

HEFCE 01/53
September
Request

Respond by 27 November 2001

HEIFES01

**Higher Education in Further Education
Students Survey 2001-02**

HEIFES01

Higher Education in Further Education: Students Survey 2001-02

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| To | Heads of further education colleges directly funded by HEFCE in 2001-02 |
| Of interest to those responsible for | Student data, Funding |
| Reference | 01/53 |
| Publication date | September 2001 |
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Executive summary

Purpose

1. This document asks further education colleges (FECs) to complete a survey of students on recognised courses of higher education (HE).

Key points

2. The data collected on the Higher Education in Further Education: Students Survey 2001-02 (HEIFES01) are intended to be compatible with those returned on the Higher Education Students Early Statistics Survey 2001-02 (HESES01), which we collect from higher education institutions (HEIs). However, because of differences in the way FECs have traditionally returned data, identical returns are not possible. As we further develop our relationships with FECs we hope to be able to align the two surveys.
3. The data will:
 - a. Give us an early indication of the number of students on recognised courses of HE at FECs in the academic year 2001-02.
 - b. Where appropriate, enable us to compare student load with allocations made for the academic year 2001-02.
 - c. Together with the individualised student record (ISR) supplied to the Learning and Skills Council (LSC), inform our allocation of teaching funds for the academic year 2002-03.

4. This document provides:
 - a. Guidance notes for completing the HEIFES01 survey.
 - b. Definitions used in the HEIFES01 survey.
 - c. Examples of the survey tables, which will be distributed on computer disk.
5. Information contained in the annexes will help colleges to complete the survey.

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Action required

6. Survey data, on disk with a hard copy, should be returned by **27 November 2001**. Disks will be dispatched to colleges at the beginning of November 2001.

The HEIFES01 survey

7. HEIFES01 and HESES01 will be used to inform our allocation of teaching funds for 2002-03. HEIFES01 should be completed by all FECs with students on directly funded recognised courses of HE.
8. HEIFES01 splits students into those countable on or before 1 November 2001 and those countable after that date.
9. Coverage of the HEIFES01 survey is given in Annex C. Definitions of when activity should be counted are in Annex E. Annexes D and F to K explain how to record different categories of activity.
10. All activity that meets the criteria set out in Annexes C and E should be reported, even if it will not be used directly to allocate funds. For example, the HEFCE will not support students ordinarily resident outside the EC, but these students should still be included in the Island and overseas column on the tables.
11. For allocation purposes we source various information from the July 2001 LSC ISR20, in particular, we expect to use the following fields:
 - a. Date of birth (S04) – to determine if a student qualifies for the mature student premium.
 - b. Postcode (S06) – to determine whether the student should count towards the calculation of the widening participation allocation.
 - c. Additional support assessment (S11) – to determine whether the student should count towards the calculation of the disability allocation.

Incomplete records may result in a lower allocation of funding than would otherwise be the case.

Data collection and verification

12. Enquiries about this survey should be addressed to Hannah Falvey (tel 0117 931 7478, e-mail heifes@hefce.ac.uk). There is a web page featuring answers to frequently asked questions and examples of completed HEIFES returns. The web page will also contain any amendments or clarifications that need to be made after the publication and disk are sent out. It can be found on the HEFCE web-site, www.hefce.ac.uk, under 'Learning & teaching', 'Data collection', then 'HEIFES FAQs'. The web page is updated regularly and colleges are expected to look here for guidance before and during completion of their HEIFES return. We will use an e-mail list of HEIFES contacts to notify colleges of any significant changes or updates. We will not use this simply to notify of changes to the web-site.
13. Any enquiries about the classification of qualifications on the LSC Qualification Database should be directed to the LSC funding and statistics support desk (tel 024 7649 3724).

14. A computer disk containing an Excel workbook to be completed for HEIFES01 will be dispatched directly to college contacts at the beginning of November 2001. Notes on the disk are at Annex P.

