 2017.<sup>28</sup>

## Determining a student's completion status

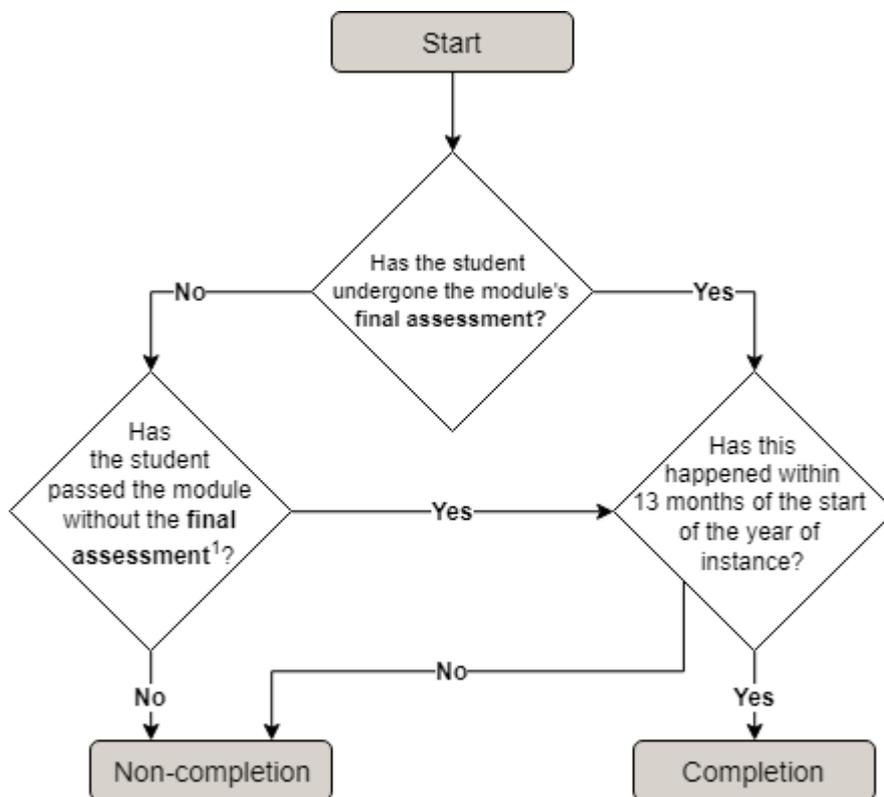
7. Where a student has a clear intention at the start of the year of instance of completing a specified activity within that year, completion is measured against this intention. To be counted as a completion (and be included in Column 4 of Tables 1, 2, 3, 6a, 6b, or 6c), a student must complete all the 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>28</sup> See [www.legislation.gov.uk/ukpga/2017/29/section/85/enacted](http://www.legislation.gov.uk/ukpga/2017/29/section/85/enacted).

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 HESES20 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 HESES20. 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 appropriate student record reflects their actual completion status.<sup>29</sup> As the coronavirus pandemic is such an exceptional circumstance, we do not expect providers to use data on non-completions in 2019-20 in making estimates for HESES.
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. However, because of the effects of the coronavirus pandemic on the recording of completion status for 2019-20, providers may use the same historical data that informed their HESES19 non-completion estimates to determine their HESES20 estimates. Non-completion rates may still vary between those two HESES returns reflecting differences in the student populations for each year (for example, in the balance of students across different courses, modes and years of study).
19. To ensure the most accurate data is returned, if ILR or HESA student data is used, providers should make adjustments to account for students whose completion status was unknown (FUNDCOMP = 3) when the ILR or HESA student 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.

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<sup>29</sup> The appropriate student record is defined in Annex A sub-paragraph 2.d. In recording completion status on that record, providers should also follow any exceptional guidance that may apply, such as that issued for 2019-20 as a result of the coronavirus pandemic (see: [www.officeforstudents.org.uk/data-and-analysis/supplying-data/](http://www.officeforstudents.org.uk/data-and-analysis/supplying-data/)).

## Special cases

### Mode changes

20. If a student formally switches mode from full-time to part-time as defined in Annex H paragraph 13, their completion status should be determined with reference to their revised study intentions.

### Modules taken in addition to the standard requirements

21. 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 modules with credit points equal to or greater than the number 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

22. 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:
- 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.
  - 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.
23. 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 instances or modules with no formal assessment

24. 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

25. 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 both HESES and the appropriate student 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 20 and 21.

26. 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**

27. 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**

28. 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, it 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**

29. 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 Annex H paragraph 13) they should be treated as a part-time student, with completion judged against their revised study intentions.

## **Examples**

### **Example 1: Final assessment taken with 13 months**

30. A standard year of instance commenced on 29 September 2020. Final assessment for a particular module counted within the year of instance takes place in June 2021, with an opportunity to resit or resubmit in September 2021. The student does not take the assessment in June 2021, but does so for the first time at the resit or resubmission opportunity in September 2021. The module is treated as completed, because the assessment was taken within 13 calendar months of 29 September 2020, the start of the year of instance.

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

31. A standard year of instance commenced on 29 September 2020. Final assessment for a particular module counted during the year of instance takes place only in June each year. The student does not take the assessment in June 2021 and has not otherwise passed the module, but does take the assessment at the next opportunity in June 2022. The module is treated as not completed, because the assessment was not taken within 13 calendar months of 29 September 2020, 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.

32. 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**

33. 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, because 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**

34. 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**

35. 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**

36. 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**

37. 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**

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

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

39. 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.

40. In completing the appropriate 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 student record to reflect the latest known completion status of the student. In doing so, providers will need to have due regard to the student record 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. Subject to any exceptional guidance

that may apply, such as that issued for 2019-20 as a result of the coronavirus pandemic, 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.

41. 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

42. 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 student record 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.
43. Often registers are maintained to assist with the updating of the student record system. The information obtained from these registers should be used to follow up missing students. Reconciliations should be made with the student record system, to ensure that it is up to date and accurately reflects what is being reported in the registers.
44. 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.
45. 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

46. 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**

47. 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**

48. 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.
49. 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

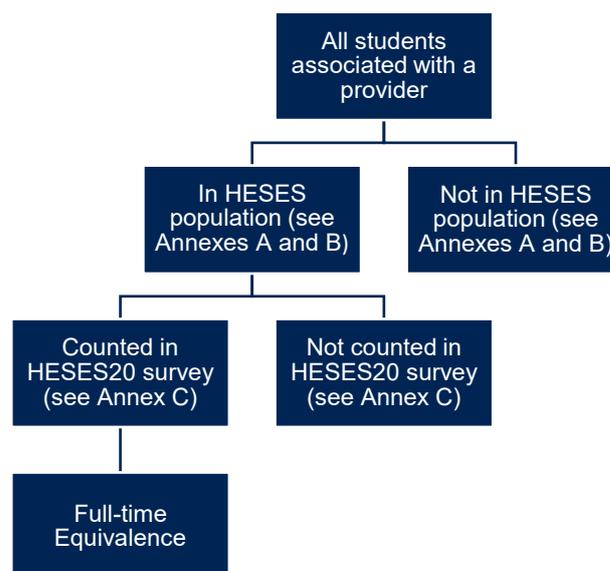
This annex explains how full-time equivalence for part-time years of instance should be calculated in HESES20. This includes guidance on how to treat students who are exempt from part of a course, and full-time students who change mode within a year of instance to become part-time students.

### 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.
5. In completing the STULOAD field on a 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 30).

**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 examples 3 and 4 (paragraphs 21 to 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 appropriate student record.<sup>30</sup> When comparing with HESES, we will make adjustments to the FTE returned on the student record to reflect years not completed.
13. Where students change mode during a year of instance to become part-time students (see Annex H paragraph 13), their FTE should be calculated in the usual way, by comparison with the equivalent full-time course.

### **Student record notes**

14. Student FTE recorded in HESES20 should relate to the years of instance being counted. In some cases this may not be consistent with the FTE returned on the appropriate student record. However, it should be consistent with appropriate student record 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 that are not relevant to the current year. Providers should ensure that the FTE of students on the appropriate student 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

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<sup>30</sup> As defined in Annex A paragraph 2.d.

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 HESES20.

## 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, in each cohort, a small proportion of the students choose to take the course over three years instead. If there are 100 students in a cohort and typically 10 students opt to study over three years, the total FTE should be 0.48, and not 0.5, as shown by the following equation  $((90 \times 0.5) + (10 \times 0.33)) \div 100 = 0.48$ .

## Annex F: Residential and fundability status

This annex provides guidance on identifying the residential and fundability status of a student for the purposes of HESES20. 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 (ELQ), and of those supported from other UK or EU public sources.

### Annex F contents

#### Definitions

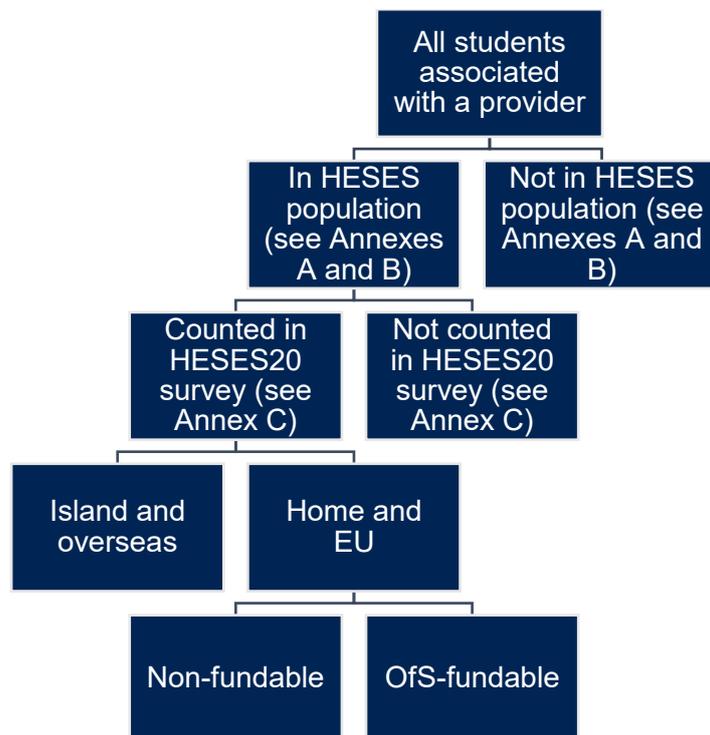
- Home and EU students
- Islands and overseas
- OfS-fundable students
- Non-fundable students

#### Students aiming for ELQs

- Identifying entry qualifications through other sources
- 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>31</sup> 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>32</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 states that the student is eligible, this means that the student is also regarded as 'Home and EU' for HESES purposes.

### UK-domiciled in Table 5

8. For the purposes of Table 5 (and the Courses table where applicable), UK-domiciled students are those entitled to pay Home and EU fees and whose DOMICILE or 'Country of domicile'

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<sup>31</sup> See: <https://www.legislation.gov.uk/ukxi/2007/779/contents>. Amendments to these regulations for 2020-21 introduce two new categories that should be treated as Home and EU from August 2020. They are:

- persons granted indefinite leave to remain as a victim of domestic violence or domestic abuse.
- persons granted Calais leave. For an explanation of the term 'Calais leave', see <https://www.gov.uk/government/news/new-form-of-leave-for-children-transferred-during-calais-clearance-to-join-family>.

