

## Cylchlythyr | Circular

# Higher Education Students Early Statistics Survey 2019/20

**Date:** 21 November 2019  
**Reference:** W19/39HE  
**To:** Heads of higher education institutions in Wales  
Principals of directly-funded further education institutions in Wales  
**Response by:** 15 January 2020 (whole survey)  
14 November 2019 (Table 2)  
**Contact:** Name: James Morgan  
Telephone: 029 2085 9724  
Email: [hestats@hefcw.ac.uk](mailto:hestats@hefcw.ac.uk)

This circular requests higher education providers to return aggregated student data to enable HEFCW to have early indications of student numbers; calculate funding allocations; monitor recruitment of students covered by the fee and access plans; make estimates of tuition fee income; and enable Welsh Government to monitor and plan the intake to Initial Teacher Education Partnerships.

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



Noddir gan  
**Lywodraeth Cymru**  
Sponsored by  
**Welsh Government**

## Introduction

1. This circular requests higher education institutions and further education institutions with higher education provision (known collectively as higher education (HE) providers) that are funded directly by the Higher Education Funding Council for Wales (HEFCW) to return aggregated student data to enable HEFCW to:
  - a) Have early indications of the number of students in the academic year 2019/20;
  - b) Calculate part-time undergraduate credit-based teaching funding allocations;
  - c) Monitor recruitment of full-time (FT) undergraduate (UG) and postgraduate certificate in education (PGCE) students covered by the fee and access plans;
  - d) Make an estimate of tuition fee income for the 2019/20 and 2020/21 academic years;
  - e) Provide Welsh Government with data to monitor and plan the intake to Initial Teacher Education (ITE) Partnerships.

## Main changes for 2019/20

2. There have been a number of changes to the HESES survey since the 2018 survey. The main changes made since the HESES 2018 survey are:
  - a) Initial teacher training (ITT) has been renamed to initial teacher education (ITE) throughout this circular and references to Centres of Teacher Education have been changed to refer to ITE Partnerships. Given that the new intake for 2019/20 is now the responsibility of the Welsh Government, we expect that home and EU ITE leading to qualified teacher status (QTS) **new entrants** (as defined in Annex H, paragraph 23 and 24) are returned as HEFCW non-fundable. Continuing home and EU ITE (QTS) students remain the responsibility of HEFCW and so should continue to be returned as HEFCW-fundable;
  - b) There is a new table, Table 4, which collects data about home and EU fundable part-time undergraduate credit values. The table is described in Annex J, paragraphs 12 to 19 and is shown in Annex P. A new annex containing guidance relating to returning credit values is in Annex I. The data in this table will be used in the calculation of part-time undergraduate credit-based teaching funding allocations;
  - c) Table 3, which previously collected data about home and EU FT UG and PGCE (QTS) new entrants and continuing students, has been

expanded to include home and EU part-time undergraduate and PGCE (QTS) students. In addition, the full-time category of 'Clinical and non-clinical/pre-clinical medicine and dentistry' has been split into 'Clinical and non-clinical/pre-clinical medicine' and 'Clinical and non-clinical/pre-clinical dentistry'. Part-time data are not requested broken down into subject categories. As the new intake of ITE (QTS) provision is no longer the responsibility of HEFCW, we expect ITE (QTS) new entrants to be returned as non-fundable in this table. See Annex H paragraphs 16 to 22 and Annex J paragraphs 9 to 11;

- d) New columns have been added to Table 2 to collect information about numbers of new entrants to full-time ITE (QTS) returned on the table, that, a) are training to teach through the medium of Welsh, and b) are fluent Welsh speakers or speak Welsh but not fluently. The table is described in Annex J, paragraphs 6 to 8 and is shown in Annex P. Guidance on returning the information is in Annex H, paragraphs 23 to 26. The data in this table are being collected on behalf of the Welsh Government and will be used to inform analysis and future planning of ITE (QTS) provision in relation to the Welsh Government's commitment, under its Welsh language strategy *Cymraeg 2050: a million Welsh speakers*, to increase the number of teachers teaching Welsh and teaching through the medium of Welsh;
- e) Following the introduction of the Higher Education Classification of Subjects (HECoS), the annex which gives the mapping of subject codes to academic subject categories (ASCs) has been updated to link to the mapping from HECoS codes to ASCs provided on the HEFCW website. See Annex E;
- f) The definitions and criteria used in the extraction of data from the HESA student record have been updated to reflect any changes to the tables for 2019/20 and any updates to the HESA student record for 2019/20. See Annex K;
- g) Annex M, which outlines the validation checks that are carried out on the data in the completed tables, has been updated to include checks on the new Table 4 and the amendments to the other tables. In particular, there is now a check to ensure that the sum of the data broken down into Welsh fluency on Table 2 (see d) above), for both total new entrants and new entrants training to teach through the medium of Welsh, is equal to the totals already returned in the early collection of Table 2 (see paragraph 7 below);
- h) Annex N, which outlines the use HEFCW makes of the data collected, has been updated to reflect the changes made to the survey tables and HEFCW's use of the data.

## Survey data

3. HE providers that are directly funded by HEFCW are requested to return numbers of HE students and, for home and EU fundable part-time undergraduate students, the number of credit values. These are students registered on prescribed HE courses leading to recognised HE qualifications (see Annex B), and, for home and EU fundable part-time undergraduates, credits associated with them.

## Contents

4. This circular provides:
  - a) Guidance and definitions for the various categories used to classify students;
  - b) Rules for counting registrations;
  - c) Rules for counting credit values;
  - d) Details of the criteria we will use to extract data from the HESA student record for end of year monitoring and to get information collected on previous HESES surveys;
  - e) Copies of the survey tables which will be distributed in Excel 2016 workbooks for providers to complete and return.
5. The contents of the annexes are as follows:

Annex		Page number
Annex A	Summary guide to the HESES 2019/20 survey	7
Annex B	Definition of a recognised HE qualification	16
Annex C	Distance learning, campuses, subsidiaries, franchises and other collaborative arrangements	17
Annex D	Definition of residential and funding status	22
Annex E	Definition of ASCs and ITE (QTS) specialist subjects	25
Annex F	Definition of mode of study	28
Annex G	Definition of level of study	31
Annex H	Rules for counting registrations	33
Annex I	Rules for counting credit values	41
Annex J	Table and column descriptions	46
Annex K	HESA/HESES mappings and end of year monitoring data extraction criteria	50
Annex L	Workbook notes	60
Annex M	Validation checks	62
Annex N	Usage of data by HEFCW	64

Annex O	Funding status reference grid	66
Annex P	Sample copies of tables for completion by all providers directly funded by HEFCW	67

## Return of data

6. Providers are required to notify student registrations for the whole year, apart from on Table 2, which collects ITE (QTS) registrations between 1 August 2019 and 1 November 2019 inclusive for full-time registrations at providers who are part of ITE Partnerships.
7. Completed columns of the ITE (QTS) table (Table 2) relating to total full-time new entrants and total full-time new entrants training to teach through the medium of Welsh should be returned by email to James Morgan at [hestats@hefcw.ac.uk](mailto:hestats@hefcw.ac.uk) no later than **14 November 2019**. Completed workbooks for the whole survey, including the additional columns of Table 2 collecting information about Welsh speakers, should be returned by email to James Morgan at [hestats@hefcw.ac.uk](mailto:hestats@hefcw.ac.uk) no later than **15 January 2020**.
8. On Table 2, providers with ITE (QTS) provision should return provision delivered at their institution only, and not provision for a whole ITE partnership. Providers that do not have full-time ITE (QTS) provision are not required to return Table 2 by 14 November 2019.
9. Providers are encouraged to begin to prepare their returns well before the return date so that only final adjustments need to be made before dispatch of the completed returns.
10. We will pass the ITE (QTS) tables to Welsh Government and it is important that they are returned on time so that information can be used by Welsh Government to monitor and inform planning for teacher training provision.
11. It is important that the whole survey return is made on time so that credit value data are available to use in funding modelling for 2020/21, so that early indications of numbers of students for 2019/20 are available, and to ensure that HEFCW has sufficient time to complete the checking process prior to sending out verifications for sign off.
12. We request that providers **let us know as soon as possible**, and before the return dates of 14 November 2019 for ITE (QTS) information or 15 January 2020 for the whole survey, **if they envisage that they will have difficulty returning the required information or if they will have difficulty meeting the timetable** given in paragraph 13. **HEFCW reserves the right to enter its own estimates of student registrations and associated credit values for providers which fail to return the survey on time or where data are considered to be of insufficient quality.**

13. When data are returned, they go through a validation and credibility checking process. Once any subsequent queries have been resolved, data are sent out to providers for verification. The process will follow the timetable outlined below.

