NOTES OF GUIDANCE

1 These notes of guidance apply to all institutions which receive funding from HEFCW directly, including both mainstream funding and funding for phase 2 of the ITT New Innovative Provision Initiative.

TABLES TO BE COMPLETED

2 There are two separate sets of tables to be completed by institutions. Copies of these are provided at Annexes P and Q. Institutions need to complete the tables relating to the provision for which they were funded in 2003/04. The annexes relate to provision funded through:

- the Council's mainstream funding (Annex P)
- phase 2 of the ITT New Innovative Provision Initiative (Annex Q).

3 Institutions will be sent the relevant tables in EXCEL 2000 workbooks by e-mail.

4 Descriptions of the tables are provided in Annex I.

CLASSIFICATION OF PROVISION

5 The survey collects information on both student registrations and associated credit values.

6 For student registrations, only those that are counted as completions as defined in Annex G are to be returned. They are classified according to residential and fundability status (Annex C), ASC (Annex D), mode of study (Annex E) and level of study (Annex F).

7 For credit values, data relating to home and EC fundable registrations are collected. The information is categorised into level of study, mode of study and ASC. Credit values are returned split into those associated with student registrations up to and including 1 November 2003 and credit values associated with new student registrations between 2 November 2003 and 31 July 2004. The numbers of non-completed credits are also collected and the total assumed completed credit values are calculated in the workbook. Annex H contains guidance on returning credit values.

8 Registrations of students domiciled in the 10 new EC countries and associated credit values must be counted as Island and overseas. See Annex C, paragraph 3.

9 Annex K contains HESA/HESES and HESA/EYM mappings. These should be regarded as indicative not definitive.

FRANCHISED STUDENTS

10 The term 'franchise', also referred to as 'outreach', in HE in Wales, refers to an HE course taught at an institution (the franchisee) which is not directly in receipt of funding from HEFCW for that course, and for which quality assurance is provided by another Welsh institution (the franchisor). Students taught at institutions in Wales may be registered at the franchisee or franchisor institution. However, students registered at institutions outside Wales, with a Welsh institution providing quality assurance, are not included within the definition of franchised students and should not be included in the return. Institutions may only count students and associated credit values franchised to institutions outside Wales if the Council has been notified of these courses and has agreed to their inclusion.

11 Students taught on the basis of a franchise agreement, referred to as 'franchised out' students, should be included in the return by the franchisor as part of their numbers of registered students or credit values. Part-time undergraduate franchised out assumed completed registrations are included in Tables 3 and 4 as a separate category. Credit values relating to part-time franchised out students should also be returned as a subset of total completed credit values in Table 1c, under the column headed 'Franchised Out Credit Values' (see Annex J). Franchised out courses and the institutions at which they are taught should be shown in Table 5.

JOINT COURSES

12 Students on courses which are run jointly by two or more institutions, and which are not the subject of a franchising arrangement, should be counted in proportion to the number of credits associated with the study at each institution.

DEFINITION OF A RECOGNISED HE QUALIFICATION

1 A recognised HE qualification is one which is awarded on the successful completion of a prescribed course of HE. Such qualifications include any postgraduate or undergraduate degree, including foundation degree, accredited HE diploma or HE certificate, including HND and HNC. Other professional or vocational qualifications may be included provided they are generally recognised as HE qualifications. Such qualifications, for example, college certificates, should only be included if they are validated by the University of Wales, the University of Glamorgan or are included (or awaiting inclusion) within the QCA framework.

2 Courses, modules or units which enable credit to be obtained towards recognised HE qualifications (as defined above) also fall within the definition of recognised HE courses for the purpose of this survey. This includes programmes or individual courses which include foundation study as an integral part of a longer programme which leads to, or provides credit towards, a recognised HE award, provided the student has registered for the longer programme.

DEFINITION OF RESIDENTIAL STATUS AND ELIGIBILITY FOR MAINSTREAM FUNDING

HOME AND EC STUDENTS

1 Home and EC students are those domiciled in the UK or EC (excluding those domiciled in the Channel Islands or the Isle of Man) or who are otherwise entitled to pay home fees, as defined in the Education (Fees and Awards) Regulations 1997 (SI 1997 No. 1972), as amended.

2 The Education (Fees and Awards) Regulations 1997 (SI 1997 No. 1972) can be found on the HMSO web-site, www.hmso.gov.uk, under 'Legislation', 'UK', 'Statutory Instruments'.

3 The EC expanded to include the following countries from 1 May 2004: Cyprus, Czech Republic, Estonia, Hungary, Latvia, Lithuania, Malta, Poland, Slovakia and Slovenia. Registrations and credit values relating to students domiciled in these countries should continue to be counted as overseas and should not be included as home and EC in the tables.

4 Where reference is made to total home and EC students, this relates to the sum of those eligible and ineligible for mainstream funding as defined in paragraphs 5 and 6 below.

Eligible for Mainstream Funding – Home and EC Fundable

5 Home and EC students are eligible for mainstream funding unless their place is considered ineligible as described in paragraph 6 below. Where a course is self-financing but open (i.e. other candidates who are suitably qualified may be enrolled), then the additional students may be returned as eligible for mainstream funding.

Ineligible for Mainstream Funding – Home and EC Non-fundable

6 Home and EC students ineligible for mainstream funding are those who may pay a home fee but whose place is not considered eligible for HEFCW mainstream funding. This category covers those on full cost or self-financing courses where:

a) the student place is being funded from public sources other than HEFCW. For example, Department of Health, NHS, GEST, Home Office;

b) the student place is funded from private sources;

c) the students are postgraduate research students in departments rated below 3b in the 2001 RAE, unless rated 2 and the department was shown to be in receipt of Research Council, Arts and Humanities Research Board or British Academy studentships or grants in the 2001 RAE and the HEFCW has notified the institution that the students in the departments concerned are eligible for postgraduate research (PGR) funding;

d) the students are fundable under phase 2 of the ITT New Innovative Provision Initiative. Such students must be returned on the ITT New Innovative Provision Initiative tables only.

ISLAND AND OVERSEAS STUDENTS

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

DEFINITION OF ASCs

1 JACS subject codes are used to assign ASCs. Below is a mapping from JACS code to ASCs. The guidance given in paragraphs 2 to 5 should be used to assign registrations to ASCs. The guidance given in paragraphs 6 to 8 should be used to assign credit values to ASCs.

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

*split into sub-categories.

APPORTIONMENT OF STUDENT REGISTRATIONS BETWEEN ASCs

2 The distribution of student registrations between ASCs, returned in Table 4, depends on the assigned subject of qualification aim, with the following exceptions:

Initial Teacher Training

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

Medicine and Dentistry

4 All full-time undergraduate registrations on courses in medicine and dentistry must be wholly assigned to ASC 1, irrespective of their JACS codes. Registrations on part-time and postgraduate courses in medicine and dentistry can be wholly or partly assigned to ASC 1. Courses other than medicine or dentistry should not be assigned to ASC 1, either in part or in whole.