<sup>32</sup> See [www.officeforstudents.org.uk/data-and-analysis/data-collection/heses/](http://www.officeforstudents.org.uk/data-and-analysis/data-collection/heses/).

field is coded as XF, XG, XH, XI or XK for England, Northern Ireland, Scotland, Wales or UK not otherwise specified, respectively, in the appropriate student record.<sup>33</sup>

### 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.

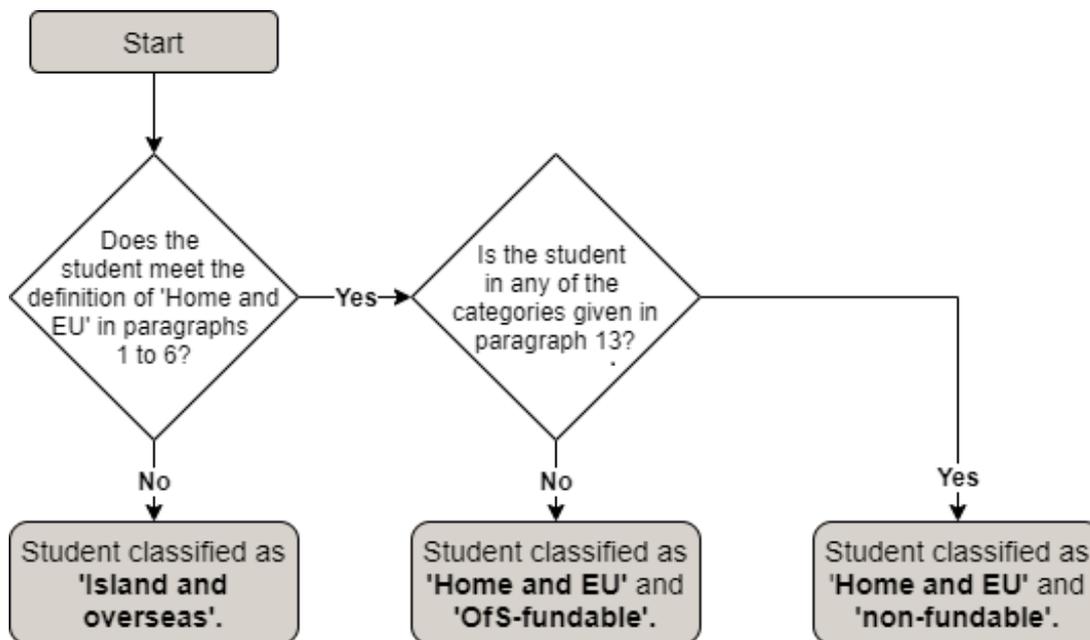
### OfS-fundable students

10. Home and EU students are eligible to be counted towards OfS recurrent funds for teaching (OfS-fundable) for an eligible higher education provider 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 a UK or 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 (as defined in Annex I paragraph 3).

<sup>33</sup> As defined in Annex A paragraph 2.d.

- 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, 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 course fee charged to the student is zero because an NHS organisation is meeting the full 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 apprenticeship, funded by another UK or EU public source where the course fee charged to the student is zero because that source is meeting the course 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 paragraph 13.a. in this annex 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 only to the definitions in paragraphs 13.c., 13.d., 13.e. and 13.f. of this annex. The definition of 'starters' is given in Annex L paragraph 3.

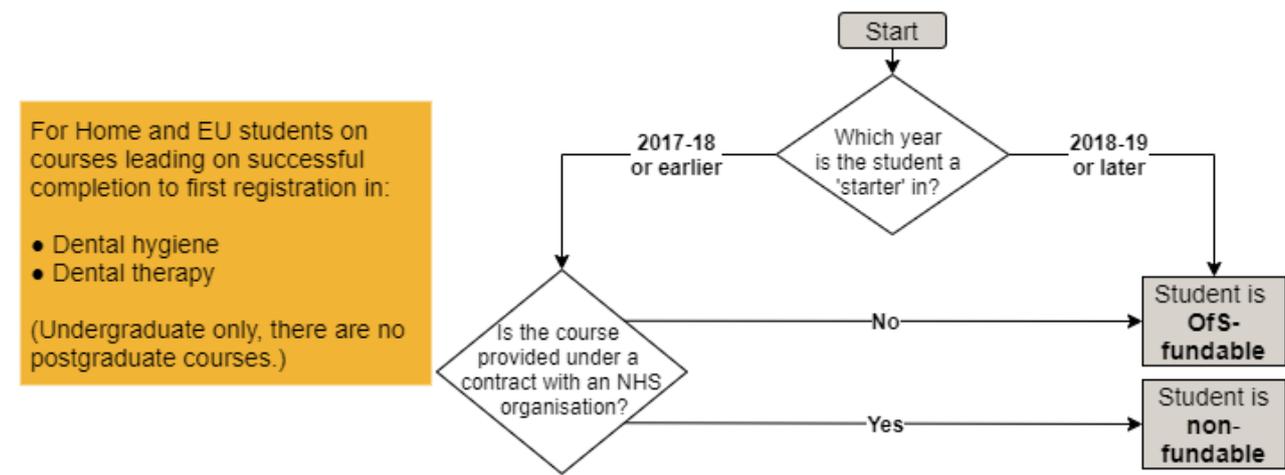
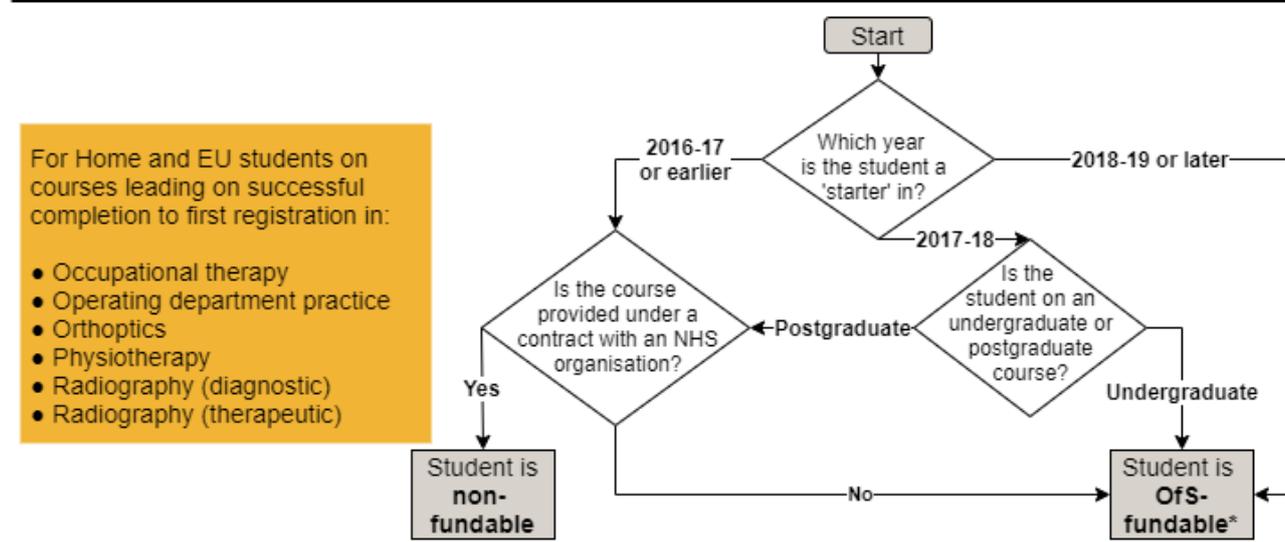
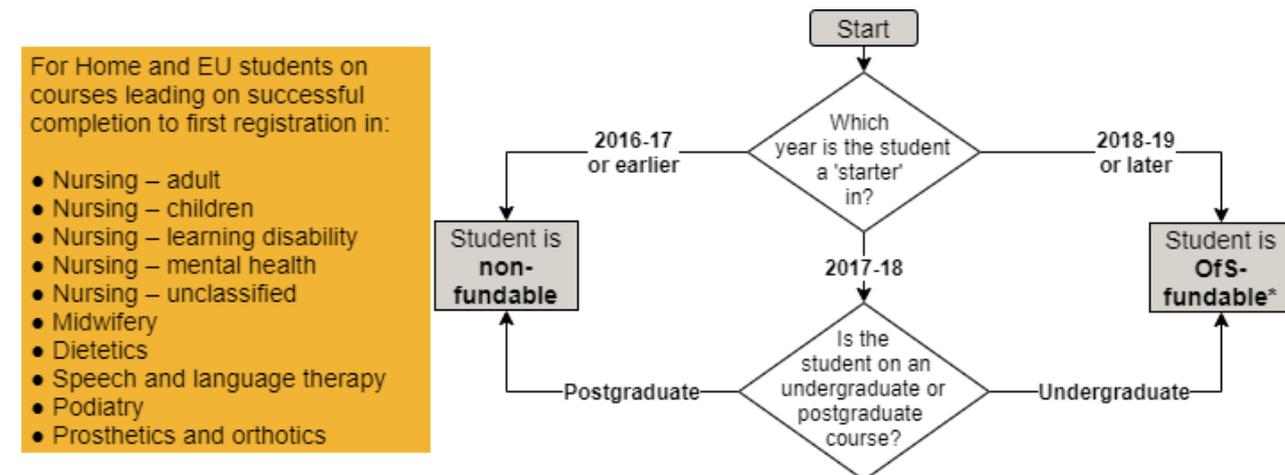
**Figure F2: Fundability status for Home and EU students starting pre-registration courses in nursing, midwifery and allied health professions from 2016-17**

Courses leading on successful completion to first registration in:	Level of course	Home and EU Starters up to and including 2016-17	Home and EU Starters in 2017-18	Home and EU starters from 2018-19 onwards
Nursing – adult Nursing – children Nursing – learning disability Nursing – mental health	Undergraduate	All students are non-fundable by paragraph 13.c.ii. of this annex	All students are OfS-fundable unless paragraph 13.f. of this annex applies	All students are OfS-fundable unless paragraph 13.f. of this annex applies
Nursing – unclassified Midwifery Dietetics Speech and language therapy Podiatry Orthotics and prosthetics	Postgraduate	All students are non-fundable by paragraph 13.c.i. of this annex	All students are non-fundable by paragraph 13.c.i. of this annex	All students are OfS-fundable unless paragraph 13.f. of this annex applies
Occupational therapy Operating department practice Orthoptics Physiotherapy Radiography (diagnostic)	Undergraduate	Students will be non-fundable if they meet the criteria in paragraph 13.d.ii. of this annex. Otherwise they will be OfS-fundable	All students are OfS-fundable unless paragraph 13.f. of this annex applies	All students are OfS-fundable unless paragraph 13.f. of this annex applies
Radiography (therapeutic)	Postgraduate	Students will be non-fundable if	Students will be non-fundable if	All students are OfS-

Annex F: Residential and fundability status

Courses leading on successful completion to first registration in:	Level of course	Home and EU Starters up to and including 2016-17	Home and EU Starters in 2017-18	Home and EU starters from 2018-19 onwards
		they meet the criteria in paragraph 13.d.i. of this annex. Otherwise they will be OfS-fundable	they meet the criteria in paragraph 13.d.i. of this annex. Otherwise they will be OfS-fundable	fundable unless paragraph 13.f. of this annex applies
Dental hygiene Dental therapy	Undergraduate (there are no postgraduate courses)	Students will be non-fundable if they meet the criteria in paragraph 13.e. of this annex. Otherwise they will be OfS-fundable	Students will be non-fundable if they meet the criteria in paragraph 13.e. of this annex. Otherwise they will be OfS-fundable	All students are OfS-fundable unless paragraph 13.f. of this annex applies

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



Home and EU students at the Open University who are studying in Scotland, Wales or Northern Ireland should be excluded from Tables 6a, 6b and 6c, as funding responsibility for them rests with the devolved administrations. They should, however, still be included as appropriate (and as non-fundable) in other HESES tables.