**Table 2:**

14 November 2019	Return deadline
18 November 2019	Verifications sent to providers
27 November 2019	Verifications return deadline

**All HESES tables:**

15 January 2020	Return deadline
22 January 2020	Verifications sent to providers
6 February 2020	Verifications return deadline

14. In the event of a deadline being missed by more than three working days, the head of the provider concerned will be emailed reminding them that HEFCW reserves the right to enter its own estimates of student registrations for providers which fail to return the survey on time and indicating that HEFCW intends to do this if immediate action is not taken. Failure to return the data or verification report within two working days will result in a letter from the Chief Executive of HEFCW to the head of the provider stating the figures that will be used in place of the provider's own data.
15. Signed verifications should be returned by scanning them and emailing them to us. Scanned copies should be checked before returning them to us to ensure that the figures contained within the tables are legible. We will request a further copy if the figures in the tables are not legible. We do not require a hard copy of the signed verifications.
16. Each subsequent deadline should be met regardless of any delay in meeting the preceding deadline.
17. HESA data used for per capita, premium and PGR funding purposes, that are extracted from the 2018/19 student record, are also sent to providers, to confirm that the data have been correctly extracted by HEFCW. The process follows the timetable below

3 February 2019	HESA confirmations sent to providers
24 February 2019	HESA confirmations return deadline

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

## **Future developments**

19. We are currently reviewing the format of how we disseminate the information in this circular to providers. We intend to develop an area on our website which we can update with new guidance, examples and queries as necessary. We will keep providers informed of our progress.
20. In light of the [Data Futures programme](#) being carried out by HESA, which both providers and HEFCW are part of, we will be reviewing HESES for the year of implementation. We will update our guidance and what we collect to reflect the changes and will involve providers in that process.
21. In reviewing our guidance, we will be mindful of any interaction between the guidance for this survey and that for returning fee and access plans and other regulatory returns.

## **Further information**

22. Any queries should be directed to James Morgan (telephone 029 2085 9724, email [hestats@hefcw.ac.uk](mailto:hestats@hefcw.ac.uk)).

### Summary guide to the HESES 2019/20 survey

- 1 The HESES 2019/20 survey requests providers to complete four tables. Tables 1, 3 and 4 are collected from all providers; Table 2 is collected only from those with full-time ITE (QTS) provision
- 2 This annex gives a summary of the information that needs to be returned and the definitions used. All survey data should be returned according to the guidance and criteria contained in Annexes B to O which provide further detail to the overview given here.

### HESES population

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

### Old and new tuition fee regime

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

- 6 It is the assumption that most if not all FT UG/PGCE provision is under the new fee regime in 2019/20. However, we refer to the old fee regime where appropriate in some of the guidance, as there may still be a small number of students under the old fee regime.

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

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

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

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

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

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

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

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

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

### **Residential and funding status**

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

- **Home and EU fundable:** a home and EU student would be fundable by HEFCW unless the student's place receives funding from other sources, is the responsibility of a body other than HEFCW (e.g. ITE (QTS) entrants for 2019/20), or for new regime students, if the tuition fee is paid for by a public source other than HEFCW. A fundable student would be included in funding calculations carried out by HEFCW as appropriate.
- **Home and EU non-fundable:** if a home and EU student's place is funded from sources other than HEFCW, is the responsibility of a body other than HEFCW (e.g. ITE (QTS) entrants for 2019/20), or for new regime students, if the tuition fee is paid from a public source, for example, HEIW, the NHS, Welsh Government or the Welsh European Funding Office (WEFO); or if a place is funded by HEFCW under a specific scheme such as the degree apprenticeship scheme; or the student is studying at an FEI on a course that is specifically designated, the student would be returned as non-fundable. A student would also be returned as non-fundable if the course they are on is run only for a particular group of students and is not open to anyone who is suitably qualified to apply (referred to as a 'closed' course).

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

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

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

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

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

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

13 On Table 3, full-time registrations are split into academic subject category (ASC) groups. These are based on the HECoS code of the course. Registrations can be split between ASCs except for full-time undergraduate medicine and dentistry registrations and full-time ITE (QTS) registrations which

must only be returned in ASCs 1 and 11a respectively. Annex E gives more detail and a link to the mapping from HECoS codes to ASCs.

- 14 On Table 2, home and EU students studying secondary education ITE (QTS) courses are split by specialist subject. If a course is joint between subjects and the ITE Partnership that the provider belongs to has intake targets in both subjects, then registrations should be split between the two specialist subjects. If a course is such that it is in a specialist subject with another subject that is not a specialism, then registrations should be returned wholly against the specialist subject.
- 15 On Table 4, each credit value should be ascribed to the ASC of the subject taught in the module or unit rather than the subject of the qualification aim of the student. This will generally correspond to the HECoS code returned on the module entity of the HESA student record. Annex E gives more detail and a link to the mapping from HECoS codes to ASCs on the HEFCW website.

### **Mode of Study**

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

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

  - **Full-time sandwich year out:** for a student to be classified as sandwich year out, their course should fit the definition of a sandwich course provided in Schedule 1 6(1) of The Education (Student Support) (Wales) Regulations 2018 (SI 2018 No. 191), or they should be full-time on a study or placement year abroad. In addition, the fees chargeable are, for those under the old regime, approximately half the whole full-time fees, and for those under the new regime, regulated fees of £1,800 for a work placement year of a sandwich course and £1,350 for a year studying abroad or on an Erasmus+ work placement abroad.

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

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

### Level of Study

17 The level of study of a student is determined by the qualification they are aiming for. Recognised HE qualifications are defined in Annex B. There are four levels of study defined: undergraduate non-degree; undergraduate degree; postgraduate taught; and postgraduate research, some of which are further split into franchised out and non-franchised out in the returned data:

- **Undergraduate non-degree:** all undergraduate level courses which lead to a qualification other than a first degree. For example, foundation degrees, HNCs and qualifications leading to certificates for the teaching of further education are non-degree courses.
- **Undergraduate degree:** undergraduate degree students are those aiming for a first degree. This includes degree courses with an integrated master's year or an integrated foundation year.
- **Postgraduate taught:** postgraduate taught courses are those which require as a normal condition of entry that entrants be already qualified at degree level. Those courses that are mainly taught even though part of the course may include a dissertation are included as postgraduate taught. PGCE courses leading to QTS are included.
- **Postgraduate research:** These are postgraduate courses that are mainly research.

18 Full definitions are given in Annex G.

### Completion status of registrations

19 On Tables 1 and 3 of the survey, only completed or partially completed registrations are counted and non-completions are excluded. Completion status is determined on a year of study basis, not on a course basis. Completion status is defined as follows:

- **Non-completions** are where students do not complete their studies due to withdrawal or dropout, or fail to take part in required assessment procedures for the year.
- **Completions** are all eligible students who are registered or expected to register within the academic year minus those who are expected to not complete. Any transfers between ASCs, modes or levels of study should be included.
- **Partial completions:** some full-time and sandwich students on taught courses that are non-completions can be counted as 0.5 of a

completion if they meet certain criteria. If the course is semesterised, this is that the first semester is completed and if the course is not semesterised, that the first four months are completed. The exact criteria can be found in paragraph 15 of Annex H.

### Estimation

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

### **Completion status of part-time undergraduate credit values**

- 21 On Table 4 of the survey, data are collected about all credit values and non-completed credit values, and completed credit values are calculated in the table. A module or unit and the credit values associated with it are counted as completed if all assessment required for that module or unit has been undertaken. Otherwise, the module or unit and the credits associated with it should be counted as not completed. Completion status is defined as follows, further information is available in paragraphs 12 to 15 of Annex I:

- **Non-completions** are credit values associated with modules or units where the student does not take part in all or some of the required assessment procedures for the module or unit for the year of study.
- **Completions** are credit values associated with modules where all the required assessment procedures for the module or unit for the year of study have been undertaken. They are calculated in the table as credits values associated with students at the provider between 1 August 2019 and 1 November 2019 plus credits associated with students who start after 1 November 2019.

### Estimation

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

### **New entrants**

- 23 New entrants are collected on Table 2 for FT ITE (QTS) students and on Table 3 for FT and PT UG/PGCE students.

- **ITE (QTS) students** – this is students in their first year of the programme of study, collected for those at the provider between 1 August and 1 November inclusive. This excludes students resitting the first year of the course and students entering into the second or a further year of the programme of study.
- **FT and PT UG/PGCE students** – the definition includes those students who start at the provider in the academic year, regardless of the year of programme they start on.

### Table descriptions

- 24 **Table 1** collects data about all countable registrations, by mode and level of study, including a split of the undergraduate levels of study into franchised out and non-franchised out. There are columns for home and EU fundable, home and EU non-fundable and Island and overseas students. This table aims to have a complete in-year picture of the expected provision at a provider for the year. Data can be returned to one decimal place where full-time taught partial completions are included as 0.5 of a completion.
- 25 **Table 2** collects data about FT UG/PGCE new entrant registrations on ITE (QTS) courses for each provider delivering such courses. Data are collected by phase of study (primary or secondary) and by specialist subject for the secondary phase. Entrants are split into UG and PGCE provision and are collected by whether they are training to teach through the medium of Welsh and by their level of Welsh fluency. Data are used to monitor recruitment against intake targets and to inform future planning of ITE (QTS) provision. Data are returned as whole numbers or to the nearest 0.5 if a course includes two specialist subjects.
- 26 **Table 3** collects information about FT and PT UG/PGCE students split into new entrants and continuing students. Data are collected by ASC group (for full-time provision), level of study (undergraduate and PGCE (QTS)) and by whether the provision is fundable or not. Data are further split into Welsh residential status, EU residential status and other home residential status in order to reflect the different arrangements for tuition fee support and student support for these groups and the interest in monitoring EU students and associated income as a separate group. Data can be returned to one decimal place where partial completions are included as 0.5 of a completion.
- 27 **Table 4** collects information about home and EU fundable part-time undergraduate credit values by ASC, and collects credit values associated with student registrations up to and including 1 November 2019, forecast student registrations between 2 November 2019 and 31 July 2020, and non-completed credit values associated with those credit values. The total completed credit values are calculated in the table and data about how many of the completed credit values are associated with students that are franchised out are collected.