Major/Minor or Balanced combinations

5 Where JACS codes indicate a major/minor or balanced combination of subjects split between two or more ASCs, the students should be allocated to the ASCs pro rata to the notional subject weightings and the resulting numbers must be rounded to whole numbers which, in total, show the correct number of student registrations.

APPORTIONMENT OF CREDIT VALUES BETWEEN ASCs

6 Full-time, sandwich and part-time registrations recorded on a credit value basis in Tables 1a and 1c are to be recorded according to the ASC of the subject taught in the course, module or unit and **not** the subject of the overall qualification aim of the students. This will generally correspond to the HESA module record JACS code for subject area of study - see Annex K.

7 In Table 1b, for sandwich year out students on placements or language years abroad, ASCs should be assigned in whichever ASC is considered most relevant.

8 Credit values relating to quota controlled subjects, ASC 11a full-time undergraduate and postgraduate taught and ASC 1 full-time undergraduate, must not be distributed across other ASCs; all should be returned in ASC 11a or ASC 1 as appropriate. Credit values relating to individual modules of courses other than medicine and dentistry or ITT (QTS) courses should not be assigned to ASC 1 or ASC 11a.

DEFINITION OF MODE OF STUDY

FULL-TIME

1 Students are classified as registered for full-time study if:

- they are registered at an educational establishment;
- they are pursuing studies;
- they are normally required to attend (whether at premises of the establishment or otherwise) for periods of a minimum of 24 weeks; and
- a whole full-time fee is chargeable for the current year of the programme of study; or
- they are in the final year of a full-time course in which they attend for less than 24 weeks.

2 This includes all full-time, sandwich, and language year abroad students other than those falling within the definition of 'Full-time Sandwich Year Out' below.

FULL-TIME SANDWICH YEAR OUT

3 Students are classified as registered for sandwich year out study if:

- they are registered at an educational establishment;
- they are pursuing studies where their course falls within the definition of sandwich provided in Regulation 5 of the Education (Student Support) (No. 2) Regulations 2002 (SI 2002 No. 3200), or they are full-time on a language year abroad; and
- in the current academic year, the fees chargeable are those described in paragraphs c), e) or f) of regulation 11 of the above regulations, or approximately half the whole full-time fees that would otherwise be charged if the student were classified as full-time.

PART-TIME

4 Students are classified as registered for part-time study if:

- they are registered at an educational establishment;
- they are pursuing studies; and
- they do not meet the requirements to be either full-time or full-time sandwich year out.

5 Mainstreamed Continuing Education (CE) Students should be classified as part-time.

DEFINITION OF LEVEL OF STUDY

1 For the purpose of this survey, credit values should be allocated to the level of study of the overall qualification aim of the student.

UNDERGRADUATE DEGREE

2 Undergraduate degree students are those aiming for a first degree.

UNDERGRADUATE NON-DEGREE

3 Undergraduate non-degree is defined as all undergraduate level courses which lead to a qualification other than a first degree. In general, such courses will be the equivalent of up to two years' full-time study, but the length of the course is not a defining factor when classifying courses as degree or non-degree. The relevant factor is whether the course enables the student to achieve a first degree or some other qualification - it is the latter which are classified as non-degree. Students on all programmes below first degree level should be classified as undergraduate non-degree even if the title of the qualification includes the word 'degree'. In particular, foundation degrees should be classified as non-degree.

4 Both full-time and part-time courses leading to certificates for the teaching of further education, returned in ASC 11b, should be treated as undergraduate courses regardless of the assigned HESA qualification aim code.

POSTGRADUATE

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

Postgraduate Taught

6 Postgraduate taught students are those attending courses which are mainly taught even though part of the course may include a dissertation.

7 PGCE courses are to be included as taught postgraduate courses provided that they lead to QTS.

Postgraduate Research

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

RULES FOR COUNTING REGISTRATIONS

1 Only students who meet the following criteria are to be included in this return:

a) they are registered. A registration is considered as a binding undertaking to pay a fee to an institution (unless the fee has been waived) as opposed to an acceptance of a place;
b) they are aiming to obtain a recognised HE qualification as defined in Annex B;
c) they are studying at least 3 per cent of a full-time equivalent (FTE), or approximately one week of study.

2 Included are:

a) new enrolments;
b) students re-registering for second or subsequent years of their study;
c) students on non-accredited HE courses only where the Council has been notified of these courses and has agreed to their inclusion;
d) students registered at FEIs, who are pursuing prescribed HE qualifications as defined in Annex B, only if their courses are eligible for mainstream funding from HEFCW either directly, or, through a franchise/outreach agreement (data to be returned only by the institution which franchises out the course);
e) out-going exchange students, including SOCRATES/ERASMUS students.

Excluded are:

a) incoming exchange students, including SOCRATES/ERASMUS, TEMPUS or Junior Year Abroad (JYA) students.

3 No full-time or sandwich student should be counted twice in the same academic year; nor should full-time or sandwich students who are registered for the main and an additional qualification offered within a single course be counted twice. However, students who are registered for two separate courses, where one is full-time or sandwich, and the other is part-time, may be included in Tables 3 and 4 under both full-time or sandwich and part-time. The corresponding credit values can be returned in Tables 1a or 1b, and Table 1c. For these purposes, a part-time course should be considered to be separate if the ability to follow that course is not dependent on concurrent enrolment on the full-time course and the student continues to meet all of the study requirements of the main course without increasing the length of the main course. For both full-time and part-time courses which lead to more than one qualification, only a single registration should be returned.

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

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

6 Institutions are asked to identify the number of registered students who complete the year of study. This is all eligible students who are registered within the academic year minus those who do not complete, or are expected to not complete, before the end of the academic year. Any transfers between ASCs, modes or levels of study should be included. Paragraphs 7 to 12 below describe those registrations that should be considered non-completions.

Non-completions

7 Non-completions occur where students do not complete their studies due to withdrawal, dropout, or failure to complete the year of study or take part in required assessment procedures. A registered student should generally be considered to be actively pursuing studies unless the institution has been formally notified of the student's withdrawal from the course. However, non-attendance for examinations generally indicates a student's failure to complete the year of study.

8 Students interrupting their studies for the remainder of the year of study for personal reasons are included in the definition of non-completions.

9 Students who sit examinations at the end of the course or year of study and fail them are deemed to have completed their studies and should **not** be included as non-completions.

10 Students who do not take part in all or some of the required assessment procedures for the year of study, but intend to complete the assessment just after the end of the year of study in order to enable them to progress to the next year or graduate, can be counted as completions **if** there is **auditable** evidence to show their intention. For example, a student who did not sit the end of year examinations in June because of illness, but instead has confirmed that he/she will attend the resit examinations in August by arrangement with the institution, can be counted as a completion. Where the student has failed to take part in required assessment procedures and there is no alternative arrangement to assess the student, they should be counted as a non-completion.