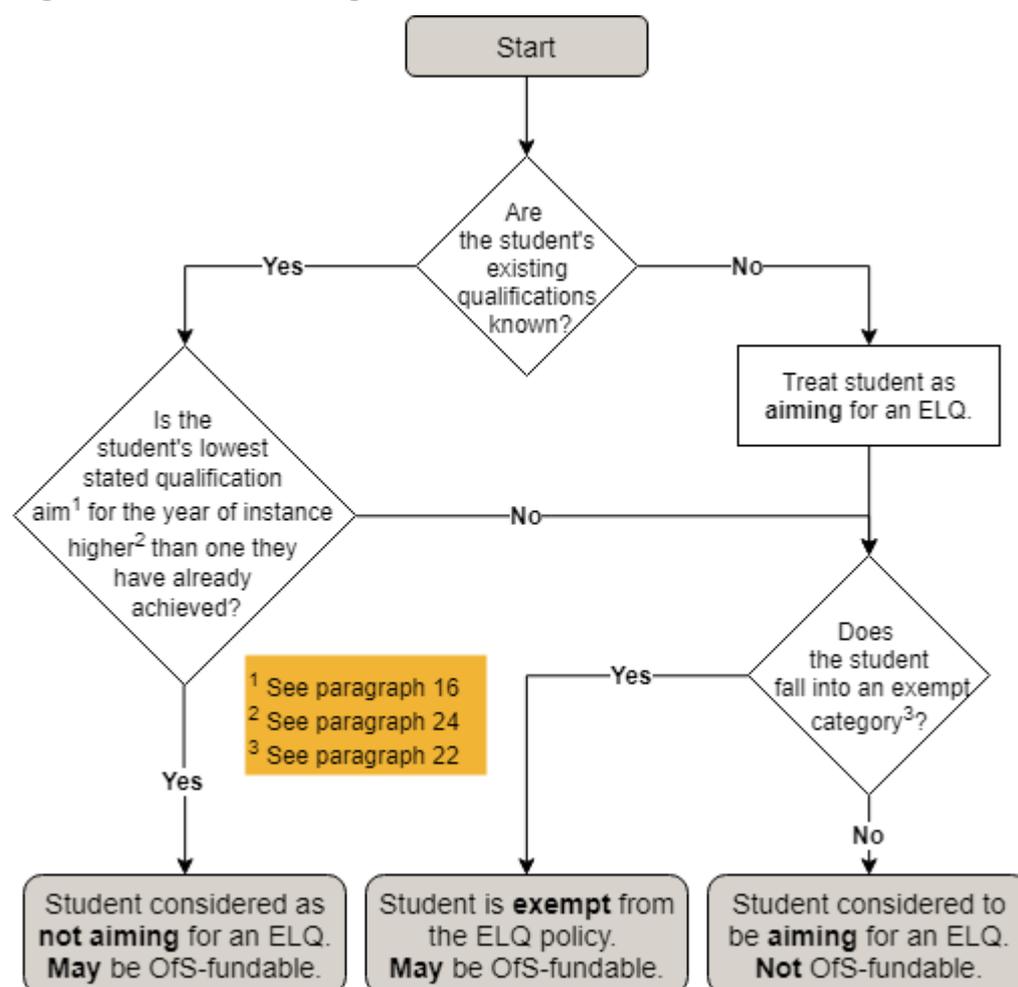
\*Unless paragraph 13f. of this annex applies

## 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**



## 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,<sup>34</sup> 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 linkage (often referred to as ABL) will be sufficient. However, this will not apply in some cases, such as students who achieved their qualifications some time ago or whose qualification types are not included. In these circumstances we expect providers to verify entry

<sup>34</sup> See <https://www.gov.uk/topic/further-education-skills/learning-records-service>.

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. 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, as explained in Annex I. 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 for OfS funding purposes, 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 the census date.
  - 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>35</sup>
  - 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.

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<sup>35</sup> See [www.officeforstudents.org.uk/data-and-analysis/data-collection/heses/](http://www.officeforstudents.org.uk/data-and-analysis/data-collection/heses/).

## Annex F: Residential and fundability status

- ii. General Dental Council for the professions of:
  - 1) Dentist
  - 2) Dental therapist
  - 3) Dental hygienist.
- iii. Nursing and Midwifery Council.
- iv. Health and Care Professions Council for the professions of:
  - 1) Podiatrist
  - 2) Dietician
  - 3) Occupational therapist
  - 4) Operating department practitioner
  - 5) Orthoptist
  - 6) Paramedic
  - 7) Physiotherapist
  - 8) Prosthetist or orthoptist
  - 9) Radiographer
  - 10) Speech and language therapist.
- v. Social Work England
- vi. Scottish Social Services Council.
- vii. Social Care Wales.
- viii. Northern Ireland Social Care Council.
- ix. 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 paragraph 22.e. of this annex. In the case of the Health and Care Professions Council, this must additionally relate to practitioners in the professions listed in paragraph 22.e.iv. of this annex.
- 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. 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 22.a above, 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 25 to 38 of this annex.

### **Frameworks for higher education qualification of UK degree awarding bodies**

25. The 'Frameworks for higher education qualifications of UK degree-awarding bodies' (FHEQ) should generally be used to determine a basic hierarchy of qualifications, and any revisions should be reflected as they are introduced.<sup>36</sup> 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 naming 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

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<sup>36</sup> Available at <https://www.qaa.ac.uk/en/quality-code/qualifications-and-credit-frameworks>.

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 of this annex), 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 paragraph 26.b 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 paragraph 22.e. 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 paragraph 22.c. of this annex.
  32. Where students do not have a stated qualification aim and study 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 qualification and qualification awarded abroad**

33. Providers may wish to take advice from the National Recognition Information Centre for the UK (UK NARIC) about the relative level of professional qualifications and those awarded abroad.<sup>37</sup> UK NARIC is the national agency responsible for providing information, advice and opinion on vocational, academic and professional qualifications and skills from all over the world.
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>38</sup>

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<sup>37</sup> See <https://www.naric.org.uk/naric/>.

<sup>38</sup> See [www.officeforstudents.org.uk/data-and-analysis/data-collection/heses/](http://www.officeforstudents.org.uk/data-and-analysis/data-collection/heses/).

## 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 DSA.

In general, and subject to the guidance in paragraph 22.a. of this annex, 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 Higher Education (Fee Limit Condition) (England) Regulations 2017 (Statutory Instrument 2017 No. 1189, as amended<sup>39</sup> 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 2019-20.

37. The Education (Student Support) Regulations 2011 (Statutory Instrument 2011 No. 1986)<sup>40</sup>, as amended, define entitlements to undergraduate student support. The Education (Postgraduate Master's Degree Loans) Regulations 2016 (Statutory Instrument 2016 No. 606)<sup>41</sup>, as amended, define entitlements to masters' loans. The Education (Postgraduate Doctoral Degree Loans and the Education (Student Loans) (Repayment) (Amendment) (No. 2) etc.) Regulations 2018 (Statutory Instrument 2018 No. 599)<sup>42</sup>, as amended, define entitlements to doctoral loans. Each of these statutory instruments contains an ELQ definition.

38. There are differences in the way that ELQs are treated in HESES and for student support purposes. Providers should not assume that the guidance noted in paragraphs 16 to 35 of this annex will apply when considering ELQ status for the purposes of regulated course fees or of the different elements of student support.

## 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.

<sup>39</sup> See <https://www.legislation.gov.uk/ukxi/2017/1189/contents>.

<sup>40</sup> See <https://www.legislation.gov.uk/ukxi/2011/1986/contents>.

<sup>41</sup> See <https://www.legislation.gov.uk/ukxi/2016/606/contents>.

<sup>42</sup> See <https://www.legislation.gov.uk/ukxi/2018/599/contents>.

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

40. A student aiming for a first degree has a Higher National Certificate (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 19) they would be treated as aiming for an ELQ, by virtue of 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 HESA student, HESA student alternative 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 HESES20, firstly for the specific cases of sandwich years out, medicine, dentistry, veterinary science, nursing, midwifery and allied health professions, education and social work; and, where those cases do not apply, based on course subject codes. Examples are given for cases where a year of instance should be split across price groups.

### Annex G contents

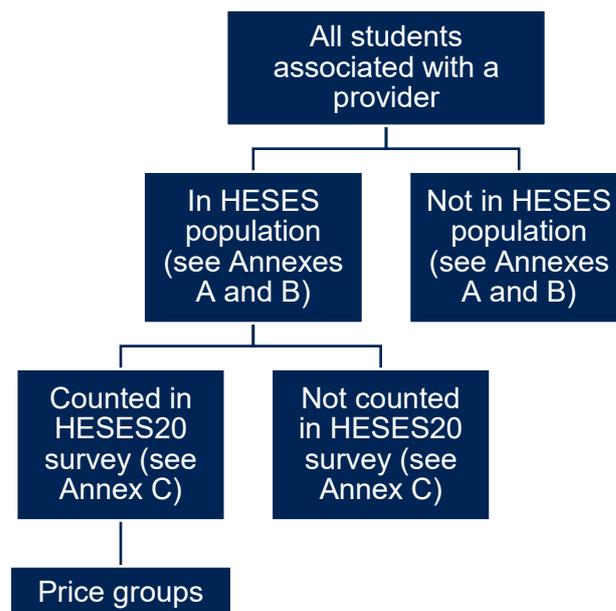
#### A note on the structure of this annex

##### Specific cases

- Sandwich years out
- Medicine and dentistry
- Veterinary science
- Pre-registration courses in nursing, midwifery and allied health professions
- Social work
- ITT, INSET and other education students.