## **HESA data**

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

### **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, are only considered recognised if they are validated by the University of Wales, the University of Wales Trinity Saint David, the University of South Wales, Cardiff University, the Open University, Swansea University, Bangor University, Aberystwyth University, Cardiff Metropolitan University, Wrexham Glyndŵr University or are included (or awaiting inclusion) within the Qualifications and Credit Framework (QCF).
- 2 Courses, modules or units which enable credit to be obtained towards recognised HE qualifications (as defined above) also fall within the definition of recognised HE courses for the purpose of this survey. This includes programmes or individual courses which include foundation study as an integral part of a longer programme which leads to, or provides credit towards, a recognised HE award, provided the student has registered for the longer programme.
- 3 For FEIs, prescribed courses of HE that lead to a recognised HE qualification are those included in the FEI's portfolio of courses, as agreed with HEFCW. In addition, where a directly-funded FEI has any specifically designated courses as well as the courses in its portfolio, it should also treat these as prescribed HE courses that lead to a recognised HE qualification.

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

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

### **Distance learning students**

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

relating to these students will be returned on the HESA aggregate offshore record.

- 8 A year out as part of a sandwich course, exchange scheme or other placement scheme should not be considered to be distance learning. In these cases, the student should be considered to be attending the place of study normally attended when not on their year out in order to determine their fundability status.

## **Campuses**

### Campuses based in Wales

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

### Campuses based outside Wales in the UK

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

### Campuses based outside the UK

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

## **Wholly owned subsidiary bodies**

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

## **Franchises**

- 14 The term 'franchise' refers to an HE course taught under a sub-contractual arrangement at a provider (the franchisee) which is not directly in receipt of funding from HEFCW for that course, for which quality assurance is provided by another Welsh provider (the franchisor) and for which funding is passed to the franchisee by the franchisor in order to provide the taught course. Students

should be registered as students of the franchisor and this can be by registering for the course at the franchisor or franchisee provider. For FT UG courses, funding may be in the form of the tuition fee which could either be provided directly to the franchisee or passed to the franchisee by the franchisor.

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

#### Franchises based in Wales

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

#### Franchises based outside Wales within the UK

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

#### Franchises outside the UK

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

## Partial franchises

- 21 Where students are part of franchise arrangement where they are only franchised out for part of the year, they should be returned as franchised out if the majority of their provision for the year is franchised out, otherwise they should be returned as non-franchised out. In analysing HESA data we will make a more detailed split of provision that is wholly or partially franchised out for both registrations and credit values. More details are in Annex K, paragraphs 21, 22 and 38.

## **Other collaborative arrangements**

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

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

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

- The numbers and credits involved by mode, level and domicile.
  - Any other relevant information to support the provision being HEFCW-fundable.
- 26 The request should be submitted to Hannah Falvey at [hestats@hefcw.ac.uk](mailto:hestats@hefcw.ac.uk). Submissions will be considered by HEFCW's Data and Analysis Group at the earliest opportunity. Note that any provision submitted for approval should only be returned as fundable on HESES if confirmation has been received from HEFCW.

---

## Definition of residential and funding status

### Home and EU students

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

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

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

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

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

### Based on location of the student:

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

### Based on the funding source:

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

- h) The place is the responsibility of a public body other than HEFCW, e.g. Welsh Government for ITE (QTS) entrants from 2019/20;

Based on alignment with research funding criteria:

- i) The students are postgraduate research students who are not in 2014 REF units of assessment (UoAs) included in the QR funding model for 2019/20. These are those UoAs that have at least 3 classified FTE Category A staff and meet a combined volume and quality threshold. Details of the UoAs included in the QR funding model for each institution can be found in Annex A of HEFCW circular W19/14HE 'HEFCW's Funding Allocations 2019/20';

Based on other criteria:

- j) The student is studying on a course at an FEI that is not listed in its agreed portfolio with HEFCW and the course is a specifically designated course.

**Island and overseas students**

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

## Definition of ASCs and ITE (QTS) specialist subjects

- 1 HECoS codes of the course and modules are used to assign ASCs. Below is a description of the ASCs with ASCs 1 and 11 being split into sub-categories. The mapping from HECoS codes to ASCs is available on the [HEFCW website](#).

ASC	Name	Description of contents
1	Clinical and Pre-clinical/non-clinical Subjects 1a 1b 1c 1d	Pre-clinical/non-clinical Medicine Clinical Medicine Pre-clinical/non-clinical Dentistry Clinical Dentistry
2	Subjects and Professions Allied to Medicine	Subjects Allied to Medicine (excluding Pharmacology, Toxicology and Pharmacy) Social Work
3	Science	Physical Sciences Biological Sciences Agriculture and Related Subjects Pharmacology, Toxicology and Pharmacy
4	Engineering and Technology	Engineering Technologies
5	Built Environment	Architecture, Building and Planning
6	Mathematical Sciences, IT and Computing	Mathematical Sciences Computer Sciences Econometrics
7	Business and Management	Business and Administrative Studies
8	Social Sciences	Social Studies (excluding Social Work and Econometrics) Law
9	Humanities	Mass Communications and Documentation Linguistics, Classics and Related Subjects Languages and Related Subjects Historical and Philosophical Studies Imaginative Writing
10	Art, Design and Performing Arts	Creative Arts and Design (excluding Imaginative Writing)
11	Education 11a ITE (QTS) 11b Non-QTS	Any ITE leading to QTS Other education

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

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

### *Initial Teacher Education*

- 3 All undergraduate and postgraduate taught registrations on ITE (QTS) courses must be wholly assigned to ASC 11a (Education ITE (QTS)) irrespective of their HECoS codes. ASC 11a should contain all and only those students on courses of ITE for primary or secondary teachers which lead to QTS upon successful completion. Courses of ITE for teachers in adult and further education and in-service training for teachers should be recorded under ASC 11b (Education non-QTS). See also paragraphs 6 and 7 below.

### *Medicine and Dentistry*

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

### *Major/Minor or Balanced combinations*

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

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

- 6 Each year, the Welsh Government set national intake targets for ITE (QTS) for the different phases (primary and secondary) and levels of study (undergraduate degree and PGCE). Within these national level targets, the Education Workforce Council (EWC) assigns intake targets for each ITE Partnership by level of study (undergraduate degree and PGCE) and, for secondary education, specialist subject. The specialist subjects for 2019/20 are listed in Table 2 in Annex P. Targets for each ITE Partnership can be found on the [Education Workforce Council \(EWC\) website](#).
- 7 For registrations in secondary education, if a course is joint between specialist subjects, and the ITE Partnership that the provider belongs to has intake targets in both subjects, then registrations should be split between the two specialisms and counted as 0.5 in each specialism. If a course is such that it is in a specialist subject with another subject that is not a specialism, then registrations on that course should be returned wholly against the specialist

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

### **Apportionment of part-time undergraduate credit values between ASCs**

- 8 Each credit value should be ascribed to the ASC of the subject taught in the module or unit rather than the subject of the qualification aim of the student. This will generally correspond to the HECoS code returned on the module entity of the HESA student record - see Annex K. 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 HECoS to ASC mapping given in paragraph 1 above should be used to categorise credit values into ASCs based on the HECoS code of the module.
- 9 Credit values relating to ASC 11a must not be distributed across other ASCs; all should be returned in ASC 11a. Credit values relating to individual modules of courses other than medicine and dentistry or ITE (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:
  - a) they are normally required to attend (whether at premises of the establishment or otherwise) for periods of a minimum of 24 weeks; **and**
  - b) a whole full-time fee is chargeable for the current year of the programme of study (which will be a regulated fee for home and EU UG/PGCE students); **or**
  - c) they are in the final year of a full-time course in which they attend for less than 24 weeks.
  
- 2 Full-time regulated fees for home and EU UG/PGCE students are:
  - a) Regulated fees of up to £9,000 for undergraduates and PGCE (QTS) students who started on or after 1 September 2012;
  - b) Regulated fees of up to £3,465 for undergraduates and PGCE (QTS) students who started before 1 September 2012.
  
- 3 Full-time students will normally be studying for a qualification at the credit value rate shown below, i.e. studying for the number of credit values for their qualification over the time period specified for a full-time student. Exceptions to this will be where a student repeats a year of study or part of a year of study where a student has not progressed to the next year of study. Where students repeat a year on a full-time or part-time basis, the length of the course is effectively increased and the number of credit values increases accordingly.

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

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

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

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

- 5 Students are classified as registered for sandwich year out study if all of the following apply:
- a) they are pursuing studies where their course falls within the definition of sandwich provided in Schedule 1 6(1) of The Education (Student Support) (Wales) Regulations 2018 (SI 2018 No. 191), or they are full-time on a study or placement year abroad; and
  - b) for home and EU students, the fees chargeable are:
    - for those students under the old fee regime that started before 1 September 2012, a regulated fee of approximately half the whole full-time fees that would otherwise be charged if the student were classified as full-time;
    - for those students starting after 1 September 2012 who are under the new fee regime, the fees for sandwich years out and study or placement years abroad:
      - Regulated fees of up to £1,350 for undergraduates who started after 1 September 2012 on courses provided in conjunction with overseas institutions (whether or not taken under the Erasmus+ programme), where study at the home institution is for less than 10 weeks.
      - Regulated fees of up to £1,800 for undergraduates who started after 1 September 2012 on sandwich years out that are not Erasmus+ years abroad where study at the home institution is for less than 10 weeks.