11 Some non-completions can be included as partial completions, and these are described in paragraph 12 below. Where registrations fall into the definition of partial completions, they should be included in the total returned as 0.5 of a completion.

12 For **full-time** courses only, registrations are considered as having partially completed in the following cases:

a) *Where the course is semesterised, if*
- individual modules are presented on a semester basis; and
- the student has not withdrawn before the end of the first semester; and
- the student has taken part in all assessment procedures required for the modules pursued that take place during or immediately after the end of the semester;

then, even if there is additional assessment of the work undertaken during the semester that falls at the end of the year of study, the student can be counted as a partial completion.

b) *Where the course is not semesterised, if*
- the student has not withdrawn in the first four months of attendance; and
- the student has taken part in all assessment procedures required for all modules started in the first four months, that take place during the first four months; and
- there is auditable evidence to show that the student was still in attendance at the end of the four months;

then, even if there is additional assessment of the work undertaken during the first four months that takes place at the end of the year of study, the student can be counted as a partial completion.

EXAMPLES

13 Below are some examples of how registrations should be returned. .

i) A student enrols on a full-time undergraduate course that starts on 1 October 2002 and finishes on 31 January 2004. He should be included in HESES/EYM 2002/03 as a full-time registration; and as a full-time registration again in HESES/EYM 2003/04 as even though he

attends for less than 24 weeks, he has not changed his mode of study and is still registered as a full-time student.

ii) A student enrols for a full-time PhD in April 2002 and completes the programme in March 2005. She should be counted as a registration in HESES/EYM 2001/02, 2002/03 and 2003/04. She is counted three times, once for each 12 month period of full-time study, in the academic year in which she first registered and in the two subsequent academic years containing the anniversary of the first registration.

iii) A student enrols for a semesterised full-time undergraduate course that normally starts on 1 October 2003 and finishes on 30 June 2005. She completes the first semester of the first year but drops out in the second semester due to personal reasons. She rejoins the course in the 2004/05 academic year and completes the whole of the first year, and then goes on to complete the second year of the course in the 2005/06 academic year. She should be returned in EYM 2003/04 as 0.5 of a full-time completed registration in Tables 3 and 4. In 2004/05 and 2005/06, she should be returned in Tables 3 and 4 as a full-time registration..

iv) 45 students enrol for a full-time undergraduate degree course in mathematics that starts on 1 October 2003 and finishes on 1 July 2006. Of the 45 students, 2 changed subject in November 2003, to study physics instead of mathematics, and 1 withdrew from the course in January 2004. Assumed completed registrations in mathematics returned in Tables 3 and 4 of EYM 2003/04 would be 42.

v) 15 students enrol for a full-time HND in engineering that starts on 5 October 2003 and finishes on 1 July 2005. One student withdrew in December of the first year of study, so 14 completed registrations are returned on EYM 2003/04. 2 of the 14 students who completed the first year of study changed their mode of study to part-time for the final half of the course. Therefore, on EYM 2004/05, 12 assumed completed registrations are returned as full-time and 2 assumed completed registrations are returned as part-time along with the registrations already on the part-time course.

vi) A student enrols for a full-time 30 month course that starts on 1 February 2004 and finishes on 31 July 2006. He should be included as a full-time registration in Tables 3 and 4 on EYM 2003/04, 2004/05 and 2005/06..

RULES FOR COUNTING CREDIT VALUES

1 Only credit values associated with modules, units or courses relating to registrations that are eligible to be counted as defined in Annex G, that are home and EC fundable, should be included in this return.

2 Credit values are used as the volume measure for funding all undergraduate and postgraduate taught provision. The numbers of credit values associated with enrolments are calculated by multiplying the total number of enrolments on each module, unit or course by the number of achievable credit values associated with the module, unit or course. For example, if 50 students are registered on a module from which 10 credit values may be achieved, the number of credit values to be recorded is 500. Credit values to be recorded are the credit values associated with the module, unit or course being pursued, not those successfully achieved.

3 All credit based data returned should conform to the Higher Education Credit Initiative Wales (HECIW) framework, except that the level of study should be that of the overall qualification aim and not that of the unit or module, if different. Institutions must not record more than the maximum permitted number of fundable credit values, as shown in paragraph 12 below, for each student over the course as a whole.

4 Where an institution has not formally allocated HECIW credit values to elements of its programmes, then notional credit values should be returned on the basis of the HECIW standard. This is 120 credit values for one academic year of HE experience for full-time undergraduates, apart from HNCs which normally have credit values in the range of 144 to 150; 180 credit values for postgraduates with one full 12 month year of HE, for example, an MSc with dissertation; and 120 credit values for postgraduate courses of less than a full 12 months, for example, a postgraduate diploma without a dissertation. In this context, it will be helpful to note HECIW's definition of the study year in terms of notional learning time: 1200 hours for undergraduates (academic year); 1800 hours for postgraduates (12 month year). (See HECIW Handbook, Specification and Guidance, paragraph 14.)

5 Each module or unit must be assigned to the academic year in which the module or unit started, and all credit values associated with that module or unit shown in HESES/EYM in that academic year only. In this way each credit value will be counted once only, even if the module or unit spans two academic years.

6 Each credit value should be ascribed to the ASC of the subject taught in the module or unit rather than the subject of the qualification aim of the student. For example, a mathematics module for business students will generally be ascribed to ASC 6, Mathematical Sciences, IT and Computing, not ASC 7, Business and Management. The ASC identified will generally correspond to the HESA module record JACS code for the subject area of study - see Annex D. However, the level of study of the credit should be assumed to be that of the qualification aim of the student.

7 If a course is not yet modularised, notional credit values based on the maximum numbers that can be claimed over the course as a whole should be returned, held in the ASC of the course.

8 Only modules essential for the award of the qualification should be counted. Optional or elective modules not essential to the award of the qualification must **not** be counted.

9 Credit values associated with students repeating a full year or semester on a full-time basis should be counted. However, repeat modules where the student has progressed to the next year of study must **not** be counted.

10 Sandwich year out modules should be recorded as 120 credit values. The numbers shown will be reduced in the funding model by multiplying by 0.5.

11 Where a student studying for a full-time course is also studying for a part-time course which is eligible to be counted, as described in paragraph 3 of Annex G, then the credit values relating to modules of the part-time course should also be counted.

12 The total numbers of credit values recorded as fundable for each course should not exceed the following:

Course	**Fundable Credit Values**
Professional doctorate	540
4 year degree (including integrated Master's)	480
3 year degree, plus sandwich year out (as returned on HESES/EYM) 3 year degree, plus sandwich year out (as used for funding purposes)	480 (to include SW as 120 credits) 420 (HEFCW to apply 0.5 weighting for SW year out)
3 year degree	360
Foundation degree (with conversion module(s))	240 (+36)
HND	240
HNC	Normally between 144 and 150
Master's degree with dissertation	180
Cert HE	120
Postgraduate diploma	120
Most minor qualifications	60

Postgraduate Taught Courses with Dissertations

13 Credit values relating to the dissertation element of full-time postgraduate taught courses should be returned on the full-time credit values table only.