##### Allocating years of instance to price groups

- Allocating years of instance to price groups based on LDCS codes
  - Tables relating LDCS codes to price groups
  - Examples
- Allocating years of instance to price groups based on the HECoS codes
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## A note on the structure of this annex

1. Years of instance are assigned to price groups based on two criteria. First, they may be one of the specific cases noted in paragraphs 2 to 19 of this annex. Second, if no specific cases apply, they are assigned to price groups based on the subject codes for courses, as follows:
  - a. For **further education and sixth form colleges and academies**: using the Learn Direct Classification System (LDCS) code of the subject of the course. (See paragraphs 23 to 30 of this annex.)
  - b. For **all other providers**: using the Higher Education Classification of Subjects (HECoS) code of the subject of the course. (See paragraphs 31 to 35 of this annex.)

## Specific cases

### Sandwich years out

2. Regardless of other specific cases listed below, or course LDCS or HECoS code, all students on a sandwich year out should be recorded in price group C2.

### Medicine and dentistry

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

- iii. Nearly all of the course is taught in a clinical environment.<sup>43</sup> 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 3.c.iii. above) and whose lead supervisor is a clinical academic.
4. Students who meet the criteria in paragraph 3 above should have all of their activity for the year of instance attributed to price group A.
5. Where, and only where, a postgraduate course meets the criteria set out in paragraph 3.c. of this annex, the HECoS subject of the course aim should be coded as 100267 (clinical medicine), 100266 (clinical dentistry) or 100494 (clinical psychology) on the Higher Education Statistics Agency (HESA) student record.

### **Veterinary science**

6. Undergraduate veterinary science students should be included in price group A if they are in the final five years of a course which leads to eligibility to register to practise as a veterinary surgeon, irrespective of their HECoS code. All other undergraduate veterinary science activity, including foundation years, should be returned in price group B.
7. To be included in price group A, clinical veterinary science postgraduate taught students must be on courses which meet the following three criteria:
  - a. The course bears very high average annual costs of at least £15,000 per full-time equivalent.
  - b. A substantial proportion of the staff teaching time contributed to the course is provided by veterinary-qualified, university-funded, clinical academic staff.
  - c. Nearly all of the course is taught in a clinical environment.<sup>44</sup> 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.
8. 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 7.c. above) and the lead supervisor should be a clinical academic.
9. Students who meet the criteria in paragraphs 7 or 8 above should have all of their activity for the year of instance attributed to price group A, irrespective of their HECoS code.

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<sup>43</sup> Subject to any exceptional changes to course delivery that providers have made because of the coronavirus pandemic.

<sup>44</sup> Subject to any exceptional changes to course delivery that providers have made because of the coronavirus pandemic.

10. Where, and only where, a postgraduate course meets the criteria set out in paragraphs 7 or 8 above, the HECoS subject of course aim should be coded as 100531 (veterinary medicine) or 101347 (veterinary dentistry) on the HESA student record.

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

11. 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 their LDCS or HECoS code.
12. Students on pre-registration courses that on successful completion lead to first registration with the General Dental Council (GDC) as a professional in dental therapy or dental hygiene, should be entirely attributed to price group A, irrespective of their LDCS or HECoS code.
13. 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, orthotics and prosthetics, occupational therapy, operating department practice, orthoptics, physiotherapy, and radiography, should be entirely attributed to price group B, irrespective of their LDCS or HECoS code.
14. For the purposes of paragraph 13 above, the relevant recognised regulatory bodies are the NMC for midwifery and the Health and Care Professions Council (HCPC) for all other professions listed.
  - These are identifiable on the HESA student record where REGBODY = 42, 44, 46, 47, 48, 50, 52, 55, 56, 57 respectively for relevant professions regulated by the HCPC, and 65 for midwifery regulated by the NMC.

### **Social work**

15. 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 their LDCS or HECoS code.
16. For the purposes of paragraph 15 above, the UK regulatory bodies are Social Work England<sup>45</sup>, the Scottish Social Services Council, Social Care Wales and the Northern Ireland Social Care Council.

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

17. 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 their LDCS or HECoS code. All Home and EU students on ITT courses leading to QTS or EYTS should be returned as non-fundable.
18. 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 on these courses should be recorded as follows:

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<sup>45</sup> From 2 December 2019, responsibility for the regulation of social workers in England transferred from the HCPC to Social Work England. Current courses that were originally approved by the HCPC will be subject to reapproval by Social Work England in due course.

## Annex G: Price groups

- 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 their LDCS or HECoS code.
- Other students on INSET courses should be attributed to price groups using their LDCS or HECoS course codes.
- Home and EU students holding or aiming for QTS on INSET courses should be returned as non-fundable.

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

### Allocating years of instance to price groups based on course subject codes

20. Only where none of the specific cases defined in paragraphs 2 to 19 of this annex apply, should years of instance be allocated to price groups according to the mix of LDCS or HECoS codes that applies to the course, using the mappings shown respectively in Tables G1 and G2 (for further education and sixth form colleges and academies), or Tables G3 and G4 (for all other providers).
21. 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 LDCS or HECoS code, the student's full-time equivalence (FTE) should be split between the relevant price groups in proportion to the split between each subject for the **course as a whole**.
22. Where activity is delivered under a subcontractual arrangement or as part of a study year abroad (partial or whole) it should be returned in the price group(s) allocated to the LDCS or HECoS code(s) of the course.

### Allocating years of instance to price groups based on LDCS codes

23. Further education and sixth form colleges and academies can utilise the database downloads on the Education and Skills Funding Agency's 'Find a learning aim' service,<sup>46</sup> which shows up to three LDCS codes in the LearningDelivery table for each learning aim.
24. If there is no LDCS code for a particular course, or a college thinks that the wrong LDCS code has been assigned, the college should email [heses@officeforstudents.org.uk](mailto:heses@officeforstudents.org.uk) and should provide us with:
- the learning aim reference
  - the learning aim title
  - the awarding body
  - the LDCS codes as displayed in the ESFA's learning aims database (where present)

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<sup>46</sup> See <https://findalearningaimbeta.fasst.org.uk/>.

## Annex G: Price groups

- up to three main subject areas of the course in question, and their corresponding LDCS codes if known.<sup>47</sup>

25. LDCS codes contain up to six characters which indicate a hierarchy of subject specialism. The top level of the hierarchy is represented by a letter. Each additional character represents a (further) sub-level. In Tables G1 and G2, the mapping of LDCS codes to price groups includes all sub-levels of each code, unless stated otherwise. For example, 'A' includes all LDCS codes that begin with A, 'PA' includes all codes that begin with PA and 'FN.1' includes all codes that begin with FN.1. Alternatively, the Courses table in the HESES20 workbook can be used to look up a price group or groups by entering the learning aim reference for a course.

**Table G1: Attribution of LDCS codes to price groups**

LDCS codes (including all sub-levels of the hierarchy)	Price groups(s)
A	D
BF	C1
B (other than above)	D
C	C1
DC	C1
D (other than above)	D
E	D
FC.24, FC.6 (except FC.62, FC.65, FC.67), FJ.4, FM.4 (except FM.412), FM.5, FM.7, FM.9 (except FM.913), FN.1, FN.3 (except FN.32, FN.35), FN.4, FN.5, FN.7, FN.8, FN.9	C2
F (other than above)	D
G	D
HK, HL	C2
H (other than above)	D
JA.22, JA.23, JA.32, JA.33, JA.34, JA.5, JA.7, JA.8, JE	D
J (other than above)	C1
KB, KC	D
K (other than above)	C1
LJ	B
LF.3, LK.3 (except LK.31)	D
L (other than above)	C1
M	C2
NH.2	B
NG, NK, NL.1, NL.2, NN	D

<sup>47</sup> A full list of LDCS codes and associated subject descriptions along with how these are mapped to OfS price groups can be found in Annex A to 'Data collection to inform funding for 2020-21: Responses to feedback and confirmation of approach' (OfS 2019.31) available at [www.officeforstudents.org.uk/publications/data-collection-feedback-response/](http://www.officeforstudents.org.uk/publications/data-collection-feedback-response/).

Annex G: Price groups

LDCS codes (including all sub-levels of the hierarchy)	Price groups(s)
N (other than above)	C2
PB, PC.1, PC.5, PE (except PE.8), PF.1, PF.2, PF.4, PG	B
PR	D
P (other than above)	C2
QA.3, QC, QH.6	B
QB, QH (except QH.6), QJ	D
Q (other than above)	C2
RA.3, RA.5, RB, RF.4, RF.6, RF.7, RG	C2
RA.6	D
R (other than above)	B
SE (except SE.9)	C1
SE.9, SN.3, SN.6, SQ	C2
SJ.5, SM, SP	D
S (other than above)	B
TK, TL, TM	B
TC.44, TC.5, TC.6	D
T (other than above)	C2
U	D
VE, VF.3, VF.4, VG	B
VF (except VF.3, VF.4, VF.7)	C1
V (other than above)	D
WA, WB, WC, WD, WE, WG	B
WM	C2
W (other than above)	C1
XA.13, XA.32, XN, XS	C2
X (other than above)	B
Y	B
ZX.3, ZX.4, ZX.5	D
Z (other than above)	C2

**Table G2: LDCS codes sorted by price group**

Price group	Learn Direct Classification System codes (including all sub-levels of hierarchy)
B	LJ, NH.2, PB, PC.1, PC.5, PE (except PE.8), PF.1, PF.2, PF.4, PG, QA.3, QC, QH.6, R (except RA.3, RA.5, RA.6, RB, RF.4, RF.6, RF.7, RG), S (except SE, SJ.5, SM, SN.3, SN.6, SP, SQ), TK, TL, TM, VE, VF.3, VF.4, VG, WA, WB, WC, WD, WE, WG, X (except XA.13, XA.32, XN, XS), Y

Price group	Learn Direct Classification System codes (including all sub-levels of hierarchy)
C1	BF, C, DC, J (except JA.22, JA.23, JA.32, JA.33, JA.34, JA.5, JA.7, JA.8, JE), K (except KB, KC), L (except LF.3, LJ, LK.3 (but including LK.31)), SE (except SE.9), VF (except VF.3, VF.4, VF.7), W (except WA, WB, WC, WD, WE, WG, WM)
C2	FC.24, FC.6 (except FC.62, FC.65, FC.67), FJ.4, FM.4 (except FM.412), FM.5, FM.7, FM.9 (except FM.913), FN.1, FN.3 (except FN.32, FN.35), FN.4, FN.5, FN.7, FN.8, FN.9, HK, HL, M, N (except NG, NH.2, NK, NL.1, NL.2, NN), P (except PB, PC.1, PC.5, PE (but including PE.8), PF.1, PF.2, PF.4, PG, PR), Q (except QA.3, QB, QC, QH, QJ), RA.3, RA.5, RB, RF.4, RF.6, RF.7, RG, SE.9, SN.3, SN.6, SQ, T (except TC.44, TC.5, TC.6, TK, TL, TM), WM, XA.13, XA.32, XN, XS, Z (except ZX.3, ZX.4, ZX.5)
D	A, B (except BF), D (except DC), E, F (except FC.24, FC.6 (but including FC.62, FC.65, FC.67), FJ.4, FM.4 (but including FM.412), FM.5, FM.7, FM.9 (but including FM.913), FN.1, FN.3 (but including FN.32, FN.35), FN.4, FN.5, FN.7, FN.8, FN.9), G, H (except HK, HL), JA.22, JA.23, JA.32, JA.33, JA.34, JA.5, JA.7, JA.8, JE, KB, KC, LF.3, LK.3 (except LK.31), NG, NK, NL.1, NL.2, NN, PR, QB, QH (except QH.6), QJ, RA.6, SJ.5, SM, SP, TC.44, TC.5, TC.6, U, V (except VE, VF (but including VF.7), VG), ZX.3, ZX.4, ZX.5

## Examples

26. Examples 1 to 4 apply to further education and sixth form colleges, and academies using LDCS codes to determine price groups.

