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Cylchlythyr

Circular

## Control of student numbers: final numbers and guidance for 2011/12 and future arrangements

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Principals of directly-funded further education institutions in Wales  
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This circular sets out guidance on the management of full-time undergraduate and PGCE student numbers from 2011/12, including final 2011/12 maximum numbers, initial 2012/13 maximum numbers and indications of future arrangements.

This document is available online, in large print, Braille, on CD and on audio CD and cassette. Should you or someone you know require this in an alternative format, please contact us on (029) 2068 2225 or email [info@hefcw.ac.uk](mailto:info@hefcw.ac.uk).



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## Introduction

1. Details of the student number control for 2011/12 and initial maximum student numbers for 2011/12 were published in HEFCW circular W10/33HE 'Guidance on the management of full-time undergraduate student numbers from 2011/12'.
2. This circular follows on from W10/33HE and sets out final maximum student numbers for 2011/12; guidance on monitoring recruitment of full-time (FT) undergraduate (UG) and PGCE new entrant student numbers 2011/12 against the maximum student number; the penalty arrangements for over-recruitment in 2011/12; initial maximum student numbers for 2012/13; and indications of arrangements for 2013/14.

## Background

3. The maximum student number applies to HEFCW-fundable home and EU full-time undergraduate and PGCE new entrant completions at Welsh higher education institutions (HEIs) and further education institutions (FEIs).
4. HEFCW circular W10/33HE set out the background to the introduction of a student number control from 2011/12 and gave the initial maximum student numbers by institution for 2011/12. Since that circular was published, in April 2011 further information about the calculation of the maximum student number for 2011/12 and adjustments to the maximum student number for 2011/12 were made available on our website. The web page can be found at [www.hefcw.ac.uk](http://www.hefcw.ac.uk), under 'Working with Higher Education Providers', 'Data collection and funding calculations', 'Maximum student number allocations'.
5. The adjustments made were as a consequence of the implementation of the regional dimension for higher education in Wales. They related to additional numbers awarded as part of the regional bidding exercise, adjustments due to movements between institutions as part of regional redistribution, and numbers allocated as part of the reward for regional redistribution. HEFCW circular W11/03HE 'Regional redistribution exercise 2011/12' gives more detail about the regional redistribution and its effect on the maximum student number. Some adjustments were also made for changes in funded Initial Teacher Training leading to Qualified Teaching Status provision.
6. Since the publication of the adjusted maximum student numbers on the website, institutions have had the opportunity to redistribute the reward credits allocated to them as part of the regional redistribution exercise (see HEFCW circular W11/30HE 'Redistribution exercise 2011/12') and redistribute funded credit values between institutions. Both these actions, if they involve movement of FT UG funded credit values, result in changes to the maximum student number. This circular gives the final maximum

student numbers for 2011/12 taking account of this and also gives guidance about how we will monitor recruitment against the maximum student number in 2011/12.

7. This circular also gives information about the arrangements for 2012/13 and an indication of the arrangements for 2013/14.

### **Maximum student number 2011/12**

#### *Final maximum numbers for 2011/12*

8. Further adjustments to the maximum student numbers for 2011/12 published on our website have been made as a result of the 2011/12 redistribution exercise that was carried out in September 2011 (see paragraph 6). HEFCW-approved redistribution of full-time undergraduate provision in reward credit values and between institutions has been converted to new entrant funded places using the average number of credit values per enrolment from HESES 2010/11 and the proportion of enrolments that are new entrants taken from 2008/09. These factors have been used to be consistent with previous adjustments made after regional redistribution in April 2011 (see paragraph 5).
9. As the further adjustments resulted in a sector maximum number lower than the baseline, the small difference has been allocated pro rata to institutions' maximum student numbers in order to maintain the baseline figure. These adjustments and the resulting recalculated maximum student number for each institution for 2011/12 are shown at Annex A.
10. A calculation spreadsheet showing all the calculations made in setting the maximum student numbers, by individual institution, can be found on the maximum student number web page as described in paragraph 4.