14 Where the dissertation part of the postgraduate taught course starts in the same academic year as the course started, all credit values associated with the course should be returned within that academic year. For example, if a one year full-time postgraduate taught course starts in September 2003 and finishes in August 2004, and the dissertation associated with that course is started in July 2004, then a student on the course will be returned as a full-time registration on Tables 3 and 4 of EYM 2003/04 and 180 credit values will be returned on Table 1a of EYM 2003/04.

15 If the dissertation is started in the academic year following that in which the course was started, the credit values associated with the dissertation should be returned in the academic year in which the dissertation was started. For example, if a one year full-time postgraduate taught course starts in October 2003 and finishes in October 2004 and the dissertation associated with the course is started in August 2004, then a student on the course will be returned as a full-time registration on Tables 3 and 4 of EYM 2003/04, 120 credit values will be returned on Table 1a of EYM 2003/04, and 60 credit values, those associated with the dissertation, will be returned on Table 1a of EYM 2004/05. The student will **not** be returned as a registration on EYM 2004/05.

16 Students on one year full-time postgraduate taught courses with a dissertation should always be included as one full-time registration only with up to 180 credit values in total for the course, irrespective of when the dissertation is started.

Non-completions

17 Where a student withdraws or drops out having completed some modules or units, only the credit values associated with those modules or units that were not completed should be included as non-completions. Credit values associated with the completed modules or units

should **not** be included as non-completions. Paragraph 19 below describes how some non-completions may be returned as partial completions.

18 Credit values associated with modules or units where students have not taken part in the required assessment procedures but intend to complete the assessment just after the end of the year of study in order to enable them to progress to the next year or graduate, can be counted as completed **if** there is **auditable** evidence to show the student's intention. For example, credit values associated with a module where a student did not sit the end of year examination in June because of illness but instead has confirmed that he/she will attend the resit examination in August by arrangement with the institution, can be counted as completed credit values. Where assessment procedures for a module or unit have not taken place, and there is no alternative arrangement to assess the student for that particular module or unit, the credit values associated with the module or unit should be counted as a not completed.

19 For **full-time** courses only, credit values for non-completed modules may be returned as partially completed in the following cases:

a) *Where the course is semesterised, if*
- all assessments due for the module during the first semester have been undertaken;

then, even if there is additional assessment for the module at the end of the year of study, credit values relating to the module for the first semester can be counted as completed.

b) *Where the course is not semesterised, if*
- all assessments due for the module in the first four months of attendance have been undertaken; and
- there is auditable evidence that the student was still in attendance at the end of the four months;

then, even if there is additional assessment for the module at the end of the year of study, half the credit values associated with the module can be returned as completed.

EXAMPLES

20 Below are some examples of how credit values should be returned.

i) A student enrols for a part-time postgraduate diploma course on 1 October 2002 and completes his programme on 30 September 2004. The number of credit values associated with modules/units commenced in the period 1 October 2002 to 31 July 2003 would appear in HESES/EYM 2002/03; the credit values associated with modules/units commenced in the period 1 August 2003 to 31 July 2004 would appear in HESES/EYM 2003/04; and those associated with modules/units commencing in the period 1 August 2004 to 30 September 2004 (if any) would appear in HESES/EYM 2004/05.

ii) A student enrols for a part-time course on 1 June 2004 and completes the programme on 31 May 2006. The credit values to be recorded in HESES/EYM 2003/04 would be those associated with modules/units commenced between 1 June 2004 and 31 July 2005 and would be recorded in column 2 of Table 1c. Those relating to modules/units commencing between 1 August 2004 and 31 July 2005 would be recorded in column 1 of Table 1c of HESES/EYM 2004/05; and those relating to modules/units started between 1 August 2005 and 31 May 2006 would be recorded in column 1 of Table 1c of HESES/EYM 2005/06.

iii) A student enrols for a full-time HND on 1 October 2003 and finishes on 30 June 2005. All credit values associated with modules/units started in the period 1 October 2003 to 31 July 2004 would be recorded in HESES/EYM 2003/04 and all the credit values associated with modules/units started in the period 1 August 2004 to 30 June 2005 would be recorded in HESES/EYM 2004/05. The overall total number of fundable credit values for the course as a whole recorded in HESES/EYM 2003/04 and 2004/05 should not exceed 240 credit values.

iv) A student enrols on a full-time one year undergraduate diploma starting in April 2004, leading to 120 credit values in total, with 70 credit values relating to modules started before 1 August 2004, and 50 credit values relating to modules started on or after 1 August 2004. He would be returned as one full-time registration in Tables 3 and 4 of EYM 2003/04. The 70 credit values associated with modules started in the 2003/04 academic year would be returned in column 2 of Table 1a of EYM 2003/04 and the 50 credit values associated with the modules/units started in the 2004/05 academic year would be shown in column 1 of Table 1a of EYM 2004/05. He has been returned as one full-time registration, with 120 credits in total.

v) 30 students enrol for a full-time undergraduate degree course in chemistry (ASC 3) that starts on 1 October 2003 and finishes on 1 July 2006. 3 of the students change course to chemical engineering (ASC 4) after 1 November 2003 and 1 student drops out halfway through the first year. The modules that the students take in the first year are year-long and count for 120 credit values in total. In column 1 of Table 1a, 30 x 120 = 3,600 credit values are returned in ASC 3. In column 2, 3 x 120 = 360 credit values are returned as a negative number in ASC 3, and 3 x 120 = 360 credit values are returned in ASC 4. In column 3, 60 credit values are returned in ASC 3. The total assumed completed credit values associated with these 30 students would be 3,180 in ASC 3 and 360 in ASC 4.

vi) 40 students registered for a full-time economics degree course enrol on a year long econometrics module (ASC 6). 6 students transfer to a social science module (ASC 8) after 1 November, while remaining on the same economics degree course. Each module is worth 30 credit values. 1,200 credit values should be shown in ASC 6 in column 1 of Table 1a, 180 credit values should be shown in ASC 8 in column 2 of Table 1a and 180 credit values should be shown as a negative number in column 2 of ASC 6.

TABLE DESCRIPTIONS

DIRECTLY FUNDED HEIs AND FEIs

1 Directly funded provision includes provision at FEIs formerly funded through the HE in FE initiative and provision at HEIs formerly funded through the phase 1 of the ITT New Innovative Provision Initiative. Provision funded through phase 2 of the ITT New Innovative Provision Initiative should be returned on Tables 1T to 3T only and excluded from Tables 1 to 5.

2 In all tables, franchised out students and associated credit values should be returned by the franchisor only (see Annex A, paragraphs 10 and 11).

3 Tables 1a, 1b and 1c correspond to the three categories of mode of study defined in Annex E. These tables are mutually exclusive and together should sum to the total number of credit values associated with home and EC fundable registrations for the academic year 2003/04. Credit values are required by ASC and level of study.