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

**Part-time**

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

---

## Definition of level of study

### Undergraduate degree

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

### Undergraduate non-degree

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

### Postgraduate

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

#### *Postgraduate Taught*

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

### *Postgraduate Research*

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

---

## Rules for counting registrations

- 1 Only students who meet the following criteria are to be included in this return:
  - a) they are registered. A registration is considered as a binding undertaking to pay a fee to a provider (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 registrations;
  - b) students re-registering for second or subsequent years of their study;
  - c) students on non-accredited HE courses only where HEFCW has been notified of these courses and has agreed to their inclusion;
  - d) students registered at FEIs, who are pursuing recognised HE qualifications as defined in Annex B, where the FEI either receives mainstream funding from HEFCW either directly, or, through a franchise agreement (data are returned only by the provider which franchises out the course);
  - e) outgoing exchange students, including Erasmus+ students;
  - f) distance learning in the UK;
  - g) students franchised to other providers in the UK;
  - h) students at campuses in the UK.

Excluded are:

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

## Students registered for more than one qualification or course

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

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

### Non-standard academic years

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

**Example 1:** A student enrolls for a full-time PhD in April 2018 and completes the programme in March 2021. She should be counted as a registration in HESES/EYM 2017/18, 2018/19 and 2019/20. She is counted three times, once for each 12 month period of full-time study, in the academic year in which she first registered and in the two subsequent academic years containing the anniversary of the first registration.

### Final year of full-time study

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

**Example 2:** A student enrolls on a full-time undergraduate course that starts on 1 October 2018 and finishes on 31 January 2020. He should be included in HESES/EYM 2018/19 as a full-time registration; and as a full-time registration again in HESES/EYM 2019/20 as even though he attends for less than 24 weeks, he has not changed his mode of study and is still registered as a full-time student.

**Example 3:** A student enrolls for a full-time 30 month undergraduate course that starts on 1 February 2019 and finishes on 31 July 2021. He should be included as a full-time registration in Table 1 and Table 3 (as a new entrant) on HESES 2018/19, and again as a full-time registration on Table 1 on HESES 2019/20 and HESES 2020/21; and on Table 3 as a continuing student in both 2019/20 and 2020/21.

### Repeated years of study

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

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

### **Completions and non-completions**

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

from the HESA student record and the HESES survey in previous years to determine if estimates made at HESES were reasonable, and if necessary adjust their methods.

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

**Example 4:** A student enrolls for a semesterised full-time undergraduate course that normally starts on 1 October 2018 and finishes on 30 June 2020. 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 2019/20 academic year and completes the whole of the first year, and then goes on to complete the second year of the course in the 2020/21 academic year. She should be returned in HESES 2018/19 as 0.5 of a full-time completed registration in Table 1 and Table 3 (as a new entrant). In 2019/20 and 2020/21 she should be returned on Table 3 as a continuing student at the provider. In 2019/20 and 2020/21 she should be returned on Table 1 as a full-time registration.

**Example 5:** 45 students enrol for a full-time undergraduate degree course in mathematics that starts on 1 October 2019 and finishes on 1 July 2022 (cohort 2). In the previous year, 51 students enrolled on the course (cohort 1). Of the 51 students, 3 changed subject in November, to study physics instead of mathematics, and 1 withdrew from the course in December. For cohort 2, on Tables 1 and 3 of HESES 2019/20, assumed completed registrations in mathematics would be 41, calculated as  $45 - 3$  (i.e.  $3/51 \times 45$ )  $- 1$  (i.e.  $1/51 \times 45$ ) = 41. 3 registrations would be added to those already included for physics and 1 registration would not be included on any of the tables.

**Example 6:** 15 students enrol for a full-time HND in engineering that starts on 5 October 2018 and finishes on 1 July 2020. Based on data from previous years, 2 students are estimated to withdraw in the first year of study. Therefore, 13 assumed completed full-time registrations are returned on HESES 2018/19. The actual number of withdrawals was 1, so 14 assumed completed registrations are counted on EYM 2018/19. Two of the 14 students who completed the first year of the full-time course decide to change their mode of study to part-time for the final half of the course. Therefore, on HESES 2019/20, 12 assumed completed registrations are returned as full-time, and 2 assumed completed registrations are returned as part-time, along with the registrations already on the part-time course.

**Example 7:** 10 students enrol for an undergraduate diploma starting in May 2020 and finishing in April 2021. In the previous year out of 15 students starting in May 2019, 2 dropped out in August 2019. 9 assumed completed registrations would be returned on Tables 1 and 3 of HESES 2019/20 calculated as  $10 - 1$  (i.e.  $2/15 \times 10$ ).

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

**Example 9:** 57 students enrol for a full-time first degree course starting in October 2019. 2 students fail the first year. The first student failed 2 modules out of a total of 10 modules and so was eligible to progress to the second year providing the 2 failed modules were retaken alongside the second year modules. This student would be returned as a full-time student three times, once for the first year of the course in 2019/20, once for the second year of the course in 2020/21 and once for the third year of the course in 2021/22.

The second student failed 5 of the 10 modules taken in the first year and did not progress to the second year of the course. He retook the 5 failed first year modules on a part-time basis in the 2020/21 academic year with the intention of resuming full-time study for the second year of the course in 2021/22. He would be returned as a full-time student for the first year of the course in 2019/20, as a part-time student in his second year at the institution in 2020/21, and as a full-time student in the second and third

years of the course (in his third and fourth year at the institution) in 2021/22 and 2022/23.

### **New entrants and continuing students – home and EU undergraduate and PGCE (QTS) – Table 3**

- 16 Data relating to undergraduate and PGCE (QTS) new entrants and continuing students are collected on Table 3.

#### **New entrants**

- 17 For the purposes of returning data on Table 3, new entrants are defined as students that are in their first year of study. This includes:

- students undertaking a foundation year (year 0) as an integrated part of an HE course;
- students entering directly into year 2 or a subsequent year of a course.

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

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

**Example 10:** A student starts a full-time HND course in October 2017 and completes the course gaining an HND in 2019. He then goes on to do a top-up year at the same provider in order to gain a degree and completes this in 2020. He would be counted as an undergraduate non-degree new entrant in Table 3 on HESES 2017/18 only, and **not** counted as a new entrant in Table 3 of HESES 2019/20.

#### **Continuing students**

- 19 Students returned as continuing students on Table 3, are defined for this survey as students that are in their second or further year of study at the provider and are registered for a prescribed HE course leading to a recognised HE qualification. This will include those that:

- are retaking the first year of a course;

- have transferred in from another course after spending their first year at the provider on the original course;
  - are starting the first year of a course after completing an integral foundation year.
- 20 If a student is on a course such that the year of the course spans two academic years, they should only be counted in the academic year containing the anniversary of their start date.

### **Split of home and EU residential status and eligibility for funding status**

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

### **ITE (QTS) new entrants – Table 2**

- 23 New entrants to ITE (QTS) courses in ASC 11a collected on Table 2 are defined slightly differently to those returned on Table 3. For the purposes of Table 2 only, students transferring to an ITE (QTS) course should be included as new entrants and students entering directly into year 2 or a subsequent year of an ITE (QTS) course should not be included as new entrants.
- 24 If a student is on a course such that the first year of the course spans two academic years, they should only be counted as a new entrant in the academic year containing the start of the first year of their programme of study.

### **Teaching through the medium of Welsh and Welsh fluency – Table 2**

- 25 Of the new entrants on Table 2, providers should identify those training to teach through the medium of Welsh that are on a course that leads to a formal certificate of bilingual education or on a course that does not lead to a formal certificate in bilingual education but is designed to enable students to teach bilingually. This is equivalent to students who are training to teach through the medium of Welsh whose courses are returned with codes 1 or 2 of the bilingual ITT marker field (BITTM) on the course entity of the HESA student record.

- 26 Within the total number of new entrants and the number of new entrants that are training to teach through the medium of Welsh, the number who are fluent in Welsh and those who speak Welsh but are not fluent is collected. This is according to the same definitions as those used to collect the information on the HESA student record in the Welsh speaker field (WELSSP) on the student entity. Accordingly, the information collected covers the same population as that used for the coverage of the WELSSP field.

---

## 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 H, that are home and EU fundable and are part-time undergraduate, should be included in Table 4.
- 2 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 Credit and Qualifications Framework for Wales (CQFW), except that the level of study should be that of the overall qualification aim and not that of the unit or module, if different. Credit values must not exceed the maximum permitted number of fundable credit values, as shown in paragraph 3 of Annex F, for each student over the course as a whole, unless a year of study or part of a year of study is repeated where a student has not progressed to the next year of study (see paragraph 11 below). If there are courses which do not fit into the categories in the table, HEFCW should be contacted for advice.
- 4 Where CQFW credit values have not been formally allocated to elements of programmes, then notional credit values should be returned on the basis of the CQFW standard. This is 120 credit values for one academic year of HE experience for full-time undergraduates, apart from HNCs, for which the standard is 150 credit values; 180 credit values for postgraduates with one full 12 month year of HE, for example, an MSc with dissertation; and 120 credit values for postgraduate courses of less than a full 12 months, for example, a postgraduate diploma without a dissertation. In this context, it will be helpful to note the CQFW definition of the study year in terms of notional learning time: 1,200 hours for undergraduates (academic year); 1,800 hours for postgraduates (12 month year).
- 5 The level of study of the credit should be assumed to be that of the qualification aim of the student.
- 6 Each module or unit must be assigned to the academic year in which the module or unit started, and all credit values associated with that module or unit shown in Table 4 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.

- 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.