#### *Monitoring recruitment against the maximum student number*

11. Final monitoring of recruitment will be carried out using 2011/12 Higher Education Statistics Agency (HESA) or Lifelong Learning Wales Record (LLWR) student data, as appropriate, and will be carried out in early 2013, once final end year data for 2011/12 are available. See also paragraph 17.
12. Guidance on monitoring recruitment against the maximum student number was circulated to institutions prior to the annual HEFCW data workshop on 28 July 2011. That guidance is reproduced here, in Annex C.

#### *Verification of data used for monitoring*

13. Verification tables containing data for 2011/12 extracted from the HESA and LLWR student records to be used in monitoring, plus details of the students extracted from the records, will be sent to institutions in early 2013. Institutions will be allowed to make amendments to the number used for monitoring, though details of any proposed amendments and the

reasons why the data are incorrect, or why our data extraction is incorrectly counting or not counting students, must be given to us and any changes made will have to be approved by us.

14. Institutions are reminded that data used to monitor the maximum student number are subject to audit.

#### *Level of tolerance*

15. The level of tolerance is 2 per cent on the maximum student number published in Annex A, rounded to the nearest whole number, or one student, whichever is the greater.

#### *Penalty arrangements*

16. The penalty arrangements for 2011/12 have been notified in HEFCW circular W11/40HE 'Changes to the teaching funding mechanism for higher education in Wales'. Essentially, any reduction to our grant by the Welsh Government (WG) as a result of over-recruitment in 2011/12, will be applied to Public Investment Fund (PIF) allocations by reducing individual institutions' allocations for 2012/13 pro rata to the level of over-recruitment in 2011/12.
17. There will be a time lag between WG reducing HEFCW grant for 2012/13 and HEFCW calculating allocations of funding for individual institutions for 2012/13 (anticipated to be spring 2012) and HESA and LLWR data becoming available to use in monitoring over-recruitment in 2011/12 (available end of 2012, verified early 2013). This means that adjustments to PIF allocations for 2012/13 for over-recruitment at individual institutions may initially have to be made on estimates of 2011/12 end of year figures, with further adjustments being made once verification of 2011/12 HESA and LLWR data has been carried out. Initial estimates of 2011/12 end of year figures and hence levels of over-recruitment are likely to be made using data from the Student Loans Company (SLC) and data returned on the Higher Education Students Early Statistics (HESES) survey 2011/12. Exact details of the arrangements will be finalised and notified to institutions in early 2012.

### **Maximum student number 2012/13**

#### *Initial maximum student number 2012/13*

18. The initial maximum student numbers for 2012/13 are shown in Annex B. The numbers are initially set at the same level as the 2011/12 numbers, and are therefore based on HEFCW-fundable home and EU full-time undergraduate and PGCE new entrant completions at Welsh higher education institutions (HEIs) and further education institutions (FEIs). Adjustments will be made to the numbers for ITT providers to take account of the decrease of 100 places in PGCE intake in 2012/13 (see HEFCW circular W11/34HE 'Initial Teacher Training: Intake Targets 2012/13',

paragraph 5). These adjustments will be made once institutional allocations of teacher training places have been calculated. We are also considering monitoring recruitment to quota subjects separately from 2012/13 onwards. Other adjustments may be made in future, for example, for movements of provision between institutions. In the event of institutional merger, we would expect to add together the maximum student numbers for the merging institutions.

19. We anticipate that monitoring of the maximum student numbers in 2012/13 and verification of data will follow the same criteria and process as for 2011/12.
20. For 2012/13 onwards, if data show that retention of new entrants has improved since the baseline number was set then an adjustment to the maximum number for institutions with improved retention will be made in the monitoring of the maximum number for 2012/13. This is to acknowledge the fact that improved retention leads to additional completed new entrants without additional recruitment.