Table 1a	Full-time home and EC fundable registrations for the academic year 2003/04 in terms of the credit values associated with the modules, units or courses started in the current academic year.
Table 1b	Sandwich year out home and EC fundable registrations for the academic year 2003/04 in terms of credit values.
Table 1c	Part-time home and EC fundable registrations for the academic year 2003/04 in terms of the credit values associated with the modules, units or courses started in the current academic year, including credit values associated with CE students, Community University of North Wales students and students on Ufi courses.

4 Table 2 collects information about full-time ITT (QTS) registrations between 1 August 2003 and 1 November 2003 inclusive.

Table 2 Home and EC fundable registrations in ASC 11a broken down by level of study and subject of study, together with an additional column for numbers gaining QTS. Within the 24 secondary subjects it should be noted that:

i. Mathematics includes Statistics;
ii. Physical Education includes Movement Studies and Dance.

5 Table 3 requests information on all assumed completed registrations.

Table 3 Completed student registrations for the academic year 2003/04 by level of study, mode of study and residential status and eligibility for mainstream funding.

6 Table 4 requests information on assumed completed home and EC fundable registrations.

Table 4 Completed home and EC fundable student registrations for the academic year 2003/04 by level of study, mode of study and ASC. The data returned here must, in total, match the data returned in columns 1a, 2a and 3a of Table 3, by level of study, for full-time, sandwich year out and part-time study respectively.

7 Table 5 requests information on franchised out courses.

Table 5	Assumed completed student registrations and credit values for courses which are franchised out, by course title; institution where the course is taught; fee status; ASC; mode of study; and level of study.

HEIs RECEIVING FUNDING UNDER PHASE 2 OF THE ITT NEW INNOVATIVE PROVISION INITIATIVE

8 Tables 1T and 2T request credit values relating to home and EC fundable registrations on phase 2 of the ITT New Innovative Provision Initiative, by course title. Table 3T requests information relating to all assumed completed registrations by mode of study, level of study and eligibility for initiative funding. Registrations and credit values funded under this initiative should not be included in Tables 1 to 5.

Table 1T	Full-time home and EC fundable registrations on courses funded under phase 2 of the ITT New Innovative Provision Initiative for the academic year 2003/04 in terms of the credit values associated with the modules, units or courses that comprise the current year of the course.
Table 2T	Part-time home and EC fundable registrations on courses funded under phase 2 of the ITT New Innovative Provision Initiative for the academic year 2003/04 in terms of the credit values associated with the modules, units or courses that comprise the current year of the course.
Table 3T	All completed registrations on courses funded under phase 2 of the ITT New Innovative Provision Initiative for the academic year 2003/04 by level of study, mode of study and eligibility for initiative funding.

COLUMN DESCRIPTIONS OF THE TABLES

DIRECTLY FUNDED HEIs AND FEIs

1 Directly funded provision includes provision at FEIs formerly funded through the HE in FE initiative and provision at HEIs formerly funded through phase 1 of the ITT New Innovative Provision Initiative. Provision funded through phase 2 of the ITT New Innovative Provision Initiative should be returned on Tables 1T to 3T only and excluded from Tables 1 to 5.

2 In all tables, franchised out students and associated credit values should be returned by the franchisor only (see Annex A, paragraphs 10 and 11) and included in all relevant columns.

3 Data returned in Tables 1a, 1b, 1c and 2, and credit values data returned in Table 5 must be whole numbers. Data returned in Tables 3 and 4, and registration data returned in Table 5 may be returned to one decimal place, where partial completions are included as 0.5 of a completion. However, institutions should note that where there has been apportionment of registrations between ASCs, figures must be rounded to whole numbers as described in Annex D, paragraph 5.

Tables 1a, 1b and 1c – Full-time, Sandwich Year Out and Part-time Credit Values

4 These tables request data on credit values for home and EC fundable undergraduate and postgraduate taught students, but not postgraduate research students. The credit values should be returned in accordance with the guidelines set out in Annex H. Note that some students excluded from Tables 3 and 4 as non-completions may be shown as completing modules or credit values in Tables 1a, 1b and 1c. Similarly, final year students on non-standard academic year courses may be excluded from Tables 3 and 4 but credit values for modules relating to those students may be recorded in Tables 1a, 1b and 1c.

5 Each table has four principal columns.

6 **Column 1**: Numbers of credit values arising from registrations on modules, units or courses between 1 August 2003 and 1 November 2003 inclusive. Figures should be net of all known transfers, withdrawals and dropouts occurring up to 1 November 2003.

7 **Column 2**: Numbers of credit values arising from new registrations on modules, units or courses after 1 November 2003. Figures recorded here should be inclusive of any transfers after 1 November.

8 **Column 3**: Numbers of credit values associated with non-completions of modules, units or courses, between 2 November 2003 and 31 July 2004 inclusive. Non-completions are defined in Annex H, paragraphs 17 to 19.

9 **Column 4**: This shows the overall assumed completed credit values to be used in the calculations of the main teaching funding arising from registrations on modules, units or courses for the academic year 2003/04. It is the sum of columns 1 and 2, minus column 3. The calculation is done automatically in the spreadsheet.

10 Table 1c has one additional column.

11 **Column 5**: Numbers of assumed completed credit values associated with students franchised out between 1 August 2003 and 31 July 2004 inclusive. See Annex A, paragraphs 10 and 11 for more details. Credit values returned here should be net of all known or predicted transfers and non-completions, consistent with column 4, and are a subset of the data returned in column 4.

Table 2 – ITT (QTS) Home and EC Fundable Student Registrations (ASC 11a)

12 **Column 1**: Numbers of home and EC fundable full-time registrations between 1 August 2003 and 1 November 2003 inclusive, broken down by subject of study, for ASC 11a. Figures should be net of all known transfers, withdrawals and dropouts occurring up to 1 November 2003.

13 **Column 2**: Numbers of home and EC fundable registrations that complete their studies and gain QTS at the end of the academic year 2003/04, consistent with column 1.

Table 3 – Full-time, Sandwich Year Out and Part-time Registrations

14 Table 3 requests data on assumed completed registrations for the academic year 2003/04 for all students by mode of study, level of study and residential status and eligibility for mainstream funding. Registrations should be returned in accordance with the guidelines set out in Annex G.

15 There are four principal columns.

16 **Column 1**: Numbers of completed full-time registrations, split into home and EC fundable, home and EC non-fundable and Island and overseas. Figures should be net of all known and predicted transfers, withdrawals and dropouts.

17 **Column 2**: Numbers of completed sandwich year out registrations, split into home and EC fundable, home and EC non-fundable and Island and overseas. Figures should be net of all known and predicted transfers, withdrawals and dropouts.

18 **Column 3**: Numbers of completed part-time registrations, split into home and EC fundable, home and EC non-fundable and Island and overseas. Figures should be net of all known or predicted transfers, withdrawals and dropouts.