15. The disk contains a number of validation checks, detailed in Annex O, and we will carry out further checks when we receive it. Once the returned data have been validated by us, colleges will be contacted and asked to verify their returns. We may refuse to revise allocations once data have been verified.

College contacts

16. If there are any changes to the HEIFES contact details, or if a college wants to check these details, colleges should speak to or send an e-mail to their higher education adviser (HEA). The HEA for each college can be found on the HEFCE web-site under 'About us', 'HEFCE staff list' and then enter the name of the college.

Returns

17. Survey data, on disk with a hard copy, should be returned to:

HEIFES
Analytical Services Group
HEFCE
Northavon House
Coldharbour Lane
BRISTOL BS16 1QD

Returns may be made by e-mail to heifes@hefce.ac.uk, but the disk and a hard copy should still be sent to the above address.

18. Returns should be received no later than **Tuesday 27 November 2001**: data need to be returned by this date to ensure that we can announce the 2002-03 allocations by March 2002.

Nil returns

19. Colleges wishing to make a nil return should return the empty workbook by e-mail to heifes@hefce.ac.uk, stating in the e-mail that they are making a nil return, no later than 27 November 2001. The disk with a printout of the worksheets does not need to be returned.

Late returns

20. We will not accept any requests for late submission of data. Where a college fails to return data on time, or the returned data are not credible, we may base the allocation of funds on our own estimate of student activity. Colleges that do not submit credible data on time are more likely to be audited.

Audit

21. We will audit HEIFES01 data. Colleges should therefore keep an adequate audit trail recording how the data were derived. This is especially important where colleges are including estimates or making judgements, for example, the basis for forecasting non-completions should be recorded. Colleges must ensure that estimates are reasonable and have sufficient supporting data. Signed and dated registration and enrolment forms for students should be available for inspection.

22. As part of our audit process, we will compare HEIFES01 data with a variety of other data, most notably the July 2002 LSC ISR23 data, as these become available. We may make retrospective adjustments to funding in the light of these comparisons. Details of how we will compare data are given in Annex N. It is not possible to create an exact mapping between the LSC ISR data and HEIFES data; so although Annex N gives details of the mappings we will use, it cannot be used to derive HEIFES01 data.

Audit of HEIFES2000

23. The HEIFES2000 data audit exercise audited 10 colleges. The audits highlighted areas in which some colleges are incorrectly interpreting the HEIFES guidance. The findings included:

- lack of robustness in the estimation of non-completions
- incorrect allocation of Superclass II codes to price groups
- incorrect calculation of part-time load factors
- incorrect fundability status
- poor communication within collaborative arrangements
- inadequate audit trail between the student record system and the HEIFES return
- significant discrepancies between ISR and HEIFES data
- HEIFES returns not authorised by the most appropriate person
- lack of knowledge management.

24. The findings are included under 'Common errors in HEIFES2000' in Annex A, paragraphs 9 to 33.

Annex A

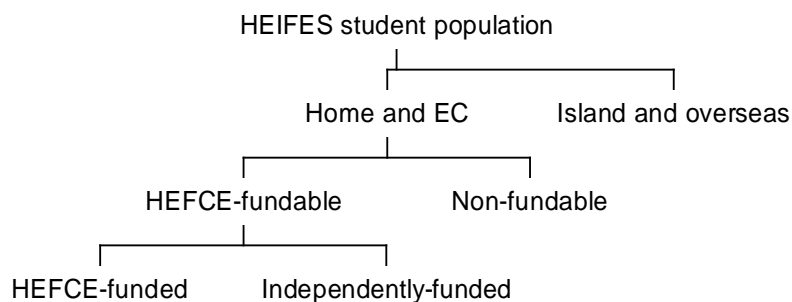
Explanatory note for HEIFES01

1. We will use HEIFES01 to monitor whether colleges have met their 2001-02 funding agreement, and to determine recurrent grant and formula-driven student number allocations for 2002-03. This annex explains how we will use the data, and provides guidance on common errors which arose in HEIFES2000. It does not provide strict definitions – for these, colleges should refer to the other annexes, as appropriate.