#### *Penalty arrangements for 2012/13*

21. As the level of our PIF funding decreases with the increase in our fee grant responsibility, adjustments to PIF funding may become a less effective means of discouraging over-recruitment. Therefore, from 2012/13 recruitment onwards, in addition to any penalty applied to PIF funding, penalties will also include a reduction in the following year's maximum student number, at an institutional level.
22. Institutions are also reminded that as fee plans contain commitments to operate within the maximum student number, ultimately sanctions for over-recruitment could result in a decision by HEFCW to not allow the institution to charge a fee over the basic amount because of its breach of the fee plan.

#### **Arrangements for 2013/14 and beyond**

##### *Confirmed arrangements*

23. Circular W10/33HE (see paragraph 12x) indicated that we would consider moving away from a baseline maximum number calculated on the basis of new entrants. This has been considered and from 2013/14, to enable better control on overall student numbers and the consequent effect on the student finance budget, the maximum student number will no longer be calculated just on the basis of new entrants. This will be done by phasing in the addition of cohorts over a period of time, with 2013/14 controls being based on two cohorts of students, the new entrant maximum number in 2012/13 converted to numbers progressing to a second year, and new entrants in 2013/14. The 2013/14 student number control will therefore include both cohorts of students that are under the new fee regime.

### *Other considerations*

24. In addition to the change from a new entrant measure to an all-year measure, in the setting of the 2013/14 maximum number, we are considering the introduction of a reallocation of new entrant maximum numbers using a core and margin approach. See HEFCW circular W11/40HE, 'Changes to the teaching funding mechanism for higher education in Wales', paragraph 14, for more details on the background and the proposals. This process is in the early stages of development and we intend to publish further details in early 2012.
25. The intention would be that the core/margin approach would involve a top-slice on the maximum student number across the sector, excluding the following: Medicine, Dentistry, STEM and MFL subjects, ITT (QTS) provision and Conservatoire Performance Element provision. Those numbers would be reallocated to institutions on a basis yet to be determined but which is likely to include a formulaic element favouring those charging an average fee below or at a specified average fee level and with a quality level acceptable to HEFCW; as well as a bid based element reflecting criteria that address key *For our Future* priorities, especially those priorities which might not otherwise be supported via fee plan arrangements.
26. The average fee level, the scale of the top-slice and the balance between formulaic and bid-based allocation remain to be determined.

### *Further details*

27. Further details of the calculation of the 2013/14 maximum student number and the reallocation of numbers will be notified to institutions in early 2012.

### *Control of part-time student numbers*

28. The new part-time undergraduate fee regime is currently under consultation by WG. As yet, there is no control of part-time undergraduate student numbers in place, though it is likely that there will be from 2013/14. Any developments of a student number control for part-time students will be notified to institutions in future correspondence.

### **Equality impact assessment**

29. We are committed to making equality a core issue in developing and implementing policies and services, and evaluating and refining them to advance the equality agenda. We have a legal responsibility to assess the impact of our policies on equality groups, and to set out how we will monitor or address any possible negative impact.
30. To ensure that we do not discriminate and that we are doing all we can to promote equality and good relations between different groups, equality impact assessments (EIAs) have been carried out on the implementation of

the maximum student number (HEFCW circular W10/33HE) and the outcomes of the funding consultation (HEFCW circular W11/40HE). The outcomes of these two EIAs are available on request.

### **Further Information**

31. For further information on policy direction, please contact Leanne Holborn, [leanne.holborn@hefcw.ac.uk](mailto:leanne.holborn@hefcw.ac.uk), 029 2068 2259; or for further information on calculations and monitoring, please contact Hannah Falvey, [hestats@hefcw.ac.uk](mailto:hestats@hefcw.ac.uk), 029 2068 2240.