**Example 1:** A student enrolls for a part-time course on 1 February 2020 and completes the programme on 31 May 2022. The credit values to be recorded in HESES/EYM 2019/20 would be those associated with modules/units commenced between 1 February 2020 and 31 July 2020 and would be recorded in column 2 of Table 4. Those relating to modules/units commencing between 1 August 2020 and 31 July 2021 would be recorded in column 1 of Table 4 of HESES/EYM 2020/21; and those relating to modules/units started between 1 August 2021 and 31 May 2022 would be recorded in column 1 of Table 4 of HESES/EYM 2021/22.

**Example 2:** A student enrolls for a part-time HNC on 1 October 2018 and finishes on 30 June 2020. All credit values associated with modules/units started in the period 1 October 2018 to 31 July 2019 would be recorded in HESES/EYM 2018/19 and all credit values associated with modules/units started in the period 1 August 2019 to 30 June 2020 would be recorded in HESES/EYM 2019/18. The overall total number of fundable credit values for the course as a whole recorded in HESES/EYM 2018/19 and 2019/20 should not exceed 150 credit values.

- 9 The apportionment of credit values between ASCs should be based on the HECoS code of the module or unit. Some examples are below.

**Example 3:** 30 students enrol for a part-time undergraduate degree course in English (ASC 9) that starts on 1 October 2019 and finishes on 1 July 2025. Based on previous year's data, 2 of the students are estimated to change course to business studies (ASC 7). The modules that the students take in the first year are year-long and count for 60 credit values in total. In column 1 of Table 4,  $30 \times 60 = 1,800$  credit values are returned in ASC 9. In column 2,  $2 \times 60 = 120$  credit values are returned as a negative number in ASC 9, and  $2 \times 60 = 120$  credit values are returned in ASC 7. The total assumed completed credit values associated with these 30 students would be 1,680 in ASC 9 and 120 in ASC 7.

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

## Modules on a not for credit basis

- 10 If part-time students are taking module(s) which are credit bearing but on a not for credit basis, and this is the only study they are undertaking in the reporting year, then the credits associated with these modules can be excluded from the return provided the intention of the student not to take the assessment has been recorded at the outset of the module(s). For HESES purposes, where the module has not yet started by the return date, an estimate of those who intend not to take any assessment can be made and the associated credits excluded from the return, but only where there is a formal process in place to record the students' intentions for those modules. It is not a requirement that there is such a process in place, however, in order to exclude these credits from the return, this process must be in place. If there is no process in place, credits relating to students who do not take the assessment for a credit bearing module should continue to be included in columns 1 or 2 and column 3 of the credit value table as appropriate. The actual number of credits relating to students who declared their intention and subsequently did not take the assessment can be excluded from the end of year monitoring return. This will generally apply to students taking continuing education type provision who are not aiming for a HE qualification aim and have no intention from the outset of gaining credit that can be counted towards one.

**Example 5:** A part-time module worth 10 credits starts in February 2020, finishing in May 2020. 23 students enrol on the module, which is the only module they are taking in the year, and are asked at the start of the module if they intend to take the exam at the end of the module, and this is formally recorded by the institution. 6 students declare that they will not be taking the exam and so will be taking the module on a not for credit basis. 170 credits are returned in column 1 of Table 4, relating to the 17 students who intend taking the assessment for the course. Of the 6 students who declared they would not take the exam, 1 changes their mind and sits the exam in May. Therefore, in column 1 of Table 4, 180 credits are returned.

**Example 6:** A part-time course, consisting of 1 module worth 20 credits, starts in February 2020, finishing in July 2020. 15 students enrol on the course, some of whom are not intending to submit the coursework due in July. 300 credits are returned in column 1 of Table 4 relating to the 15 students on the module. The credits relating to those that do not submit the coursework are returned as non-completions in column 3.

**Example 7:** A part-time module worth 15 credits starts in January 2020, finishing in June 2020. 10 students enrol on the module and are asked at the start of the module if they intend to take the exam at the end of the module, and this is formally recorded by the institution. 9 students declare that they intend to take the exam. 3 of the 10 students subsequently do not take the exam. For the same module in January 2021, 20 new students are predicted to enrol on the module. Therefore, 18 students are predicted to declare they are taking the exam ( $9/10 \times 20 = 18$ ) and  $18 \times 15 = 270$  credits are returned in column 2 of Table 4. 6 students ( $3/10 \times 20$ ) are predicted not to take the

exam, therefore  $4(6 - 2) \times 15 = 60$  credits are returned as non-completions in column 3 of Table 4.

### **Repeated years**

- 11 Where students repeat a year, the length of the course is effectively increased and the maximum number of fundable credit values increases accordingly (for example, a part-time degree usually lasting six years where 60 credits are taken per year with a repeat year becomes a seven year degree equivalent to 420 fundable credit values). Credit values associated with students repeating a semester or part of the year on a part-time basis who have not progressed to the next year of study and are not taking any modules relating to the next year of study, should be counted. However, credit values associated with repeat modules where the student has progressed to the next year of study must **not** be counted, unless the credit values associated with the module were counted as not completed in the previous year. In such cases, where credit values associated with a repeat module are counted, the maximum number of credit values over the whole course should not exceed those listed in paragraph 3 of Annex F.

### **Completions and non-completions**

- 12 A module or unit and the credit values associated with it are counted as completed if all assessment required for that module or unit has been undertaken. Otherwise, the module or unit and the credits associated with it should be counted as not completed.
- 13 Where a student withdraws or drops out of their course having completed some modules or units, or continues but withdraws or drops out of some modules or units, only the credit values associated with those modules or units that were not completed should be included as non-completions. Credit values associated with the completed modules or units should **not** be included as non-completions.
- 14 Credit values associated with students who do not take part in all or some of the required assessment procedures for a module or unit for the year of study, can be counted as completed if the student is assessed after the end of the academic year in order to enable the student to progress to the next year or graduate. This will be, for example, where a student who did not sit the original examination for the module or unit within the year, because of illness, takes a resit examination that takes place after the end of the academic year or where a student will be handing in coursework for the module or unit after the end of the academic year, by agreement with the institution. The number of credit values expected to be completed in this way should not be included in the number of non-completions returned in the tables.
- 15 As the request for data is in-year, the number of credit values not completed will have to be estimated. In general, estimates should be based on the proportion of non-completed credit values in the previous year or years, or for new provision, information about similar provision in the first year of delivery.

However, other methods may be used if institutions believe these would provide more accurate estimates. It is not expected that institutions will assess whether each individual will complete a module or unit, rather that a robust method will be used in calculating estimates. It is expected that end of year data extracted from HESA student record and data from the HESES survey in previous years will be examined to determine if estimates made at HESES were reasonable, and if methods need to be adjusted.

**Example 8:** 10 students enrol for a part-time course in English starting in May 2020. The first module of the course, which is worth 20 credit values, starts in May 2020 and finishes in October 2020. In the previous year, out of 12 students starting the equivalent module, 1 withdrew from the module in June and 2 withdrew from the module in August, having taken no assessment for the module. In column 2 of Table A,  $10 \times 20 = 200$  credit values are returned in ASC 9. In column 3, an estimate of the number of credit values not completed, based on previous years' data, calculated as  $3/12 \times 10 \times 20 = 50$ , is returned in ASC 9. The total number of assumed credit values for the module, calculated in column 4, would be 150.

**Example 9:** 57 students enrol for a part-time first degree course in October 2019. 1 student fails 2 out of 3 modules taken in the first year and does not progress to the second year of the course. All modules are worth 20 credits each. The student retakes the 2 failed first year modules in the 2020/21 academic year with the intention of resuming study for the remainder of the course in 2021/22. In the first year of the course, 60 completed credit values would be returned on Table 4 for 2019/20 for the student. For the year in which the student repeated the 2 failed modules, 40 credit values would be returned, on Table 4 for 2020/21. For the second year of the course (the student's third year at the institution), 60 credit values would be returned on Table 4 for 2021/22, and similarly, 60 credit values would be returned for each subsequent year. The number of credit values returned in total for this student over the whole course, assuming they took 60 credits per year for the rest of the course and did not repeat any more modules, which has taken seven years, would be 400.

---

## Table and column descriptions

### Directly funded HEIs and FEIs

- 1 In all tables, data relating to franchised out students should be returned by the franchisor only (see Annex C, paragraph 15) and included in all relevant columns. On all tables, each partner of an ITE Partnership should return only the provision taking place at their own provider.
- 2 Data returned in Tables 1 and 3 may be returned to one decimal place, where full-time taught partial completions are included as 0.5 of a completion. Data returned on Table 4 must be returned as whole numbers.
- 3 Data returned on Table 2 must be whole numbers unless secondary education registrations have been split between specialist subjects, as described in Annex E, paragraph 7, when 0.5 can be returned against each subject. Secondary education totals within each level of study (undergraduate degree or PGCE) must be whole numbers.

### Table 1

- 4 Table 1 requests information on all assumed completed student registrations for the academic year 2019/20 by level of study (with undergraduate split into degree and non-degree), mode of study, whether the registration is franchised out or not (undergraduate only) and residential and fundability status. Registrations should be returned in accordance with the guidelines set out in Annex H.
- 5 The table has four principal columns.
  - **Column 1:** Numbers of completed full-time registrations, split into home and EU fundable, home and EU non-fundable and Island and overseas. Figures should be net of all known and predicted transfers, withdrawals and dropouts.
  - **Column 2:** Numbers of completed sandwich year out registrations, split into home and EU fundable, home and EU non-fundable and Island and overseas. Figures should be net of all known and predicted transfers, withdrawals and dropouts.
  - **Column 3:** Numbers of completed part-time registrations, split into home and EU fundable, home and EU non-fundable and Island and overseas. Figures should be net of all known or predicted transfers, withdrawals and dropouts.