2. The funding agreement explains how we will use the data in monitoring colleges recruitment against their student number targets and in calculating standard and assumed resource for 2001-02. The funding agreement for 2001-02 was issued to colleges on 24 July 2001.

Fundability status: HEFCE-funded, independently-funded, non-fundable and Island and overseas

3. Annex G provides the strict definitions on residential and fundability status. In HEIFES, students are disaggregated between home and EC, and Island and overseas. Home and EC students are then disaggregated between HEFCE-fundable and non-fundable. HEFCE-fundable students are then further disaggregated between HEFCE-funded and independently-funded. This hierarchy is shown in the diagram below.



Island and overseas

4. Island and overseas students are those from the Channel Islands, Isle of Man or from outside the EC. They are not included in any of our funding or student number allocations for 2001-02.

Non-fundable students

5. The three main categories of home and EC non-fundable students are those who are:

- Funded from another EC public source: for example, the Department of Health, the Modern Apprenticeship scheme or the Teacher Training Agency (TTA), or from European grant such as the European Social Fund (ESF). In some cases, where the

public funding does not cover HEFCE standard resource rates, a proportion of the students on the course may be returned as fundable, as long as the students are not excluded for other reasons – see paragraphs 4a, 4c and 4d of Annex G.

b. On closed courses, which are not open to any suitably qualified candidate. This will cover, for example, courses which are provided solely for the employees of particular companies.

c. On courses which are franchised-out to an organisation which is neither an HEI nor an FEC, unless we have given specific approval to include them as fundable.

Non-fundable students are not included in our calculations of standard and assumed resource, but do still count towards the Maximum Student Number (MaSN) and foundation and sub-degree target, where appropriate.

Independently-funded students

6. Colleges may choose to record home and EC HEFCE-fundable students as independently-funded, if they receive sufficient funding from non-public sources to cover the HEFCE standard resource level for the particular category of student. Independently-funded students are not included in our calculations of standard and assumed resource, but do still count towards the MaSN and foundation and sub-degree target. In general, the declaration of eligible students as independently-funded will only benefit colleges which are currently under-resourced from public funds (below the ± 5 per cent tolerance band around standard resource), as an aid to migration. We expect very few students at FECs to meet the eligibility criteria for inclusion as independently-funded, and colleges that record such students may be asked to provide evidence that they meet the criteria.

Structure of the main HEIFES tables

7. The main HEIFES tables, Tables 1, 2 and 3, ask for:

- Column 1: Student data as at the census date (1 November). Students who have withdrawn prior to 1 November are excluded (although students who have completed before this date are included)
- Column 2: Forecast data after the census date (2 November to 31 July)
- Column 3: Forecast non-completions (after 1 November). These are recorded as negative values
- Column 4: Estimated completions for the year – the sum of the previous three columns
- Column 4a (Table 3 only): Full-time equivalent (FTE) of estimated part-time completions.

8. Column 4 of Tables 1 and 2 and Column 4a of Table 3, HEFCE-funded data, are used in our resource calculations. Column 4 of Tables 1 and 2 and Column 4a of Table 3, HEFCE-fundable data, are used in monitoring against the FTE targets for funding conditional upon delivery of growth. Relevant home and EC data in Columns 1 and 2 are used for monitoring against the MaSN and foundation and sub-degree target.