19 **Column 4**: This shows the overall assumed number of completed registrations. It is the sum of columns 1, 2 and 3, split into home and EC fundable, home and EC non-fundable and Island and overseas. The calculation is done automatically in the spreadsheet.

Table 4 - Full-time, Sandwich Year Out and Part-time Home and EC Fundable Registrations by ASC

20 Table 4 requests data on assumed completed registrations for the academic year 2003/04 for home and EC fundable students only, by mode of study, level of study and ASC. Registrations should be returned in accordance with the guidelines set out in Annex G.

21 **Columns 1a to 1d**: Numbers of completed full-time home and EC fundable registrations for undergraduate degree, undergraduate non-degree, postgraduate taught and postgraduate research provision, respectively. Figures should be net of all known and predicted transfers, withdrawals and dropouts.

22 **Columns 2a to 2d**: Numbers of completed sandwich year out home and EC fundable registrations for undergraduate degree, undergraduate non-degree, postgraduate taught and postgraduate research provision, respectively. Figures should be net of all known and predicted transfers, withdrawals and dropouts.

23 **Columns 3a to 3d**: Numbers of completed part-time home and EC fundable registrations for undergraduate (not including franchised out), undergraduate franchised out, postgraduate taught and postgraduate research provision, respectively. Figures should be net of all known and predicted transfers, withdrawals and dropouts.

24 **Columns 4a to 4c**: This shows the overall assumed number of completed home and EC fundable registrations for undergraduate, postgraduate taught and postgraduate research provision, respectively. Column 4a is the sum of columns 1a, 1b, 2a, 2b, 3a and 3b; column 4b

is the sum of columns 1c, 2c and 3c; and column 4c is the sum of columns 1d, 2d and 3d. The calculations are done automatically in the spreadsheet.

Table 5 – Outreach/franchised out courses

25 Table 5 requests further information on assumed completed franchised out registrations and associated credit values already included in Tables 1, 3 and 4.

26 **Column 1**: The title of the franchised out course.

27 **Column 2**: The code of the institution at which the course is taught (see Annex O for a list of codes). If codes 9990 to 9996 are used (institutions or locations which are not Welsh HEIs or FEIs), the name of the institution or location involved should be included

28 **Column 3**: Fee status of the course. This column should be completed with one of the following: F (home and EC fundable), NF (home and EC non-fundable), IO (Island and overseas). See Annex C.

29 **Column 4**: Mode of study. This column should be completed with one of the following: FT (full-time), SW (sandwich year out), PT (part-time). See Annex E.

30 **Column 5**: Level of study. This column should be completed with one of the following: UG (full-time first degree or part-time undergraduate), NDUG (full-time undergraduate other than first degree), PGT (postgraduate taught), PGR (postgraduate research). See Annex F.

31 **Column 6**: Number of registrations on outreach and franchised out courses by ASC of the course. For combined or modular courses, registrations may be returned against more than one ASC (see Annex D, paragraph 5). See Annex D for a list of ASCs.

32 **Column 7**: Number of credit values associated with outreach and franchised out courses by ASC of the module or unit. See Annex D for a list of ASCs.

HEIS RECEIVING FUNDING UNDER PHASE 2 OF THE ITT NEW INNOVATIVE PROVISION INITIATIVE

35 Data returned in Tables 1T and 2T must be whole numbers. Data returned in Table 3T may be returned to one decimal place, where partial completions are included as 0.5 of a completion.

Tables 1T and 2T – Full-time and Part-time Credit Values

36 Tables 1T and 2T have four principal columns. They request data on full-time and part-time credit values respectively for students funded through the initiative, by course title. The credit values should be returned in accordance with the guidelines set out in Annex H.

37 **Columns 1 to 4**: As described for columns 1 to 4 of Tables 1a and 1c.

Table 3T – Full-time and Part-time Student Registrations

38 Table 3T has three principal columns and requests data on full-time and part-time assumed completed registrations for students being funded through the initiative.

39 **Columns 1 to 3**: As described for columns 1, 3 and 4, respectively, of Table 3.

HESA/HESES AND HESA/EYM MAPPINGS

1 This annex provides mappings which HEFCW will use to analyse HESA data and provide information on a comparable basis to those collected on the HESES and EYM surveys. These mappings should be regarded as indicative **not** definitive. It should be noted that in some cases, for example, the classification of full-time sandwich year out, it is not possible to define HESES categories entirely in terms of HESA fields. In particular, where students follow non-standard academic years and patterns of study within the institution are not the same from year to year, there may be discrepancies in comparisons made.

2 In all cases, the HESES/EYM rules must be followed when completing the HESES/EYM returns. It should not be assumed that students fall into a particular HESES/EYM category solely on the basis of the coding of HESA fields shown in this annex. The mappings show the name of the relevant HESA field with the number of the field in brackets; those from the student record are prefixed by an S; those from the module record are prefixed by an M.

HESES/EYM POPULATION

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

Students not studying towards a recognised HE qualification aim or a credit that can be counted towards one	QUALAIM (S41) = 53 to 55, 63, 71 to 83, 97 to 99
Students who withdraw on or before 1 November 2003	DATELEFT (S35) ≤ 01112003 and FUNDCOMP (S140) ≠ 1
Dormant, sabbatical or writing up students	MODE (S70) = 43, 44, 51, 63, 64
Incoming exchange students	SPCSTU (S28) = 3, 4, 5, 6, 8
Students taught wholly outside the UK	LOCSDY (S71) = 7
Students studying for less than 3% FTE	STULOAD (S74) < 3
Specific exclusions	FUNDCOMP (S140) = 9

4 The following students, though in the population, will not be counted for HESES03:

Students in their final year attending a course which follows a non-standard academic year	TYPEYR (S138) = 2 and DATELEFT (S35) ≤ 31072004 and DATELEFT (S35) ≤ anniversary of COMDATE (S26) in 2003/04

HESES/EYM CATEGORISATION

Residential Status and Eligibility for Mainstream Funding

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

Home and EC fundable	FUNDCODE (S65) = 1

Home and EC non-fundable	FUNDCODE (S65) = 2 and FEEELIG (S66)= 1, 3
Island and overseas	Otherwise

Assignment to ASCs

Registrations

6 Full-time registrations will be assigned to ASCs on the basis of the JACS codes shown in SBJQA1 (S43), SBJQA2 (S44), SBJQA3 (S45) and the balance indicator shown in SBJBID (S46), with the exceptions of medicine and dentistry (ASC 1) and ITT (QTS) (ASC 11a). The mapping between JACS codes and ASCs shown in Annex D will be used. Registrations can be split across ASCs and the following proportions in each ASC will assumed:

SBJQA1 (S43)	**SBJQA2 (S44)**	**SBJQA3 (S45)**	**SBJBID (S46)**	Proportion assigned to ASC
Completed	Blank	Blank	Blank	100% SBJQA1
Completed	Completed	Blank	1	50% SBJQA1, 50% SBJQA2
Completed	Completed	Blank	2	67% SBJQA1, 33% SBJQA2
Completed	Completed	Completed	Blank	33% SBJQA1, 33% SBJQA2, 33% SBJQA3