### Example 1: Identifying price group from LDCS code

27. Two students studying for different undergraduate degrees have respective LDCS codes of FN.12 and FN.213.

- FN.12 is a sub-level of FN.1, which is shown in Table G1 as an exception to F. This means that it will be returned as price group C2.
- FN.213 is a sub-level of FN.2 (and therefore a sub-level of FN and of F). Table G1 shows that this will be returned as price group D.

28. The table below shows the structure for these LDCS codes, with a description for each sub-level and the appropriate price group.

LDCS code 1	LDCS code description	Price group
F	Area studies / cultural studies / languages / literature	D
FN	Languages	D
FN.1	Language studies	C2
FN.12	Modern language	C2

LDCS code	LDCS code description	Price group
F	Area studies / cultural studies / languages / literature	D
FN	Languages	D
FN.2	English language	D
FN.21	English language of specific periods	D
FN.213	Middle English	D

### Example 2: Split price groups

29. A full-time student is studying for an undergraduate degree in fine art and history of art. When entered into the learning aims search, this returns two LDCS codes which correspond to different price groups:

- JA.3 (fine art) – price group C1
- JA.331 (art history) – price group D.

30. For this course, the fine art component consists of 60 per cent of the course, with art history comprising the remaining 40 per cent. On the HESSES20 workbook, the student should be split with 0.6 FTE in price group C1 and 0.4 FTE in price group D.

### Allocating years of instance to price groups based on HECoS codes

31. Where none of the specific cases outlined in paragraphs 2 to 19 of this annex apply, providers that are not further education or sixth form colleges or academies should assign activity to price groups using the course's HECoS code(s).
32. Use of HECoS codes should reflect the guidance on the HESA website,<sup>48</sup> and in particular providers should ensure that:
- a. "The course subject(s) should represent directly, or relate very closely to, the qualification subject(s) associated with specific deliveries of that course."
  - b. "The qualification subject(s) must represent directly, or relate very closely to, the wording on the qualification's official certificate of award. More than three qualification subjects would generally be regarded as exceptional."
  - c. "Percentages should not be derived from a detailed analysis of the contributions of subjects to individual students' programmes of study. They must instead be based on a broad assessment of the relative contributions of each subject, and be consistent with the guidance on economical coding and the relationship between qualification subjects and course subjects."
33. Determining HECoS codes is a matter for providers, though we recommend the HECoS codes assigned and the rationale for assigning them should be kept for audit purposes. However, if we believe there are errors or inappropriate classifications which would significantly and materially affect our use of the data, we will require providers to amend their data submissions. This may include requiring changes to how providers use subject classifications and hence how students are assigned to price groups.

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<sup>48</sup> See <https://www.hesa.ac.uk/innovation/hecos/>, under the heading 'HECoS implementation guide', for guidance on assigning HECoS codes to courses.

34. Tables showing the complete list of HECoS codes are available on the HESA website,<sup>49</sup> and a detailed mapping of HECoS codes to price groups is available in Annex A of 'Data collection to inform funding for 2020-21: Responses to feedback and confirmation of approach' (OfS2019.31)<sup>50</sup>. For the most part, providers may use the Common Aggregation Hierarchy (CAH) standard groupings of HECoS codes to determine price groups. The assignment of HECoS codes under the CAH are available on the HESA website. Tables G3 and G4 show the mapping of CAH codes to price groups, but where individual HECoS codes are exceptions to the CAH mapping, these HECoS codes are given in italics. For the purposes of HESES20 we are using CAH version 1.3.3.
35. CAH codes contain 'CAH' followed by up to six digits in three pairs. The top level and two subsequent levels of the hierarchy are each represented by a pair of digits. In Tables G3 and G4, the mapping of CAH codes to price groups includes all sub-levels of each code, unless stated otherwise. For example, 'CAH01' includes all CAH codes that begin with CAH01, 'CAH03-02' includes all codes that begin with CAH03-02 and 'CAH03-01-09' includes only that code.

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

CAH codes (including all sub-levels of the hierarchy) or HECoS codes	Price groups
CAH01	B
CAH02-02, CAH02-05, CAH02-06-01, CAH02-06-02, CAH02-06-03, <i>HECoS 100241 and 100243 (within CAH02-06-06)</i>	B
CAH02 (other than above)	C2
CAH03-01-09, CAH03-02	C2
CAH03 (other than above)	B
CAH04	C2
CAH05	B
CAH06-01-06, CAH06-01-08	C2
CAH06-01-04	D
CAH06 (other than above)	B
CAH07	B
CAH09	C2
<i>HECoS 100109 and 100110 (within CAH10-01-03)</i>	C1
<i>HECoS 100213 (within CAH10-01-03), HECoS 100219, 100548, 100549 and 101048 (within CAH 10-01-07), HECoS 100093 (within CAH10-03-06)</i>	C2
CAH10 (other than above)	B
CAH11	C1
CAH13	C2
<i>HECoS 101218 (within CAH15-01-04)</i>	B

<sup>49</sup> A full list of HECoS and CAH codes and associated subject descriptions are available at <https://www.hesa.ac.uk/innovation/hecos/>.

<sup>50</sup> See [www.officeforstudents.org.uk/publications/data-collection-feedback-response/](http://www.officeforstudents.org.uk/publications/data-collection-feedback-response/).

Annex G: Price groups

CAH codes (including all sub-levels of the hierarchy) or HECoS codes	Price groups
CAH15-04-03	C2
CAH15 (other than above)	D
CAH16	D
CAH17-01-06	C2
CAH17 (other than above)	D
CAH19-04 (except CAH19-04-08)	C2
CAH19 (other than above)	D
CAH20-01-03	C1
CAH20 (other than above)	D
CAH22	D
CAH23	D
CAH24-01-02	D
CAH24 (other than above)	C1
CAH25	C1
HECoS 100369 (within CAH26-01-05)	C1
CAH26-01-01, CAH26-01-02, CAH26-01-03, HECoS 101056 (within CAH26-01-05)	C2
CAH26 (other than above)	B

**Table G4: CAH codes sorted by price group**

Price group	CAH codes (including all sub-levels of the hierarchy) or HECoS codes
B	CAH01, CAH02-02, CAH02-05, CAH02-06-01, CAH02-06-02, CAH02-06-03, HECoS 100241 and 100243 (within CAH02-06-06), CAH03 (except CAH03-01-09, CAH03-02), CAH05, CAH06 (except CAH06-01-04, CAH06-01-06, CAH06-01-08), CAH07, CAH10 (except HECoS 100093, 100109, 100110, 100213, 100219, 100548, 100549 and 101048 ), HECoS 101218 within CAH15-01-04), CAH26 (except CAH26-01-01, CAH26-01-02, CAH26-01-03, HECoS 100369 and 101056)
C1	HECoS 100109 and 100110 (within CAH10-01-03), CAH11, CAH20-01-03, CAH24 (except CAH24-01-02), CAH25, HECoS 100369 (within CAH26-01-05)
C2	CAH02 (except CAH02-02, CAH02-05, CAH02-06-01, CAH02-06-02, CAH02-06-03, HECoS 100241 and 100243), CAH03-01-09, CAH03-02, CAH04, CAH06-01-06, CAH06-01-08, CAH09, HECoS 100213 (within CAH10-01-03), HECoS 100219, 100548, 100549 and 101048 (within CAH10-01-07), HECoS 100093 (within CAH10-03-06), CAH13, CAH15-04-03, CAH17-01-06, CAH19-04 (except CAH19-04-08), CAH26-01-01, CAH26-01-02, CAH26-01-03, HECoS 101056 within CAH26-01-05)
D	CAH06-01-04, CAH15 (except CAH15-04-03, HECoS 101218), CAH16, CAH17 (except CAH17-01-06), CAH19-01, CAH19-02, CAH19-04-08, CAH20 (except CAH20-01-03), CAH22, CAH23, CAH24-01-02

## Examples

36. Examples 5 to 7 apply to providers using HECoS and CAH codes to determine price groups.

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

37. A student studies on a course with an assigned HECoS code of 100074. This course's corresponding CAH code would be CAH17-01-03. As this is not an exception to CAH17 the student would be allocated to price group D for this course.

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

38. Two students studying for different undergraduate degrees have respective HECoS codes of 100760 (Welsh history) and 100299 (archaeology). These correspond to CAH codes CAH20-01-01 and CAH20-01-03 respectively.

- a. As CAH20-01-01 **is not** identified as an exception to CAH20 in Table G3, courses with this code will be returned as price group D.
- b. As CAH20-01-03 **is** identified as an exception to CAH20 in Table G3, courses with this code will be returned as price group C1.

### Example 7: Split price groups where students study different subjects in different years

39. A provider offers a foundation degree in Climate Science and Climate Change, over two years. The course has been allocated two HECoS codes by the provider which correspond to different price groups:

- 100379 (climate science) – CAH26-01-06 – price group B
- 101070 (climate change) – CAH26-01-02 – price group C2.

40. In the first year of the course, students mainly study climate science. In the second year of the course, there is a larger focus on climate change. Over the entire duration of this course, student activity relating to climate science makes up 40 per cent of the course, with climate change making up the remaining 60 per cent. Students in both years of this course would be reported with 40 per cent of their FTE in price group B and 60 per cent in price group C2.