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

## Table 2

- 6 Table 2 collects information about home and EU full-time ITE (QTS) new entrant registrations in ASC 11a between 1 August 2019 and 1 November 2019 inclusive. The table collects information by:
- Phase (secondary or primary)
  - Level of study (undergraduate degree or PGCE)
  - Specialist subject of study for secondary phase. Within the 24 secondary subjects it should be noted that:
    - i. Mathematics includes Statistics;
    - ii. Physical Education includes Movement Studies and Dance.
- 7 Figures should be net of all known transfers, withdrawals and dropouts occurring up to 1 November 2019. Those registrations repeating the first year of the course should be excluded from the table.
- 8 The table has eight columns:
- **Columns 1a, 1b, 1c, 1d:** Number of new entrants split into whether the entrant is fluent in Welsh, speaks Welsh but is not fluent, and does not speak Welsh or the information is not known/not collected. Column 1d is the sum of columns 1a, 1b and 1c and is calculated automatically in the table.
  - **Columns 2a, 2b, 2c, 2d:** Number of new entrants that are training to teach through the medium of Welsh split into whether the entrant is fluent in Welsh, speaks Welsh but is not fluent, and does not speak Welsh or the information is not known/not collected. Column 2d is the sum of columns 2a, 2b and 2c and is calculated automatically in the table.

## Table 3

- 9 Table 3 requests information on assumed completed home and EU fundable and non-fundable (**excluding** those funded by the HEIW/NHS) registrations that are full-time or part-time undergraduate or PGCE (QTS) students at the institution for the academic year 2019/20. Data are collected by whether the student is a new entrant or continuing at the institution, ASC group (for full-time provision), level of study, fundability status and residential status. The data returned here are a subset of those returned in Table 1. Registrations should be returned in accordance with the guidelines set out in Annex H. Figures should be net of all known and predicted transfers, withdrawals and dropouts.

There are four ASC groups used for full-time provision, ASCs 1a and 1b; ASCs 1c and 1d; ASCs 2 to 10 and 11b; and ASC 11a.

- 10 The table is split into two subtables collecting data about completed registrations.
- New entrants – columns 1 to 7
  - Continuing students – columns 8 to 14
- 11 The columns contained within each of these subtables are described below.
- **Columns 1, 8:** Number of completed HEFCW-fundable registrations that have Welsh residential status.
  - **Columns 2, 9:** Number of completed HEFCW non-fundable registrations (other than those funded by HEIW/NHS) that have Welsh residential status, split by level of study.
  - **Columns 3, 10:** Number of completed HEFCW-fundable registrations that have EU residential status.
  - **Columns 4, 11:** Number of completed HEFCW non-fundable registrations (other than those funded by HEIW/NHS) that have EU residential status, split by level of study.
  - **Columns 5, 12:** Number of completed HEFCW-fundable registrations that have home residential status other than Welsh.
  - **Columns 6, 13:** Number of completed HEFCW non-fundable registrations (other than those funded by HEIW/NHS) that have home residential status other than Welsh, split by level of study.
  - **Columns 7, 14:** Total number of completed home and EU registrations. The calculation is done automatically in the spreadsheet.

#### Table 4

- 12 Table 4 collects part-time undergraduate home and EU fundable registrations for the academic year 2019/20 in terms of the credit values associated with the modules, units or courses started in the current academic year.
- 13 Credit values are returned split into those associated with part-time home and EU fundable student registrations up to and including 1 November 2019, and credit values associated with forecast new student registrations between 2 November 2019 and 31 July 2020. The numbers of non-completed credits are also collected and the total assumed completed credit values are calculated in the workbook.
- 14 The data are categorised into ASC. Data are returned as whole numbers. Note that some students excluded from the registration table (Table 1) as non-

completions may be shown as completing modules or credit values in Table 4. Similarly, final year students on non-standard academic year courses may be excluded from Table 1 but credit values for modules relating to those students may be recorded in Table 4.

- 15 The table has four columns:
- 16 **Column 1:** Numbers of credit values arising from registrations on modules, units or courses between 1 August 2019 and 1 November 2019 inclusive. Figures should be net of all known transfers, withdrawals and dropouts occurring up to 1 November 2019.
- 17 **Column 2:** Predicted numbers of credit values arising from forecast new registrations on modules, units or courses after 1 November 2019. Figures recorded here should be predictions after allowance for transfers after 1 November 2019.
- 18 **Column 3:** Estimated numbers of credit values associated with non-completions of modules, units or courses, after 1 November 2019. Credit values returned in column 3 are a subset of those returned in columns 1 and 2.
- 19 **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 2019/20. It is the sum of columns 1 and 2, minus column 3. The calculation is done automatically in the spreadsheet.

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

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

### HESES/EYM population

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

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

- 5 The following students, though in the population, will not be counted as registrations for HESES/EYM (some credit values associated with these students may be counted where a module is started in 2019/20):

Writing up students	INSTANCE.MODE = 43, 44
Students in their final year attending a course which follows a non-standard academic year	INSTANCE.TYPEYR = 2 and INSTANCE.ENDDATE ≤ 31072020 and INSTANCE.ENDDATE ≤ anniversary of INSTANCE.COMDATE in 2019/20 plus two weeks

## HESES/EYM categorisation

### Residential status and eligibility for mainstream funding

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

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

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

## Assignment to ASCs

### Registrations

- 9 Full-time registrations will be assigned to ASCs on the basis of the HECoS codes shown in COURSESUBJECT.SBJCA and the proportions in each subject shown in COURSESUBJECT.SBJPCNT, with the exceptions of full-time undergraduate medicine and dentistry (ASC 1) and undergraduate and PGCE ITE (QTS) (ASC 11a). The mapping between HECoS codes and ASCs given in Annex E will be used.

- 10 Where postgraduate medicine or dentistry provision is coded using the general HECoS codes 100271 (medicine) and 100268 (dentistry), it will be assumed to be non-clinical.

*Full-time undergraduate medicine and dentistry provision*

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

	<b>COURSESUBJECT.SBJCA</b>
Non-clinical medicine	100276
Clinical medicine	100267, 101309, 101324, 101325, 101327, 101331, 101334, 101336, 101337, 101339
Non-clinical dentistry	100275
Clinical dentistry	100266

- 12 Year of programme will be assigned as follows:

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

*Undergraduate and postgraduate taught ITE (QTS) (ASC 11a)*

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

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

Subject of study will be assigned using COURSESUBJECT.SBJCA and COURSESUBJECT.SBJPCNT (with manual adjustments if necessary to ensure that subjects are counted against the correct specialisms where the course includes more than one subject)

Gained QTS QUALIFICATIONSAWARDED.OUTCOME = 1

Year of programme	INSTANCE.YEARPRG
Year 1	01
Year 2	02
Year 3	03
Year 4	04

### Credits

- 14 Credit values, taken from MODULE.CRDTPTS, are assigned to ASCs according to the JACS codes of the module, returned in MODULESUBJECT.MODSBJ, and the respective proportions in each subject, returned in MODULESUBJECT.MODSBJP, using the mapping linked to in Annex E.
- 15 Exceptions to this are medicine and dentistry courses and ITE (QTS) courses. Modules will only be assigned to these subjects if the course is medicine and dentistry or ITE (QTS). For postgraduate medicine and dentistry courses, if the module subject MODULESUBJECT.MODSBJ is coded the general HECoS codes 100271 (medicine) and 100268 (dentistry), it will be assumed to be non-clinical, in ASC 1a or 1c respectively.

### **Mode of study**

- 16 Mode of study is categorised as follows:

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

### **Level of study**

- 17 Level of study is categorised as follows:

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

### New entrants and continuing students

- 18 New entrants and continuing students (Table 3 of HESES) are categorised as follows:

New entrants	INSTANCE.YEARSTU = 1
Continuing students	INSTANCE.YEARSTU > 1

- 19 New entrants and continuing students will be considered home and EU fundable or non-fundable according to the criteria in paragraph 6. HEIW/NHS students will be identified and excluded using COURSE.MSFUND = 13, 31 and COURSE.TTCID ≠ 1. They will be further categorised into residential status, using domicile as a proxy, as follows:

Welsh residential status	ENTRYPROFILE.DOMICILE = XI.
EU residential status	ENTRYPROFILE.DOMICILE = AT, BE, BG, HR, XA, CZ, DK, EE, EU, FI, AX, FR, GF, GP, MQ, YT, RE, DE, GR, HU, IE, IT, LV, LT, LU, MT, NL, PL, PT, RO, SK, SI, ES, IC, SE
Other home residential status	Otherwise

- 20 For the purposes of Table 2 of HESES, ITE (QTS) registrations will be counted as new entrants as follows:

New entrants	INSTANCE.YEARPRG = 01 and INSTANCE.YEARSTU = 1
--------------	---

### Students franchised out

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

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

- 22 In analysing franchised out data, the proportions may also be used to determine what volume of registration activity is franchised out to get a more accurate view of the extent of franchise provision. However, institutions are not expected to do this in returning data to HESES. Further guidance on franchised out credit values is in paragraph 38 below.