7 Medicine and dentistry registrations will be assigned using SBJQA1 (S43) only, as they can not be split between ASCs. ASCs will be assigned as follows:

	SBJQA1 (S43)
Pre-clinical medicine	A100
Clinical medicine	A300
Pre-clinical dentistry	A200
Clinical dentistry	A400

8 Medical and dental registrations will be further categorised as follows:

Registrations on intercalated years	QUALAIM (S41) = 24
	YEARPRG (S72)
Year 0	00
Year 1	01
Year 2	02
Year 3	03
Year 4	04

9 Registrations will be assigned to ASC 11a, ITT (QTS), where TTCID (S53) = 1. Registrations will be further categorised as follows:

Primary phase	ITTPHSC (S54) = 15, 16, 17, 18, 19, 51, 52, 53
Secondary phase	ITTPHSC (S54) = 24, 25, 26, 55, 56, 57

	Subject of study will be assigned using SBJQA1 (S43)
Gained QTS	OUTCOME (S146) = 1

	YEARPRG (S72)
Year 1	01
Year 2	02
Year 3	03
Year 4	04

Credits

10 Credit values are assigned to ASCs according to the JACS codes of the module, returned in SBJ01 (M13) and SBJ02 (M16), and the respective proportions in each, SBJPER01 (M14) and SBJPER02 (M17), using the mapping in Annex D. Modules undertaken by the HESES population are included in any comparisons and are counted in the academic year in which the module starts. The number of credit values is taken to be CRDTPTS (M9). Modules are assigned to ASCs as follows:

SBJ01 (M13)	**SBJ02 (M16)**	Proportion of CRDTPTS (M9) assigned to ASC
Completed	Blank	100% SBJ01
Completed	Completed	SBJPER01 (M14) to SBJ01, SBJPER02 (M17) to SBJ02

Mode of Study

11 Mode of study is categorised as follows:

Full-time	MODE (S70) = 01 or MODE (S70) = 23, 24, 52, 53 and FEEBAND (S67) ≠ 02, 42
Full-time sandwich year out	MODE (S70) = 23, 24, 52, 53 and FEEBAND (S67) = 02, 42 and LOCSDY (S71) = D, F
Part-time	Otherwise

Level of Study

12 Level of study is categorised as follows:

Undergraduate degree	QUALAIM (S41) = 18, 20 to 24 or QUALAIM (S41) = 12, 13 and TTCID (S53) ≠ 1
Undergraduate non-degree	QUALAIM (S41) = 15, 25 to 30, 32, 33, 41 to 45, 51, 52, 61
Postgraduate taught	QUALAIM (S41) = 03, 05, 07, 08, 10, 62 or QUALAIM (S41) = 12, 13 and TTCID (S53) = 1
Postgraduate research	QUALAIM (S41) = 02, 04, 06, 14

New Entrants

13 New entrants are categorised as follows:

New entrants	YEARPRG (S72) = 01

14 This coding assumes that patterns of study on courses including an integrated foundation year are similar from year to year.

Students Franchised Out

15 Students that are franchised out for the whole of the year are categorised as follows:

Franchised out	FRNCHACT (S150) = 3

16 Franchised out credit values are taken to be those associated with franchised out students.

SOCRATES/ERASMUS Student registrations

17 SOCRATES/ERASMUS students on whole year exchange out are categorised as follows:

SOCRATES/ERASMUS exchange year out	SPCSTU (S28) = 7 and FEEBAND (S67) = 03

New EC countries

18 Students domiciled in the 10 new EC countries, who are currently categorised as 'Island and overseas' are identified as follows:

Country	**DOMICILE (S12)**
Cyprus	1638
Czech Republic	1639
Estonia	1831
Hungary	1670
Latvia	1832
Lithuania	1833
Malta	1700
Poland	1727
Slovakia	1850
Slovenia	1835

Registrations up to 1 November

19 The following registrations will be assumed to be those registrations up to the 1 November, counted on Tables 2a and 2b of HESES and Table 2 of EYM:

Those who complete on or before 1 November 2003 and are on a standard academic year	DATELEFT (S35) ≤ 01112003 and FUNDCOMP (S140) = 1 and TYPEYR (S138) = 1
Those who started on or before 1 November 2003	COMDATE (S26) ≤ 01112003

Completions

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

Registrations that completed the year of programme, or have yet to complete but not failed to complete	FUNDCOMP (S140) = 1, 3

21 This does not include partial completions and may lead to an underestimate of the number of completed registrations returned on HESES/EYM.

Assignment of Credit Values to Columns in Tables 1a, 1b and 1c

Column 1

22 Credit values for modules associated with the following registrations, will be assumed to be in column 1 of Tables 1a, 1b and 1c:

Those who complete on or before 1 November 2003 and are on a standard academic year	DATELEFT (S35) ≤ 01112003 and FUNDCOMP (S140) = 1 and TYPEYR (S138) = 1
Those who started on or before 1 November 2003	COMDATE (S26) ≤ 01112003
Those on non-standard academic year courses who start their final year of study in 2002/03 and finish it in 2003/04	DATELEFT (S35) ≤ 31072004 and DATELEFT (S35) ≤ anniversary of COMDATE (S26) in 2003/04 and FUNDCOMP (S140) = 1 and TYPEYR (S138) = 2

Column 2

23 Credit values for modules associated with the following registrations, will be assumed to be in column 2 of Tables 1a, 1b and 1c:

Those who started after 1 November 2003	COMDATE (S26) > 01112003

Column 4

24 Credit values associated with the following registrations, will be assumed to be in column 4 of Tables 1a, 1b and 1c:

Countable registrations that completed the year of programme, or have yet to complete but not failed to complete	FUNDCOMP (S140) = 1, 3

25 Note that where modules were completed, but the student registration was counted as a non-completion, then the credit values will not be counted as completed in the comparison. Additionally, partial non-completions will be included as non-completions. This may lead to an underestimate of the number of completed credit values returned on HESES/EYM.

WORKBOOK NOTES

1 Excel workbooks containing spreadsheet versions of the tables to complete for the EYM 2003/04 return will be e-mailed to data contacts at individual institutions.

2 The e-mail will have one or two Excel workbooks attached depending on whether the institution has directly funded provision only or also has provision funded under the phase 2 of the ITT New Innovative Provision Initiative. Each workbook is saved in Excel 2000 and prefixed with a four character code identifying the institution, as follows.

Workbook name	**Tables included**
____EYM.xls	Tables 1 to 5
____EYM(ITT).xls	Tables 1T, 3T, 3T

3 Each table is contained in a separate worksheet within the workbook and worksheets are named after the relevant table.

4 If the workbooks are corrupt or unreadable please contact Iwan Jones (hestats@hefcw.ac.uk, 029 2068 2262) for assistance.