## Annex H: Mode of study

This annex explains how to determine, for the purposes of HESES20, 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

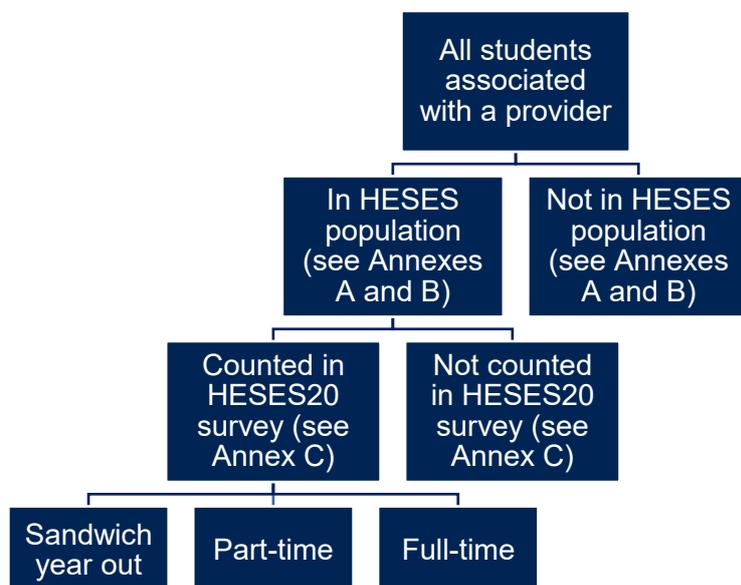
- Part-time students in receipt of full-time student support
- Accredited prior learning

#### 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<sup>51</sup> 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. ('Guided learning hours' should not be used in isolation to determine how many hours each week a student spends studying. All guided learning hours count towards this total,

<sup>51</sup> Changes to the means of course delivery made in response to the coronavirus pandemic, including where teaching has moved entirely online, should not affect whether a year of instance is treated as meeting the normal attendance requirement for full-time study.

but it is expected that higher education students will spend a significant amount of time each week in self-led individual learning, and an estimate of this time should also be included.)

- 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 1.a. of this annex. Such students should be returned as part-time, unless they fall under the definition of 'sandwich year out' given in paragraph 5 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,<sup>52</sup> or the year of instance is an Erasmus+ year abroad spent working.
  - b. It is a year of instance that fulfils one of the following:
    - i. Any periods of full-time study within the year of instance are in aggregate less than 10 weeks.
    - ii. 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.

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<sup>52</sup> See <https://www.legislation.gov.uk/uksi/2011/1986/regulation/2>.

7. Students on pre-registration nursing, midwifery and allied health profession courses who are on a sandwich year out are also recorded on Table 6b. Such sandwich year out students cannot be entered as starters in 2020-21 as we do not expect students to be on a sandwich year out 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.

## 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 be full-time in year one and part-time in year two, if the second year does not have 24 weeks of study. On the HESA student or HESA student alternative record, the student's activity in year two would be recorded as 'other full-time' (MODE = 02). On the Individualised Learner Record (ILR), it would be recorded as part-time (MODESTUD = 3).

## Apprenticeships

10. 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.
11. 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 1.b. of this annex 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 paragraph 2.

## Students only active for part of a year

12. 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 recorded as part-time, even though they are 'full-time' for

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

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

13. 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 course 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**

14. 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, the placements for courses leading to first registration in various healthcare professions and may also occur in other programmes. Learning in the workplace is a structured academic programme, controlled by the higher education provider and delivered in the workplace by the academic staff of the provider, staff of the employer, or both.
15. 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.
16. 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**

17. A student intends to study full-time in 2020-21 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 2021-22 and complete all remaining modules.
- a. For 2020-21, the student would have a full-time mode of study for the year of instance, though they would be recorded as a non-completion.

- b. For 2021-22, 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 1.a. of this annex.

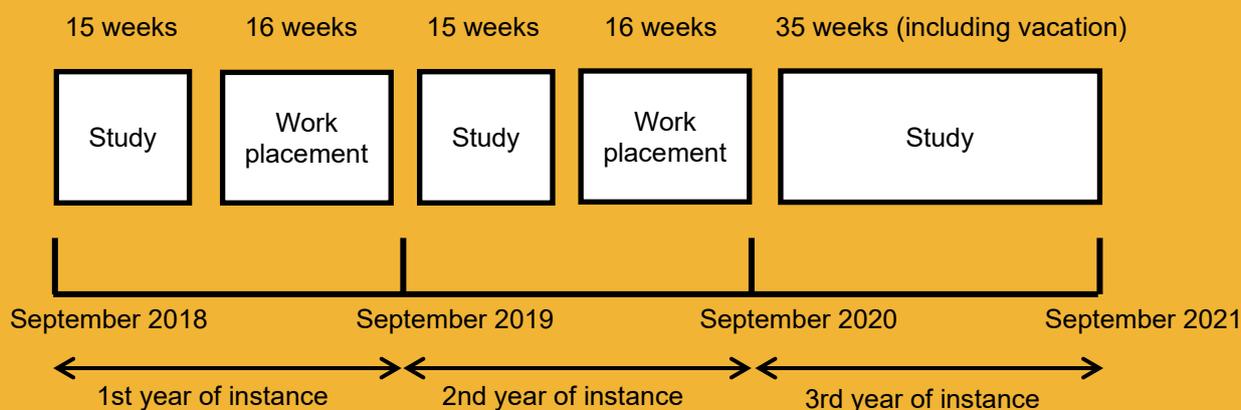
**Example 2: Student on the final year of a full-time course**

18. A student is studying on a full-time course, the final year of 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**

19. A student was studying full-time in 2019-20 but failed three modules. In 2020-21 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 1.a. of this annex, the student would have a part-time mode of study for the year.

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



20. 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 5.b.ii of this annex.

**Example 5: Degree apprenticeship**

21. A provider is currently offering a pre-registration nursing course, requiring study 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.
22. 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 than in the equivalent full-time course.

# Annex I: Level of study

This annex explains how to determine a student's level of study (undergraduate or postgraduate) for the purposes of HESES20. It also explains how to separate postgraduate students into the different categories of postgraduate taught and postgraduate research.

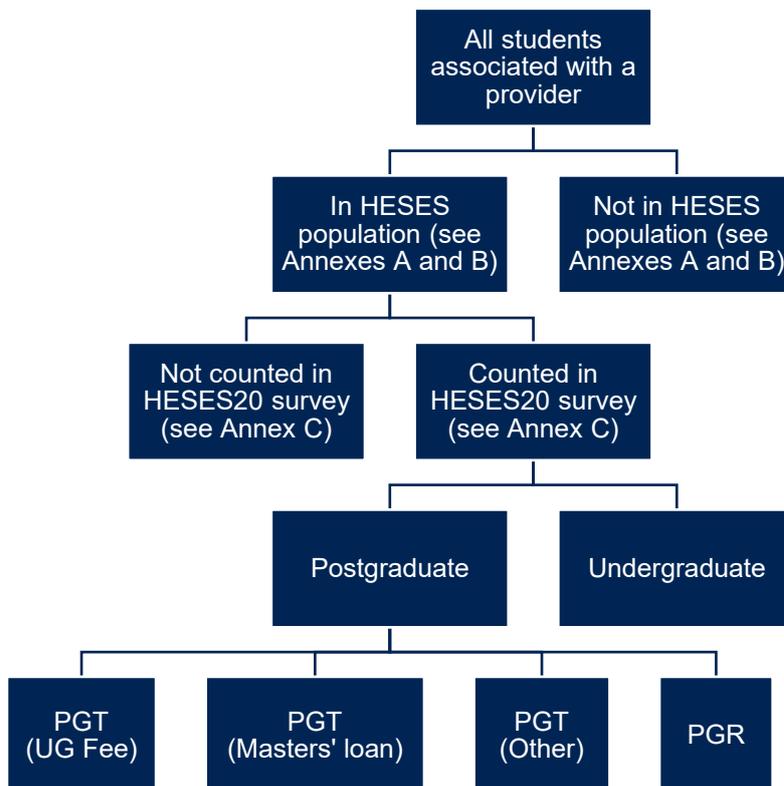
## Annex I contents

### Undergraduate

### 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

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>53</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.

## Postgraduate

2. 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).

<sup>53</sup> See <https://www.qaa.ac.uk/en/quality-code/qualifications-and-credit-frameworks>.

### **Postgraduate research**

3. 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 the Quality Assurance Agency for Higher Education's 'UK quality code for higher education' advice and guidance on research degrees.<sup>54</sup>

### **Postgraduate taught**

4. Postgraduate taught students are postgraduates who do not meet the requirements to be a research student.
5. 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.
6. 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))**

7. 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.
  - b. Some architecture students studying 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.

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

8. 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), as amended.<sup>55</sup> This excludes students on postgraduate courses that are designated under the undergraduate student support arrangements, such as postgraduate, pre-registration nursing, midwifery and allied health courses – these should

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<sup>54</sup> See <https://www.qaa.ac.uk/en/quality-code/advice-and-guidance/research-degrees>.

<sup>55</sup> See <https://www.legislation.gov.uk/uksi/2016/606/regulation/4>.

## Annex I: Level of study

be recorded in the PGT (UG fee) category. The PGT (Masters' loan) category applies to courses leading to a postgraduate masters' qualification 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.
9. Masters' loans are available only where the student is undertaking a full standalone 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>56</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 having started their course prior to 1 August 2016
  - 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'.
10. 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 HESES20 as PGR. No breakdown of PGR students between those on programmes eligible for a masters' loan and others is required.

### **Postgraduate taught (Other)**

11. PGT students who do not fall under the previous two categories should be recorded as PGT (Other).

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<sup>56</sup> See the Regulation 4(4ZA) of SI 2016/606 and the section 'Uni and course eligibility' at <https://www.practitioners.slc.co.uk/products/postgraduate-education/postgraduate-masters-loan/eligibility/>.

## Examples

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

23. 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' degree course, for which the 120-credit PGDip already counts towards the masters' credit requirement.
24. 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' degree; and when they do finally register for a masters' degree, they are using PGT credit previously achieved to top up.

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

25. A student registers for a 180-credit masters' degree course, 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.
26. The student would be recorded as PGT (Masters' loan), because they are aiming for a full PGT masters' degree.

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

27. A student registers for a 180-credit masters' degree course, 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).
28. 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' degree 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' degree, they would be reported as PGT (Other) for the top-up study.

## Annex J: Long years of instance

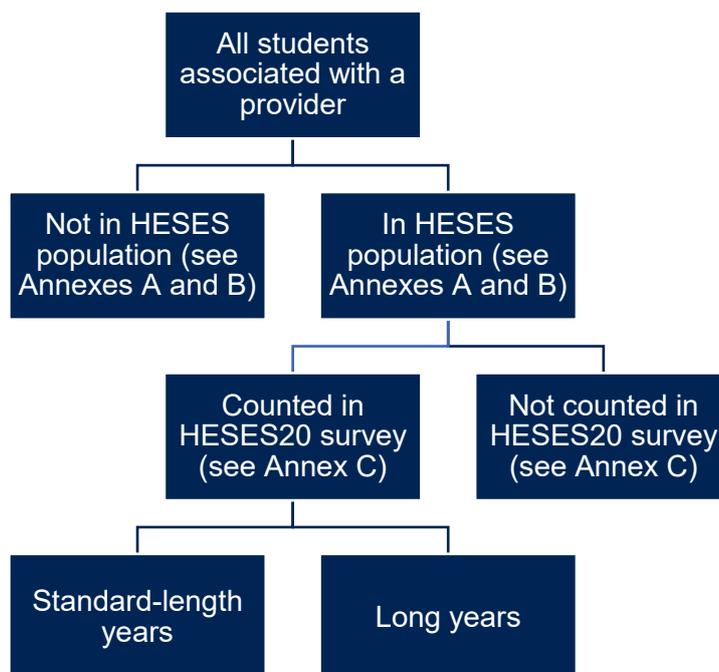
This annex explains how to determine if a full-time or part-time year of instance should be classed as 'long' for the purposes of HESES20. It also contains guidance on how to treat learning in the workplace and work experience when determining the length of a year of instance, as well as examples of 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' qualification.