Common errors in HEIFES2000

9. We carried out audits of the HEIFES data returns from a number of colleges during 2001. Common errors made by colleges in completing the HEIFES survey last year and problems encountered during the audits include:

- colleges did not fill in all the relevant tables (see paragraph 10)
- Column 2 on Tables 1, 2 and 3 was filled in incorrectly (see paragraph 11)
- students were returned against the wrong fee level on Table 4 (see paragraphs 16 and 17)
- students were attributed to incorrect price groups (see paragraphs 18 to 21)
- colleges filled in the FTE column on the part-time table, Table 3, incorrectly (see paragraphs 22 and 23)
- colleges did not estimate non-completions reasonably (see paragraphs 24 to 26)
- students were returned with incorrect fundability status (see paragraph 27)
- there was poor communication within collaborative arrangements (see paragraph 28)
- there was an inadequate audit trail between the student record system and the HEIFES return (see paragraph 29)
- there were significant discrepancies between ISR and HEIFES data (see paragraph 30)
- HEIFES returns were not authorised by the most appropriate person (see paragraph 31)
- there was a lack of knowledge management (see paragraphs 32 and 33).

Filling in relevant tables

10. Some colleges did not fill in all the tables that were relevant to them. For example, a common mistake was to fill in only Table 5 on HEIFES2000, which collected information on provision below degree level, when only HNC and HND students were present at the college. Students aiming for qualifications below degree level should also be returned on Tables 1, 2 or 3 depending on their mode of study, as undergraduate students. For home and EC students, the fee table, Table 4, must be filled in even if the students are not subject to regulated fees.

Forecast of years countable data (Column 2)

11. There was some confusion about what should be included in Column 2. Common mistakes were filling in Columns 1 and 2 with the same students or returning students on non-standard academic years in Column 2.

12. Students should be reported in HEIFES in a way that is consistent with when they are reported in the ISR. (See Annex E, paragraphs 1 to 14.) Errors arose in reporting students whose year of programme of study spans two academic years. The example below shows how such students should be reported.

Example

13. A two-year course runs from January to December. Students continuing their course who started their course in January 2000 (now in their second year) and January 2001 (in their first year) should be included in HEIFES01, in Column 1. Those starting in January 2002

should not be shown as forecasts in Column 2 of HEIFES01, but instead should be counted in Column 1 of HEIFES02.

14. Cases where students may be recorded as forecasts in Column 2 are:
 - a. Students on years of study entirely contained within the 2001-02 academic year, but which begin after 1 November. This will include, for example, courses running in the spring and summer terms only. However, as most students are aiming for a higher degree, postgraduate certificate in education (PGCE), first degree (including foundation degree), DipHE, HND, HNC and CertEd, such forecasts will be uncommon. Students who are studying for credits which may count towards one of the listed qualifications, but who are not specifically aiming for such a qualification, are excluded from HEIFES. Funding responsibility for these students remains with the LSC.
 - b. Exceptionally, where they are on new courses which will normally span a standard academic year (for example September to July), but where the first cohort has been delayed until after 1 November as a one-off measure because of start-up difficulties.
15. Students who start their year of study late (after 1 November), but are expected to catch up with others on their course who are following a standard year of programme of study, should be returned in Column 1.

Fee levels

16. There was some confusion about which students are subject to the regulated fees and whether those who are not subject to the regulated fees should be returned on the fee table, Table 4. For example, part-time HND students are not subject to the regulated fees but some colleges returned them in the 'Regulated £1,050' row in HEIFES2000.
17. All home and EC students should be returned on the fee table regardless of whether they pay regulated fees. If, taking account of the mode of study, the course is subject to regulated fees, then the students on that course should be returned under the appropriate fee level irrespective of their personal eligibility for an award. If the course is not subject to regulated fees then the students on that course should be returned under the 'non-regulated' fee level. See Annex M, paragraphs 11 to 16.

Attribution of students to price groups

18. See Annex H. Students should be attributed to price groups according to the Superclass II code(s) of the course they are on. Superclass II codes are taken from the LSC Qualification Database. Some colleges had difficulty in finding the correct Superclass II code for particular courses last year. If a college cannot find the Superclass II code for a course, or thinks a code may have been wrongly assigned, then they should contact the LSC funding and statistics support desk in the first instance.
19. Media studies students (Superclass II codes KE to KG only) must be recorded in the

media studies price group only, and should not be attributed to other price groups according to how colleges consider they should be funded. The attribution of media studies students to price groups for funding purposes has been determined by a review panel, and any split between price groups for media studies provision will be carried out in the funding model.