## Annex A

### Maximum number of completed HEFCW-fundable full-time undergraduate and PGCE new entrants 2011/12

Institution	Maximum number 2011/12 (published on HEFCW's website in April 2011)	Adjustment as a result of redistribution September 2011	Adjustment to maintain pre-topslice baseline	Final maximum student number 2011/12
University of Glamorgan	4,119	0	2	<b>4,121</b>
Aberystwyth University	2,530	-26	1	<b>2,505</b>
Bangor University	2,119	6	1	<b>2,126</b>
Cardiff University	4,476	8	2	<b>4,486</b>
University of Wales Trinity Saint David	1,074	0	1	<b>1,075</b>
Swansea University	2,547	0	1	<b>2,548</b>
University of Wales Institute, Cardiff	2,849	0	1	<b>2,850</b>
University of Wales, Newport	1,521	0	1	<b>1,522</b>
Glyndŵr University	1,117	0	1	<b>1,118</b>
Swansea Metropolitan University	1,828	0	1	<b>1,829</b>
Bridgend College	18	0	0	<b>18</b>
Coleg Sir Gâr	101	0	0	<b>101</b>
Coleg Llandrillo Cymru	235	0	0	<b>235</b>
Neath Port Talbot College	11	0	0	<b>11</b>
<b>Total</b>	<b>24,545</b>	<b>-12</b>	<b>12</b>	<b>24,545</b>

*See maximum student number web page on the HEFCW website, [www.hefcw.ac.uk](http://www.hefcw.ac.uk), 'Working with Higher Education Providers', 'Data collection and funding calculations', 'Maximum student number allocations' for further details of the calculation of the maximum student number.*

## Annex B

### Initial maximum number of completed HEFCW-fundable full-time undergraduate and PGCE new entrants 2012/13

Institution	Initial maximum student number 2012/13
University of Glamorgan	4,121
Aberystwyth University	2,505
Bangor University	2,126
Cardiff University	4,486
University of Wales Trinity Saint David	1,075
Swansea University	2,548
University of Wales Institute, Cardiff	2,850
University of Wales, Newport	1,522
Glyndŵr University	1,118
Swansea Metropolitan University	1,829
Bridgend College	18
Coleg Sir Gâr	101
Coleg Llandrillo Cymru	235
Neath Port Talbot College	11
<b>Total</b>	<b>24,545</b>

See *maximum student number web page on the HEFCW website, [www.hefcw.ac.uk](http://www.hefcw.ac.uk), 'Working with Higher Education Providers', 'Data collection and funding calculations', 'Maximum student number allocations'* for further details of the calculation of the maximum student number.

### **Guidance on monitoring recruitment against the maximum student number 2011/12**

1. The maximum student number applies to HEFCW-fundable home and EU full-time undergraduate and PGCE new entrant completions at Welsh HEIs and FEIs. This annex gives details of the coding used to extract the data used for monitoring and gives guidance relating to particular groups of students.
2. The maximum student numbers allocated to institutions will be monitored using HESA data for HEIs and LLWR data for FEIs. Data used for the final monitoring the 2011/12 maximum number will be extracted from the 2011/12 HESA and LLWR records in early 2013. The coding used that will be used to extract the data has been published in the 2010/11 data requirements circular (HEFCW circular W11/05HE) and is reproduced here (with changes to dates, the addition of code M26 to the list of COURSE.COURSEAIM codes considered to be undergraduate and updates to the LLWR for 2011/12).

### **Data used to monitor the cap in 2011/12**

3. The criteria and fields shown below will be used to extract the data from the HESA student record and the LLWR.
4. If a student is following more than one course and has two or more records fitting the criteria to be included, the student is counted only once. On the HESA student record and the LLWR, this means that only one instance of each student is kept, all other instances for the student are excluded. This exclusion is carried out after applying all other criteria to the data, by keeping only one instance per student identifier INSTANCE.HUSID on the HESA student record, or the first occurrence only of LEARN\_ID (LN02) on the LLWR.
5. Some new entrants have unknown completion status on the HESA student record data. We expect the numbers of these to be small as the majority of full-time undergraduate and PGCE enrolments will have known completion status at the time of completing the HESA return. We will count a proportion of these in the monitoring of the cap, with the proportion based on the proportion of completions out of those with known completion status. For FEIs, completion information cannot be obtained from the LLWR record. Therefore, credit completion rates, taken from the HESSES or EYM survey will be used to estimate the number of completions out of the data extracted.