### 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 Annex E paragraph 3. 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 paragraph 8.b. of this annex), 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

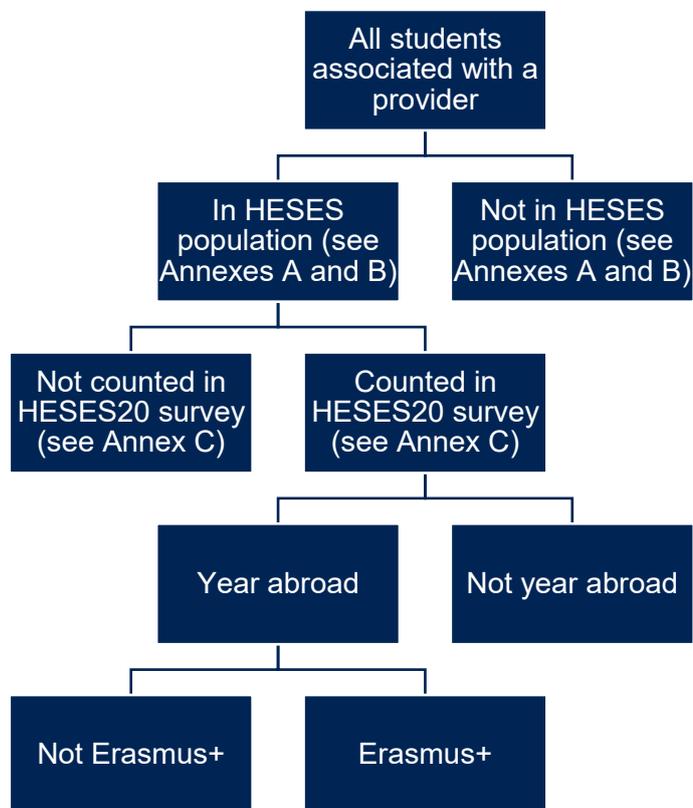
This annex provides guidance on how to assign years of instance to the appropriate category of year abroad in Table 4 of HESES20.

### 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 2020-21 as part of their instance.
2. We expect to use the information on Table 4 to inform the 2021-22 'Erasmus+ and overseas study programmes' funding allocation to support providers' participation in such programmes.<sup>57</sup>

### 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;

<sup>57</sup> At the time of writing, UK participation in the next Erasmus+ programme is subject to ongoing negotiations with the European Union. The OfS allocation supports providers' participation in exchange programmes generally, which, subject to those negotiations, may in future include (but not be limited to) Erasmus+ placements or placements under a replacement programme, in the event that the UK participates in the next Erasmus+ programme (2021-27) or if a replacement programme is implemented.

Or

- 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. Because of the coronavirus pandemic, providers may be offering students an alternative 'year abroad' experience involving, for example, online learning while remaining in the UK. Under these particular circumstances, students prevented from travelling abroad for their overseas year of study (as part of a degree from a UK higher education provider) due to the coronavirus pandemic will still be considered as attending the overseas institution if both of the following criteria are met:
    - a. That overseas higher education provider (rather than the provider in England) is providing the learning online. Sandwich years abroad will therefore not meet this criterion.
    - b. The fees charged to the student for the year are no higher than the regulated fee limit that would apply had the student been able to take the year abroad as normal.<sup>58</sup>
  5. 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.
  6. 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+

7. Years abroad are split between those taken under the Erasmus+ programme and other years abroad.<sup>59</sup> An Erasmus+ year abroad is an Erasmus year as defined in Regulation 2(1) of the Education (Student Support) Regulations 2011, Statutory Instrument 2011/1986, as amended.<sup>60</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.

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<sup>58</sup> The regulated fee limits for Erasmus+ and study years abroad are the same for both 2020-21 and 2021-22 and are available at: [www.officeforstudents.org.uk/advice-and-guidance/promoting-equal-opportunities/access-and-participation-plans/fee-limits/](http://www.officeforstudents.org.uk/advice-and-guidance/promoting-equal-opportunities/access-and-participation-plans/fee-limits/).

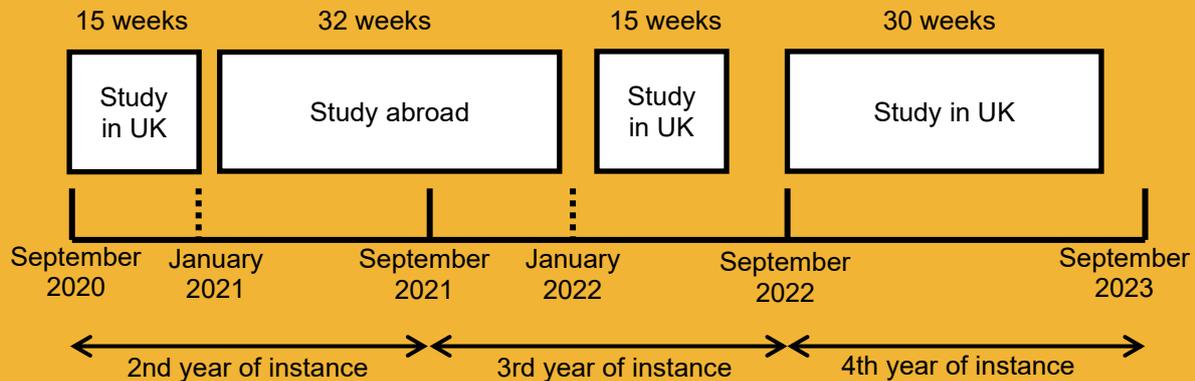
<sup>59</sup> Erasmus+ is the European Union programme for education, training, youth and sport for the period from 2014 to 2020. Further information about it can be found at [www.erasmusplus.org.uk/](http://www.erasmusplus.org.uk/) and the Erasmus+ programme guide, available online at <https://www.erasmusplus.org.uk/application-resources>.

<sup>60</sup> See <https://www.legislation.gov.uk/uksi/2011/1986/regulation/2>.

- b. As a non-Erasmus+ year abroad otherwise. This may include cases where an Erasmus+ study or work placement, which counts towards categorising the current year of instance as a year abroad, was taken in a previous year of instance but not in the current one.

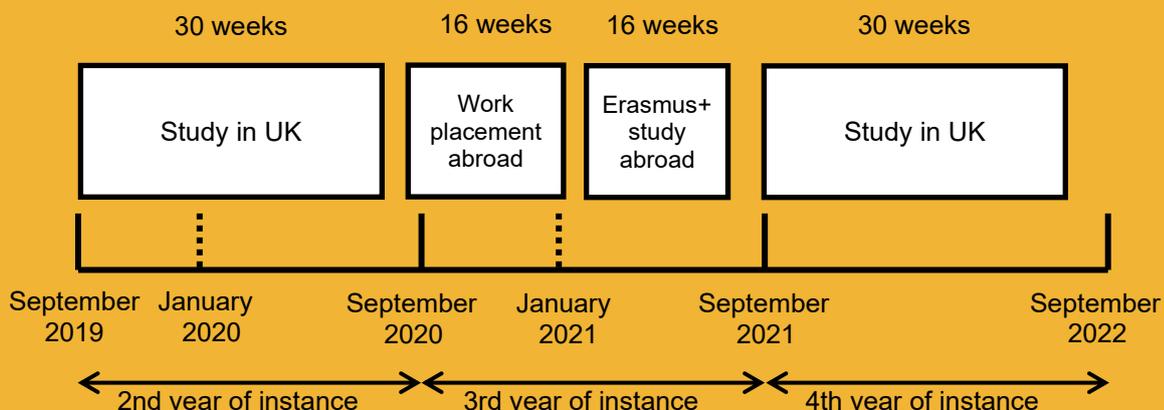
## Examples

### Example 1: Student spending a calendar year abroad



- A student studies a four-year full-time undergraduate course from September 2019 to June 2023. The student spends a year abroad studying at an overseas provider for the calendar year 2021, which incorporates parts of their second and third years of instance; all other study is in the UK.
- 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 2020, and they have not yet spent over 30 weeks studying abroad by the end of the year of instance.
- 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.

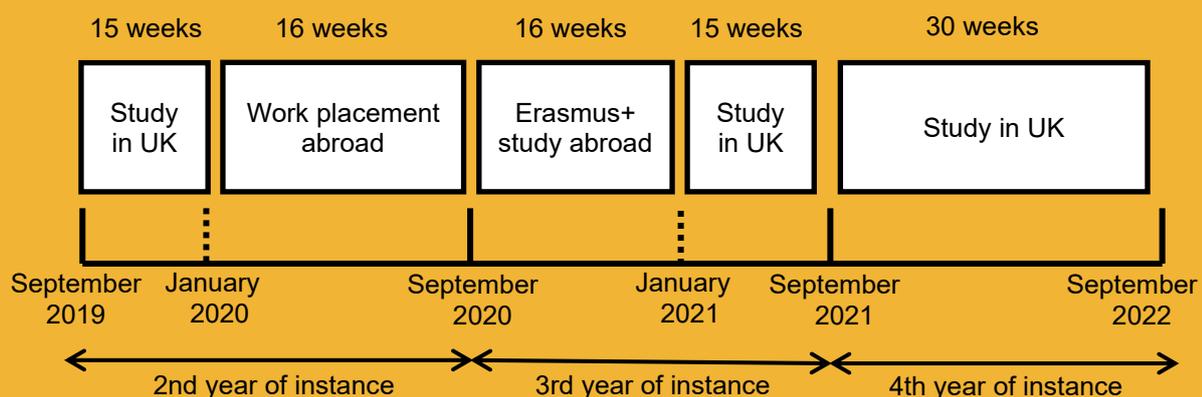
**Example 2: Student spending an academic year abroad**



10. A student studies a four-year full-time undergraduate course from September 2018 to June 2022. The student spends a year abroad between September 2020 and June 2021, 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.

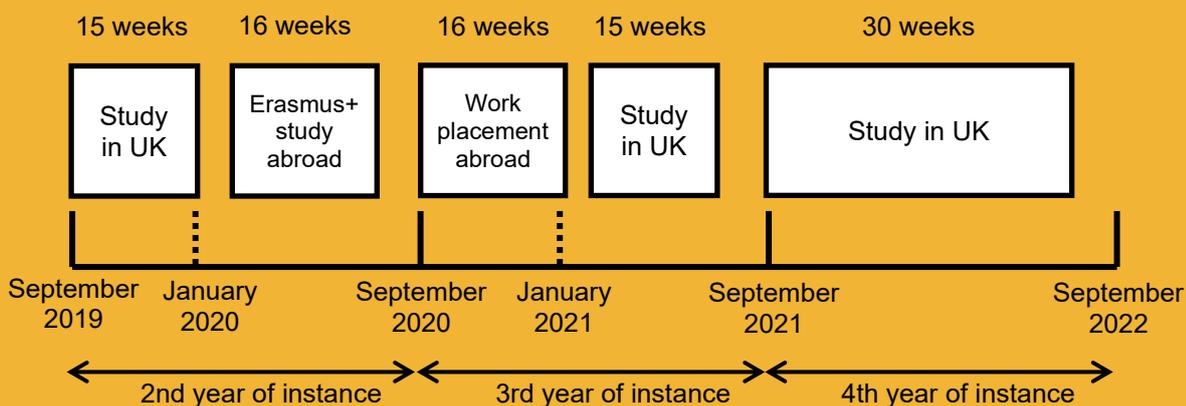
**Example 3: Work then Erasmus+ study abroad**



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 6a, 6b and 6c

This annex defines the pre-registration healthcare profession courses which must be included in HESES20. It also details definitions specific to Tables 6a, 6b and 6c. Only providers delivering these courses in 2020-21 need to complete these tables.