### Welsh speaking ability and teaching through the medium of Welsh

- 23 Of ITE (QTS) new entrants, it will be assumed that those training to teach through the medium of Welsh are on a course that is identified as providing training to teach through the medium of Welsh, using the Bilingual ITT marker (COURSE.BITTM), as follows:

Training to teach through the medium of Welsh	COURSE.BITTM = 1, 2
---	---------------------

- 24 ITE (QTS) entrants and ITE (QTS) entrants who are training to teach through the medium of Welsh are categorised into Welsh speaking ability, for the purposes of Table 2 of HESES/EYM, as follows:

Fluent in Welsh	STUDENT.WELSSP = 1
Welsh speaker not fluent	STUDENT.WELSSP = 2
Not a Welsh speaker/ not known/not collected	Otherwise

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

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

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

### Higher level and degree apprenticeships

- 26 Though not collected on HESES, we will extract data for registrations that are studying for an HE qualification as part of a higher level apprenticeship (HLA) or a degree apprenticeship funded through the HEFCW scheme, identified as follows:

Those who are studying as part of an HLA	INSTANCE.INITIATIVES = K
Those who are studying as part of a degree apprenticeship under the HEFCW scheme	INSTANCE.INITIATIVES = Z

### Registrations up to 1 November

- 27 The following registrations will be assumed to be those registrations up to 1 November, counted for full-time provision on Table 2 of HESES and EYM:

Those who complete on or before 1 November 2019 and are on a standard academic year	INSTANCE.ENDDATE ≤ 01112019 and INSTANCE.FUNDCOMP = 1 and INSTANCE.TYPEYR = 1
Those who started on or before 1 November 2019	INSTANCE.COMDATE ≤ 01112019

### Completions

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

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

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

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

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

### Assignment of credit values to columns in Tables 1a, 1b and 1c (EYM) and Table 4 (HESES)

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

Module started in 2019/20	STUDENTONMODULE.MODSTAT = 2, 3
Module is countable	STUDENTONMODULE.MODCOUNT = 2
Module is not on a not-for-credit basis	STUDENTONMODULE.MODOUT ≠ 5

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

#### Column 1

- 32 Credit values for modules associated with the following registrations, that were started in the 2019/20 academic year, will be assumed to be in column 1:

---

Those who started on or before 1 November 2019      `INSTANCE.COMDATE ≤ 01112019`

---

Column 2

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

---

Those who started after 1 November 2019      `INSTANCE.COMDATE > 01112019`

---

Column 3

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

---

Modules not completed	<code>STUDENTONMODULE.MODOUT = 4, A, B</code> or <code>STUDENTONMODULE.MODOUT = 3</code> and mode of study is part-time
-----------------------	--

---

- 35 Full-time credit values included in columns 1 and 2 will be assumed to be partially completed, and counted at 0.5, where:

---

Modules assumed partially completed	<code>STUDENTONMODULE.MODOUT = 3</code> and mode of study is full-time or sandwich
-------------------------------------	--

---

- 36 Proportions in each module outcome for modules with known outcomes will be used to estimate the number of credit values associated with modules coded with unknown outcome (`STUDENTONMODULE.MODOUT = 6`) that are not completed and these will also be counted in column 3.

Column 4

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

Columns 5a and 5b (Table 1c of EYM) column 5 (Table 4 of HESES)

- 38 Franchised out modules for part-time registrations are counted as those not taught by the provider and are split between those wholly franchised out credit values, and those that are partially franchised out as defined below. The columns will be summed as a total franchised out credit value figure for funding purposes. The total of the two columns is equivalent to column 5 of HESES.

---

Wholly franchised out credit values	Sum of <code>MODULE.CRDTPTS</code> for all modules, where <code>FRANIND = 1</code> and <code>PCOLAB = 100</code>
-------------------------------------	--

---

---

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

---

### Performance Element provision

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

### Students outside the HESES population

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

---

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

---

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

---

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

---

- 42 Changes have been made to the HESA aggregate offshore record for 2019/20. The 2019/20 coding manual has not yet been published. Therefore, there may be changes to the categorisations above. These will be reflected in the EYM publication for 2019/20.
- 43 Students that are not in the HESES population, but are based in the UK, will be considered to be those students returned on the HESA student record that fit the criteria to be included in the HESES population, apart from being coded as not being in the HESES population, i.e. where INSTANCE.FUNDCOMP = 9. Where we find that institutions are returning significant numbers of these on the HESA student record we will discuss with the institution concerned why these students are considered not to be in the HESES population.

---

## Workbook notes

- 1 An Excel workbook containing spreadsheet versions of the tables to complete for the HESES 2019/20 return will be emailed to data contacts at individual institutions.
- 2 The email will contain an Excel workbook saved in Excel 2016 and prefixed with a four character code identifying the institution, as follows.

<b>Workbook name</b>	<b>Tables included</b>
____HESES.xlsx	Tables 1 to 4

- 3 Each table is contained in a separate worksheet within the workbook and worksheets are named after the relevant table.
- 4 In addition to the worksheets containing the tables to be completed, a worksheet containing a summary of the information returned on the tables together with data from previous years, is included in the HESES workbook. This summary worksheet contains a comparison of HESES and EYM data for 2014/15 to 2019/20, where data have been collected. The tables presented in this worksheet are for information only and no data should be entered in this table.
- 5 If the workbooks are corrupt or unreadable please contact Lloyd White (hestats@hefcw.ac.uk, 029 2085 9723) for assistance.
- 6 It is advisable to make a backup copy of the blank workbooks before attempting to edit any of the tables.
- 7 Institutions must not attempt to change the structure of the workbook by adding or deleting worksheets, rows or columns, or by overwriting or deleting any formulae. Worksheets contain information critical to loading of the data and it is essential that the structure of the workbook is not changed in any way.
- 8 Each workbook should be saved in Excel on completion, using the same filename and extension as that originally supplied. Names of the individual worksheets must not be changed.
- 9 The workbook includes a number of validation checks (see Annex M). Institutions should ensure their data pass all validation checks before the workbooks are returned.
- 10 The date of completion must be entered in the workbook in the box provided. This information, once entered in the worksheet containing Table 1, is automatically completed in the worksheets containing Tables 2 to 4.

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

---

## Validation checks

- 1 A number of validation checks have been built into the Excel workbook containing Tables 1 to 4 (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 1, 2 and 3 all values entered must be to no more than 1 decimal place and must be a multiple of 0.5.
- 4 **Validation check 2:** In Table 3, totals for undergraduate home and EU fundable and non-fundable registrations of new entrants plus continuing students  $\leq$  corresponding totals for full-time and part-time undergraduate home and EU fundable and non-fundable registrations in Table 1, respectively.
- 5 **Validation check 3:** In Table 2, new entrants training to teach through the medium of Welsh in column 2d  $\leq$  total new entrants in column 1d.
- 6 **Validation check 4:** In Table 2, total full-time new entrants in column 1d = total full-time new entrants in column 1 returned on the early collection of Table 2
- 7 **Validation check 5:** In Table 2, total full-time new entrants training to teach through the medium of Welsh in column 2d = total full-time new entrants training to teach through the medium of Welsh in column 2 returned on the early collection of Table 2.
- 8 **Validation check 6:** In Table 4, if there is an entry in column 3, there must be an entry in column 1, column 2 or both columns 1 and 2, which is in total  $\geq$  column 3.
- 9 **Validation check 7:** In Table 4, credit values entered in columns 1, 2, 3 and 5 must be whole numbers.
- 10 **Validation check 8:** In Table 4, for each ASC, franchised out credit values (column 5)  $\leq$  total credit values (column 4).
- 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. HESES 2018/19 and EYM 2018/19 data are used for comparison purposes.

Institutions are invited to check and comment on instances where a CHECK message occurs.

- 12 **Credibility check 9:** In Table 1, for each mode and level of study, percentage increase/decrease between HESES18 and HESES19 > 25%.
- 13 **Credibility check 10:** In Table 3, for full-time new entrants and continuing students, for each level of study and ASC group, percentage increase/decrease between HESES18 and HESES19 > 25%. As ASC groups have been split in 2019/20, in carrying out this check, we will combine groups for 2019/20 in order to compare to 2018/19 data.
- 14 **Credibility check 11:** In Table 4 for each ASC, percentage increase/decrease between EYM18 and HESES19 > 25%, for column 4 credit values. Note that this will be done on **unverified** EYM18 data because of the timing of issuing the tables.
- 15 ITE (QTS) HESES data from 2018/19 are also included in Table 2 to the right of the table collecting data, for information and to aid checking.
- 16 As well as the validation and credibility checks incorporated into the workbook, a worksheet showing summary registration data for 2014/15 to 2019/20 is included (see Annex L, paragraph 4). In this worksheet, data returned on HESES and EYM are compared. The information provided in this worksheet can be used by institutions to help identify general patterns of over- or under-prediction at HESES and analyse their estimates of non-completions. We expect institutions to look at this worksheet as part of their overall check of their return before it is submitted to HEFCW.
- 17 Once data are returned to HEFCW, further checks are undertaken.

---

## Usage of data by HEFCW

- 1 The primary reasons for collecting data through the HESES survey are to calculate credit-based teaching funding for part-time undergraduate provision; have an early indication of student numbers for 2019/20; to monitor funding allocations and fee income estimates and forecasts; to provide ITE (QTS) data to Welsh Government to plan and monitor ITE intake targets; and to inform monitoring and policy decisions in instances where data are not yet available from other sources, for example, the HESA student record. An outline of the reasons for collecting the data on each table is given below.

### Table 1

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

### Table 2

- 4 Data collected on Table 2 are used by Welsh Government and the Education Workforce Council to monitor recruitment against intake targets and in the analysis and future planning of ITE (QTS) provision.