**HESA data:**

Home and EC HEFCW fundable	INSTANCE.FUNDCODE = 1
Not incoming exchange	INSTANCE.EXCHANGE ≠ 2, 4, 8, 9, A
Active 1/8/11 to 31/7/12 and not in the final academic year of a non-standard academic year course	INSTANCE.TYPEYR = 1 and INSTANCE.COMDATE ≤ 31/07/12 and INSTANCE.ENDDATE ≥ 01/08/11 or blank OR INSTANCE.TYPEYR = 2 and INSTANCE.ENDDATE ≤ 31/07/12 and INSTANCE.ENDDATE ≠ blank and INSTANCE.ENDDATE > anniversary of INSTANCE.COMDATE in 2011/12 + 14 days OR INSTANCE.TYPEYR = 2 and INSTANCE.ENDDATE ≤ 31/07/12 and INSTANCE.ENDDATE ≠ blank and INSTANCE.ENDDATE ≤ anniversary of INSTANCE.COMDATE in 2011/12 + 14 days and INSTANCE.UNITLGTH = 3 and INSTANCE.SPLENGTH = 01, 02 or INSTANCE.UNITLGTH = 4 and INSTANCE.SPLENGTH = 01-14 or INSTANCE.UNITLGTH = 5 and INSTANCE.SPLENGTH = 01-42 OR INSTANCE.TYPEYR = 2 and INSTANCE.COMDATE ≤ 31/07/12 and INSTANCE.ENDDATE = blank
Full-time or sandwich mode of study	INSTANCE.MODE = 01, 23, 24, 52, 53 (sandwich year out counted as 0.5 where INSTANCE.MODE = 23, 24 and INSTANCE.LOCSDY = D, E, F, G and INSTANCE.SPECFEE = 1)
Studying for greater than 3% FTE	INSTANCE.STULOAD ≥ 3
Undergraduate or PGCE	COURSE.COURSEAIM = all C, H, I, J codes except C99, H99, I99, J99 COURSE.COURSEAIM = M22, M26 or COURSE.COURSEAIM = M71 and COURSE.TTCID ≠ 1 or COURSE.TTCID = 1
New entrants	INSTANCE.YEARSTU = 1
Completions	INSTANCE.FUNDCOMP = 1 or INSTANCE.FUNDCOMP = 4 (partial completion counted as 0.5)
Estimated completions	INSTANCE.FUNDCOMP = 3 multiplied by proportion of total new entrants with known completion status that are completed (count of

	INSTANCE.FUNDCOMP = 1 plus 0.5 of INSTANCE.FUNDCOMP = 4 divided by count of INSTANCE.FUNDCOMP = 1, 2, 3, 4)
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**LLWR data:**

Home and EC HEFCW fundable	MAIN_STR (LA11) = 2
HE level Learning Programme	TYPE_LPG (LP17) = 53, 55, 56, 57, 58, 59
Learning Activity Active 1/8/11 to 31/7/12	STARTDTE (LA09) ≤ 31/07/12 and TERMDATE (LA30) ≥ 01/08/11 or = 31/12/9999
Full-time or sandwich mode of study	MODE_ATT (HE13) = 01, 02 (sandwich year out counted as 0.5 where MODE_ATT (HE13) = 02)
Undergraduate	COURSEAIM (HE14) = all C, H, I, J codes except C99, H99, I99, J99 or COURSEAIM (HE14) = M22, M26
New entrants	STARTDTE (LA09) of earliest learning activity associated with learning programme ≥ 01/08/11
Completions	Credit completion rates are taken from the HESES or EYM survey and applied to the data extracted from the LLWR to reduce the figures to estimated number of completions.

*LP = Learning Programme dataset, LA = Learning Activity dataset, HE = Higher Education dataset, number indicates the number of the field on the record*

6. In general, institutions should note that for HESA returns, for a single student instance, INSTANCE.YEARSTU would be expected to increment each year and therefore students will only be counted as new entrants at the start of a new instance. Further guidance on when to continue a student instance and when to assign a new instance can be found on the HESA website:

[www.hesa.ac.uk/index.php/component/option,com\\_studrec/task,show\\_file/Itemid,233/mnl,10051/href,HIN.html/](http://www.hesa.ac.uk/index.php/component/option,com_studrec/task,show_file/Itemid,233/mnl,10051/href,HIN.html/)

## Guidance

### *UHOVI*

7. UHOVI students are not currently counted within the maximum student number. However, any recruitment of full-time undergraduate UHOVI numbers above the contracted number will be included in the monitoring of the maximum student number. (See HEFCW circular 'Guidance on the management of full-time undergraduate student numbers from 2011/12', W10/33HE, paragraph 12v.)