### Annex L contents

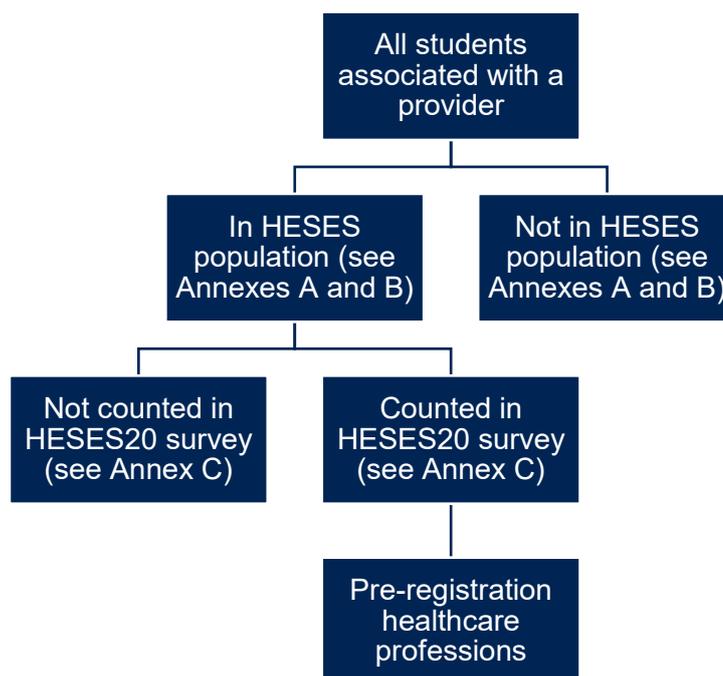
#### Definitions

- HESES nursing, midwifery and allied health professions population for 2020-21
- Healthcare professions

#### Guidance

- Mode
- Length
- Level

#### Examples



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. The transfer of funding responsibility for undergraduate dental hygiene and dental therapy and for postgraduate pre-registration courses took effect from 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 HESES20 and the data collected in 2019-20 are described under 'Summary of changes and clarifications since HESES19' in Part I of this guidance.

## Definitions

### HESES nursing, midwifery and allied health professions population for 2020-21

2. The HESES20 population for Tables 6a, 6b and 6c comprises years of instance for all Home and EU students on pre-registration nursing, midwifery and allied health profession courses (defined below). These years should continue to be included in Tables 1 to 5 as Home and EU, either as fundable or non-fundable, as appropriate (see Annex F). The information in Tables 6a, 6b and 6c will be used to inform calculation of the provider's nursing midwifery and allied health supplement funding allocation.
3. In Tables 6a, 6b and 6c, the definition of 'starters' is not the same as for new entrants in Table 5 (see Annex C). In general, starters on Tables 6a, 6b and 6c are students starting study for the first time on a relevant pre-registration nursing, midwifery or allied health profession course in a specific year. Please note:
  - a. Students who transfer during an academic year onto a pre-registration nursing, midwifery or allied health profession course from one that is not should be treated as a starter in the year in which they transfer onto the pre-registration course.
  - b. Students who transfer between different types of pre-registration nursing, midwifery or allied health profession course should be recorded against the profession that applies to their current course, but they should be treated as a starter in the year that their previous course started.
  - c. Students repeating a year of a pre-registration nursing, midwifery or allied health profession course should be treated as starters in the year they started the course, and not when they repeated the first year.
4. Tables 6a, 6b and 6c collect two mutually exclusive categories: **OfS-fundable** and **Non-fundable**.
5. Tables 6a and 6c also separately identify all Home and EU years of instance, both fundable and non-fundable, for students who are **starters in 2020-21**. This is collected for planning, not funding, purposes. These students will already have been recorded as either OfS-fundable or non-fundable.
6. Students at the Open University who are studying in Scotland, Wales or Northern Ireland should be excluded from Tables 6a, 6b and 6c, as funding responsibility for them rests with the devolved administrations. They should, however, still be included as appropriate in other HESES tables.

### Healthcare professions

7. 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:
  - the Nursing and Midwifery Council for nursing and midwifery
  - the General Dental Council for dental hygiene and dental therapy
  - the Health and Care Professions Council for all other professions listed.

8. '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 6a, 6b and 6c, 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 6a, 6b and 6c) should still be recorded in Tables 1, 2, 3 and 5.

**Figure L1: Courses for which activity should be included in Tables 6a, 6b and 6c**

Pre-registration courses in	Leading to registration with
<p>Nursing – adult Nursing – children Nursing – learning disability Nursing – mental health</p>	<p>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:</p> <ul style="list-style-type: none"> <li>• 'Pre-registration nursing – Adult' or 'Pre-registration nursing – Adult (pre-2018)'</li> <li>• 'Pre-registration nursing – Child' or 'Pre-registration nursing – Child (pre-2018)'</li> <li>• 'Pre-registration nursing – Learning Disabilities' or 'Pre-registration nursing – Learning Disabilities (pre-2018)'</li> <li>• 'Pre-registration nursing – Mental Health' or 'Pre-registration nursing – Mental Health (pre-2018)'.</li> </ul> <p>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) and similarly six types of 'Dual award – pre-registration nursing (pre-2018)' courses. Years of instance for students on such courses should also be included on Tables 6a, 6b and 6c, 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 6a, 6b and 6c between the categories 'Nursing – children' and 'Nursing – mental health'.</p>
<p>Nursing – unclassified</p>	<p>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'.</p>
<p>Midwifery</p>	<p>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:</p> <ul style="list-style-type: none"> <li>• 'Pre-registration Midwifery'</li> <li>• 'Pre-registration Midwifery – Short Course'</li> </ul>

Annex L: Pre-registration nursing, midwifery and allied health courses including guidance for Tables 6a, 6b and 6c

Pre-registration courses in	Leading to registration with
	<ul style="list-style-type: none"> <li>'Pre-registration midwifery – Three-year programme – 18-month programme (pre-2020)'</li> </ul>
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 'Dietician' from the drop-down menu under 'Search by 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 therapist' from the listing under 'Search by 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 practitioner' from the listing under 'Search by 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 'Orthoptist' from the listing under 'Search by 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 'Prosthetist / orthotist' from the listing under 'Search by 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 'Physiotherapist' from the listing under 'Search by profession'.
Podiatry	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 'Chiropodist / podiatrist' from the listing under 'Search by 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 'Radiographer' from the listing under 'Search by profession'. Providers will then need to distinguish between the two types of radiography according to the aim and content of their particular courses: after a search on Radiographer, the HCPC website distinguishes between these two types through a filter on 'Modality'.
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 therapist' from the listing under 'Search by profession'.

Pre-registration courses in	Leading to registration with
Dental hygiene Dental therapy	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. 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

9. Students recorded on Tables 6a, 6b and 6c should be separately identifiable on the 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.
10. For REGBODY, the codes are 06, 36, 37, 42, 44, 46, 47, 48, 50, 52, 55, 56, 57, 61, 62, 63, 64 and 65.

## Guidance

### Mode

11. The definitions of mode for Tables 6a (full-time), 6b (sandwich year out) and 6c (part-time) are in Annex H. However, sandwich year out students on Table 6b cannot be entered as starters in 2020-21 as we do not expect students to be on a sandwich year out in 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 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**

15. A student started a pre-registration course in 'Nursing – children' in September 2019. The student transfers to a pre-registration course in midwifery in September 2020. The student is recorded against the profession 'midwifery' but is **not** recorded as a starter in 2020-21, as that is not 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**

16. A student studied for a full-time bachelors' degree in biological sciences in 2018-19 and 2019-20, and completed the first two years of the bachelors' degree. However, in September 2020, the student transfers to a full-time pre-registration midwifery course at the same provider. The student is reported as a starter for 2020-21 in Table 6a.

17. However, such a student transferring within a provider would not be reported as a 'new entrant' on Table 5, as they are studying at the same provider and at the same broad level.

### **Example 3: Student already registered with the NMC, who enrolls on a pre-registration midwifery course in 2019-2019**

18. 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 2020. The midwifery course is listed as a pre-registration course by the NMC.

19. As the midwifery course leads to a first registration for the profession 'midwifery', the student is recorded in Table 6a against the profession 'midwifery' as a starter in 2020-21, regardless of already being registered with the NMC as a nurse.

### **Example 4: Student starting a specialist nursing course in September 2020**

20. A student previously trained as a nurse (Nursing – adult) and registered as a nurse with the NMC in 2017. The student starts a full-time undergraduate bachelors' degree in Specialist Nursing – health visiting at a provider's School of Health in September 2020. 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.

21. The student is not recorded in Table 6a 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 5: Nursing course including significant work placement**

22. 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.
23. 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>CAH</b>	Common Aggregation Hierarchy
<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>	Frameworks for higher education qualifications of UK degree-awarding bodies
<b>FTE</b>	Full-time equivalence
<b>GDC</b>	General Dental Council
<b>HCPC</b>	Health and Care Professions Council
<b>HECoS</b>	Higher Education Classification of Subjects
<b>HEFCE</b>	Higher Education Funding Council for England
<b>HERA</b>	Higher Education Research Act
<b>HESA</b>	Higher Education Statistics Agency
<b>HESES</b>	Higher Education Students Early Statistics survey
<b>HESF</b>	Higher Education Students Forecast
<b>HNC</b>	Higher National Certificate
<b>HND</b>	Higher National Diploma
<b>ILR</b>	Individualised Learner Record
<b>INSET</b>	In-service education and training
<b>ITT</b>	Initial teacher training
<b>JACS</b>	Joint Academic Coding System
<b>LARS</b>	Learning aims reference service
<b>LDCS</b>	Learn Direct Classification System
<b>MChem</b>	Master of Chemistry
<b>MEng</b>	Master of Engineering
<b>MPharm</b>	Master of Pharmacy
<b>MPhys</b>	Master of Physics
<b>MRes</b>	Master of Research
<b>NMC</b>	Nursing and Midwifery Council
<b>NVQ</b>	National Vocational Qualification
<b>OfS</b>	Office for Students

Annex M: List of abbreviations

<b>Abbreviation</b>	<b>Definition</b>
<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>SLC</b>	Student Loans Company
<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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