### Table 3

- 5 Table 3 collects data relating to full-time and part-time undergraduate and PGCE (QTS) home and EU registrations separately for new entrants and continuing students. The data are collected split by ASC group (for full-time), level of study (undergraduate or PGCE (QTS)), residential status and whether fundable or non-fundable. HEIW/NHS-funded students are excluded from the table.
- 6 The data are split by these categories in order to get estimated figures for students under the full-time fee regime and to be able to estimate tuition fee income for different areas of provision. These figures will be used to monitor estimates of numbers of students and fee income for full-time students, including by comparing to data from other sources such as Welsh Government student forecasts, the SLC, the HESA student record and institutions' fee and

access plans. Medicine and dentistry have been split in the table this year and figures returned will be used to monitor changes in medicine recruitment given the additional funded places allocated from 2018/19.

- 7 Part-time figures are being collected on Table 3 for the first time in 2019/20. We want to understand sooner about the changes happening in part-time undergraduate entrants, particularly given the review of part-time funding that we will be carrying out in 2020.
- 8 We will also monitor numbers of EU students for both full-time and part-time study and associated estimates of fee income for full-time students. As for Table 1, we will also use the figures returned on Table 3 as an update to the figures that were provided on the student number forecasts return in July.

#### **Table 4**

- 9 Data collected on Table 4 will be used in our credit-based teaching funding allocations for part-time undergraduate provision in 2020/21. We have been using EYM data for the past few years, however, now that part-time recruitment is seeing an increase in some parts of the sector, we want to use more up to date data in our funding model on a consistent basis for all providers.

**Funding status reference grid**

## Summary of funding rules by location of study and fee regime 2019/20

## Annex O

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

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

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

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

#### Notes:

F = home and EU fundable

NF = home and EU non-fundable

IO = Island and overseas

NR = non-returnable on HESES/EYM

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

<sup>2</sup>For example, the Welsh European Funding Office (WEFO) Knowledge Economy Skills Scholarships or the HEFCW-funded degree apprenticeship scheme.

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

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

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

HESES 2019/20

Table 1: Student Registrations

Mode: All Modes

Institution:

Code:

Level of study		Assumed completed registrations in academic year 2019/20											
		Full-time			Sandwich Year Out			Part-time			Total		
		Home and EU		Island and overseas	Home and EU		Island and overseas	Home and EU		Island and overseas	Home and EU		Island and overseas
		Fundable	Non-fundable		Fundable	Non-fundable		Fundable	Non-fundable		Fundable	Non-fundable	
		1a	1b	1c	2a	2b	2c	3a	3b	3c	4a	4b	4c
Not franchised out	Undergraduate degree										0.0	0.0	0.0
	Undergraduate non-degree										0.0	0.0	0.0
Franchised out	Undergraduate degree										0.0	0.0	0.0
	Undergraduate non-degree										0.0	0.0	0.0
Undergraduate total		0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
Postgraduate taught											0.0	0.0	0.0
Postgraduate research											0.0	0.0	0.0
Total		0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0

Contains formulae

Each sandwich year out registration is counted as 1.

Table 2: Home and EU ITE (QTS) Student Registrations - New Entrants

Mode: Full-time

Institution:

Code:

Phase	Subject	Level	Registrations between 1 August 2019 and 1 November 2019 Total new entrants				Registrations between 1 August 2019 and 1 November 2019 New entrants training to teach through the medium of Welsh				
			Fluent Welsh speakers	Welsh speakers not fluent	Not Welsh speaking/not known/not collected	Total new entrants	Fluent Welsh speakers	Welsh speakers not fluent	Not Welsh speaking/not known/not collected	Total new entrants training to teach through the medium of Welsh	
			1a	1b	1c	1d	2a	2b	2c	2d	
Primary Education		UG degree				0.0					0.0
		PGT				0.0					0.0
Secondary Education	Information Technology	UG degree				0.0					0.0
		PGT				0.0					0.0
	Design and Technology	UG degree				0.0					0.0
		PGT				0.0					0.0
	French	UG degree				0.0					0.0
		PGT				0.0					0.0
	German	UG degree				0.0					0.0
		PGT				0.0					0.0
	Italian	UG degree				0.0					0.0
		PGT				0.0					0.0
	Spanish	UG degree				0.0					0.0
		PGT				0.0					0.0
	Other Modern Languages	UG degree				0.0					0.0
		PGT				0.0					0.0
	Welsh	UG degree				0.0					0.0
		PGT				0.0					0.0
	Mathematics	UG degree				0.0					0.0
		PGT				0.0					0.0
	Biology	UG degree				0.0					0.0
		PGT				0.0					0.0
	Chemistry	UG degree				0.0					0.0
		PGT				0.0					0.0
	General/Integrated Science	UG degree				0.0					0.0
		PGT				0.0					0.0
	Physics	UG degree				0.0					0.0
		PGT				0.0					0.0
	Other Science	UG degree				0.0					0.0
		PGT				0.0					0.0
	Music	UG degree				0.0					0.0
		PGT				0.0					0.0
	Religious Education	UG degree				0.0					0.0
		PGT				0.0					0.0
	Art	UG degree				0.0					0.0
		PGT				0.0					0.0
	Business Studies	UG degree				0.0					0.0
		PGT				0.0					0.0
	Drama	UG degree				0.0					0.0
		PGT				0.0					0.0
	English	UG degree				0.0					0.0
		PGT				0.0					0.0
	Geography	UG degree				0.0					0.0
		PGT				0.0					0.0
	History	UG degree				0.0					0.0
		PGT				0.0					0.0
	Physical Education	UG degree				0.0					0.0
		PGT				0.0					0.0
	Other (Please specify)	UG degree				0.0					0.0
		PGT				0.0					0.0
	Total	UG degree	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
		PGT	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
Total		UG degree	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
		PGT	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
Total			0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0

Contains formulae

Table 3: Full-time and Part-time Undergraduate and PGCE (QTS) Home and EU Registrations - New entrants and continuing students at the institution (HEIW/NHS funded students excluded)

Mode: Full-time and sandwich year out & Part-time

Institution:

Code:

Mode of study	Academic Subject Category		Assumed completed home and EU registrations in academic year 2019/20 - new entrants											Total	
			Welsh residential status				EU residential status				Other home residential status				
			HEFCW-fundable		HEFCW non-fundable		HEFCW-fundable		HEFCW non-fundable		HEFCW-fundable		HEFCW non-fundable		
			Undergraduate	PGCE (QTS)	Undergraduate	PGCE (QTS)	Undergraduate	PGCE (QTS)	Undergraduate	PGCE (QTS)	Undergraduate	PGCE (QTS)	Undergraduate		PGCE (QTS)
		1a	1b	2a	2b	3a	3b	4a	4b	5a	5b	6a	6b	7	
Full-time	1a/1b	Clinical and Pre-clinical/non-clinical Medicine													0.0
	1c/1d	Clinical and Pre-clinical/non-clinical Dentistry													0.0
	2-10 & 11b	Other ASCs													0.0
	11a	Education ITE (QTS)													0.0
Part-time	All ASCs													0.0	
Total			0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	

Mode of study	Academic Subject Category		Assumed completed home and EU registrations in academic year 2019/20 - continuing students											Total	
			Welsh residential status				EU residential status				Other home residential status				
			HEFCW-fundable		HEFCW non-fundable		HEFCW-fundable		HEFCW non-fundable		HEFCW-fundable		HEFCW non-fundable		
			Undergraduate	PGCE (QTS)	Undergraduate	PGCE (QTS)	Undergraduate	PGCE (QTS)	Undergraduate	PGCE (QTS)	Undergraduate	PGCE (QTS)	Undergraduate		PGCE (QTS)
		8a	8b	9a	9b	10a	10b	11a	11b	12a	12b	13a	13b	14	
Full-time	1a/1b	Clinical and Pre-clinical/non-clinical Medicine													0.0
	1c/1d	Clinical and Pre-clinical/non-clinical Dentistry													0.0
	2-10 & 11b	Other ASCs													0.0
	11a	Education ITE (QTS)													0.0
Part-time	All ASCs													0.0	
Total			0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	

Do not complete  
Contains formulae

HESES 2019/20

Table 4: Home and EU Fundable Credit Values

Mode: Part-time  
 Level: Undergraduate  
 Institution:  
 Code:

ASC		Credit Values between 1 August 2019 and 1 November 2019	Forecast of Credit Values after 1 November 2019 in AY 2019/20	Estimated Number of Credit Values Not Completed (of those in columns 1 & 2)	Assumed Completed Credit Values AY 2019/20 Col (1) + (2) - (3)	Franchised Out Credit Values (of those in column 4)
		1	2	3	4	5
ASC 1	1a: Pre-clinical / non-clinical Medicine				0	
Clinical & Pre-clinical Subjects	1b: Clinical Medicine				0	
	1c: Pre-clinical / non-clinical Dentistry				0	
	1d: Clinical Dentistry				0	
ASC 2	Subjects & Professions Allied to Medicine				0	
ASC 3	Science				0	
ASC 4	Engineering & Technology				0	
ASC 5	Built Environment				0	
ASC 6	Mathematical Sciences, IT and computing				0	
ASC 7	Business & Management				0	
ASC 8	Social Sciences				0	
ASC 9	Humanities				0	
ASC 10	Art, Design and Performing Arts				0	
ASC 11	11a: ITE (QTS) Primary				0	
Education	11a: ITE (QTS) Secondary				0	
	11b: Non-QTS				0	
Total		0	0	0	0	0

Contains formulae