### *Top-ups to a degree*

#### HEIs

8. If the student progresses onto the third year of a degree after doing an HND or foundation degree within the same institution, then they would not be considered to be new entrants. They should keep the same instance and INSTANCE.YEARSTU would continue to increment after their HND/foundation degree finishes when they are on the degree course and they would only be counted as a new entrant once, when they started the HND/foundation degree. Similarly, if a student at a franchised institution came back to the franchisor HEI or continued at the franchised institution to top up to a degree, the instance should be kept and INSTANCE.YEARSTU will continue to increment.
9. When students with a foundation degree or HND go on to study for a top up to a degree at a different institution to the one where they studied for their original qualification then the student would be recorded as a new instance at the second institution and would be returned with INSTANCE.YEARSTU=1 even though they may have joined the second or third year of the course. These students would be counted in the monitoring of the maximum student number (and will also have been counted in setting the maximum student number).

#### FEIs

10. For FEIs, the start of the first learning activity is used to determine whether the student is a new entrant or not. If the student progressed to a degree from a foundation degree or HND within the institution and was recorded as being on a new learning programme in 2011, the earliest learning activity recorded in 2011 may be for the 2011/12 academic year and not activity relating to the HND or foundation degree. Therefore, in order to exclude those on a top up to a degree in the count of new entrants, the learning activities for 2011 and 2010 will be used to identify the earliest start date of learning activities for the student and students with any start date earlier

than the 2011/12 academic year will be excluded from the count of new entrants.

*Students entering directly onto the second year (or higher) of a course*

11. Students entering directly onto the second year (or higher) of a course, who are not progressing within an institution, will be included in the monitoring of the maximum student number. This includes intercalated students where the student is taking the intercalated year at an institution other than where they are studying for the medical or dental degree.

*Intercalated students*

12. Where students take a year out of their medical or dental degree course to do an intercalated year at the same institution they are studying medicine or dentistry at then the students will not be counted as new entrants in the monitoring of the maximum student number. This is provided a new instance is not given for the intercalated year as INSTANCE.YEARSTU should continue to increment on the same instance during the intercalated year.

*Return to study*

HEIs

13. If a student resumes study at the same institution after a period of dormancy, INSTANCE.YEARSTU should not be reset back to 1. INSTANCE.YEARSTU should start to increment again once the student is out of the period of dormancy and so the student will not be included in the monitoring of the maximum student number. If a student withdraws from an institution part way through a course and returns later to the same institution to study at the same level, the institution can reopen the record for the student when studies recommence so that the student is on the same student instance and in this case also, INSTANCE.YEARSTU should increment when the student returns and so the student would not be counted in the monitoring of the maximum student number.

FEIs

14. If a student returns to the same learning programme after a break in their studies, provided the start date of the earliest learning activity for the programme returned on the LLWR relates to the activity before they had their break, then they won't be included in the monitoring of the maximum student number.

## **IRIS**

15. The HESA IRIS system for HEIs was implemented for the 2010/11 HESA student record. This means that institutions were able to look at HEFCW data extractions during the HESA submission process before they are formally carried out on final signed off data provided to HEFCW from HESA. One of the outputs of the system is a summary of data fitting the criteria to be counted in the monitoring of the maximum student number. This gives institutions an opportunity to review the data to be counted in the monitoring of the maximum student number and, where necessary, correct any errors in their data before final submission. Institutions should pay particular attention to the output for the 2011/12 submission as it will contain the data to be used in monitoring recruitment against the maximum student number and to finalise penalties to be applied.