5 It is advisable to make a backup copy of the blank workbooks before attempting to edit any of the tables.

6 Institutions must not attempt to change the structure of the workbook by adding or deleting worksheets, rows or columns, or by overwriting or deleting any formulae. Worksheets contain information critical to loading of the data and it is essential that the structure of the workbook is not changed in any way.

7 Each workbook should be saved in Excel on completion, using the same filename and extension as that originally supplied. Names of the individual worksheets must not be changed. If the workbook is not saved in Excel 2000, institutions should ensure that the software has not used a different file extension by default.

8 The workbook containing Tables 1 to 5 includes a number of validation checks (see Annex M). Institutions should ensure their data pass all validation checks before the workbooks are returned.

9 The completed workbooks should be returned by e-mail to hestats@hefcw.ac.uk, and a hard copy of the tables should be returned separately by post. We will confirm receipt of e-mail returns and hard copies.

VALIDATION CHECKS

1 A number of validation checks have been built into the Excel workbook containing Tables 1 to 5 (see Annex P) and these are listed in paragraphs 3 to 10 below. The validation checks can be found to the right of the corresponding tables.

2 If data pass a particular validation check, a validation cell above the table will read 'Validation #: OK'; if data fail, the validation cell will read 'Validation #: Failure' (# denotes the particular validation check). If there is a validation failure, the cell causing the error will read 'ERROR' and be highlighted in red in the relevant validation check to the right of the table.

3 **Validation check 1**: In Tables 1a, 1b and 1c, if there is an entry in column 3, there must be an entry in column 1, column 2 or both columns 1 and 2.

4 **Validation check 2**: In Tables 1a and 1b, values entered in columns 1, 2 and 3 must be whole numbers.

5 **Validation check 3**: In Table 1c, values entered in columns 1, 2, 3 and 5 must be whole numbers.

6 **Validation check 4**: In Table 1c, for each level and ASC, franchised out credit values (column 5) ≤ total credit values (column 4).

7 **Validation check 5**: In Table 2 for each level and ASC, registrations gaining QTS (column 2) ≤ registrations between 1 August and 1 November (column 1).

8 **Validation check 6**: In Tables 3 and 4, all values entered must be to no more than 1 decimal place and must be a multiple of 0.5.

9 **Validation check 7**: In Table 4 for each mode and level, total registrations = the corresponding total home and EC fundable registrations in Table 3.

10 **Validation check 8**: In Table 5, the total number of registrations (column 6) across all franchised out courses ≤ total number of registrations in Table 4 (sum of columns 4a, 4b and 4c).

11 In addition to the above validation checks, some of the tables contain credibility checks, displayed beside the validation checks to the right of the tables. Institutions are invited to check and comment on instances where a CHECK message occurs.

12 **Credibility check 9**: In Tables 1a, 1b and 1c for each level of study and ASC, percentage increase/decrease between HESES03 and EYM03 > 25%, for column 4 credit values.

13 **Credibility check 10**: In Tables 3 and 4, for each level of study, mode of study and ASC, percentage increase/decrease between HESES03 and EYM03 >25%.

USAGE OF DATA BY HEFCW

1 The primary reason for collecting data through the EYM survey is to provide data to monitor funding allocations. An outline of the reasons for collecting the data on each table is given below.

Tables 1a, 1b and 1c

2 Tables 1a, 1b and 1c collect data relating to credit values for all modes of study and levels of study apart from postgraduate research. Credit values collected on EYM 2003/04 are used as the basis for calculating any adjustment to teaching funding allocations for the 2003/04 academic year.

3 For full-time and sandwich provision, funding allocations are calculated separately for undergraduate degree, undergraduate non-degree and postgraduate taught levels of study. Credit values associated with home and EC fundable registrations are collected, by ASC, in these three categories.

4 For part-time provision, funding allocations are calculated separately for undergraduate (not franchised out), undergraduate franchised out and postgraduate taught. Credit values associated with home and EC fundable registrations are collected, by ASC, in each of these three categories.

5 Collecting credit values data for all ASCs ensures that HEFCW has a complete picture of the number of credit values associated with home and EC fundable registrations relating to modules for the whole of the academic year.

Table 2

6 Data collected on Table 2 are used to predict and monitor the number of teachers qualifying with QTS in each phase, level of study and subject.

Tables 3 and 4

7 Tables 3 and 4 collect data relating to registrations. Table 3 collects data on all completed registrations for the year. The data are used to gain a complete, up to date picture of the size of the sector and also of the scale of provision that is not fundable by HEFCW.

8 Table 4 collects data for home and EC fundable registrations only, by ASC. The data collected here are used to look at patterns in student recruitment and to provide data to inform policy about particular subject areas. The data are also used to monitor the number of credit values returned in the survey, per registration.

Table 5

9 Table 5 collects data relating to registrations and credit values on franchised out courses. The data are collected to monitor the size and location of franchised out provision.

COLLEGE REFERENCE NUMBERS AND OTHER CODES RELATING TO THE INSTITUTION AT WHICH COURSES ARE TAUGHT

Reference number	FE Colleges in Wales
9003	Barry College
9004	Bridgend College
9005	Coleg Sir Gâr
9006	Coleg Ceredigion
9007	Deeside College
9008	Coleg Glan Hafren
9009	Gorseinon College
9010	Coleg Gwent
9012	Coleg Llandrillo
9013	Coleg Llysfasi
9014	Coleg Meirion-Dwyfor
9015	Merthyr Tydfil College
9017	Pembrokeshire College
9020	Coleg Morgannwg
9021	Coleg Powys
9023	St. David's Sixth Form College
9024	Swansea College
9025	Welsh College of Horticulture
9026	Yale College
9027	Ystrad Mynach College
9030	WEA South
9031	YMCA
9032	Coleg Menai
9033	Neath Port Talbot College
9034	Coleg Harlech/WEA North

Reference number	HE Institutions in Wales
0086	University of Wales, Newport
0087	North East Wales Institute of Higher Education
0089	University of Wales Institute, Cardiff
0090	University of Glamorgan
0091	Swansea Institute of Higher Education
0092	Trinity College Carmarthen
0176	University of Wales, Lampeter
0177	University of Wales, Aberystwyth
0178	University of Wales, Bangor
0179	Cardiff University
0180	University of Wales Swansea
0181	University of Wales College of Medicine
0182	Royal Welsh College of Music and Drama

Other codes	Types of Institution/Location
9990	Other location in Wales
9991	HE institution in England, Scotland, NI or other EC
9992	HE institution outside EC
9993	FE institution in England, Scotland, NI or other EC
9994	FE institution outside EC
9996	Any other location outside Wales

ANNEX P

PRINTED TABLES FOR COMPLETION BY ALL INSTITUTIONS DIRECTLY FUNDED BY HEFCW

ANNEX Q

PRINTED TABLES FOR COMPLETION BY HEIs RECEIVING FUNDING UNDER PHASE 2 OF THE ITT NEW INNOVATIVE PROVISION INITIATIVE