20. Psychology students (Superclass II code PK) should be recorded in the psychology price group only. A review of the attribution of psychology students to price groups for funding purposes has already taken place. Any split between price groups for psychology provision will be carried out in the funding model.

21. Students with Superclass II codes which map to price group B should be recorded in price group B only. Any split between the price group B and price group C subject weightings as a result of the engineering review will be carried out in the funding model.

FTE in Column 4a of the part-time table, Table 3

22. The table containing load factors in Annex F should be used to determine the FTE of a part-time course. The sum of the total student load allocated to a part-time student should be equivalent, over the duration of the course, to that allocated to a full-time student. For example, if the FTE for the full-time course is 3 (each full-time year counts as a load of 1) then the sum of the part-time loads over the duration of the part-time course should also be 3. We have found examples where this is not the case, due to many factors, including a lack of understanding of what the student load is meant to represent. Colleges are reminded that the extra costs associated with part-time students are recognised in our funding model through a premium, and that the use of student load factors to deal with this issue is not appropriate.

23. The FTE returned in Column 4a should be in relation to the part-time numbers included in Column 4 (estimated total completions for the year), and not the numbers in Column 1 (students countable between 1 August and 1 November inclusive).

Estimation of non-completions

24. The definition of a non-completion is included in Annex E. The audits identified a common misconception that withdrawals notified from an academic department are the sole source of data for that department's non-completion estimate. Estimation of the number of non-completions should normally be based on the non-completion rate for the previous year for the particular course. Where this is not the case, there should be a clear rationale for any alternative methods used or adjustments made. Completion is not determined by academic success but by whether the student has completed the end-of-year assessment or exam.

25. In using the previous year's non-completion rate for a course as the basis of the current year estimate, it is important to make sure that the non-completion rate for the previous year is accurately known. We have found several instances where this has not been the case. Non-completion status should be recorded in the year of programme of study. This would normally mean that students should not be pre-enrolled for the following year if they did

not complete the current year.

26. Colleges may also find it useful to demonstrate the validity of their non-completion estimates by analysing the non-completion rates over different courses for several years, say three to five years. This would help to identify trends and years where the result is atypical compared to the trend.

Fundability status

27. In some audits each year, we find cases where students have been included in the HEIFES return as fundable when they were clearly being fully funded from another EC public source, for example, the NHS or HM forces. This is inappropriate and implies there has been a failure in the return preparation system. Those staff preparing the return should ensure such students are correctly treated in accordance with Annex G.

Collaborative arrangements

28. Some colleges are involved in collaborative arrangements with other institutions, for example, franchise arrangements with other FECs. It is essential that exchanges of information and communications between all of the partners in such arrangements are frequent, timely, open and effective. In particular, we highlight the importance of the lead institution being advised promptly of any non-completing students by the partner institutions. This may require clear protocols with partner institutions regarding exchange of information.

Inadequate audit trail

29. During the audits of colleges, in some cases, the audit trail between the student record systems and the HEIFES return was inadequate. A record of the basis for making estimations of non-completions and forecast countable years should be kept along with any relevant printouts and working papers used in completing the return. This is particularly important where only one person is responsible for the return, because the return has to be reproducible even if they leave. The audit trail should be retained for at least three years. Source documents such as registration forms should also be retained. Where a college uses document image processing or other methods to store such information, the original documents should normally be retained for at least one year and the copy retained for at least a further two years.

Significant discrepancies between ISR and HEIFES

30. The audit of colleges found that in some cases there were significant discrepancies between the ISR and HEIFES data, for example, courses being incorrectly coded as HEFCE-fundable on the ISR but correctly excluded from HEIFES. Colleges should ensure that data in the HEIFES student population can be identified on the ISR. Links between ISR and HEIFES data are included in Annex N and describe the way in which we will recreate HEIFES01 from ISR23.

Authorisation of the HEIFES return

31. At some colleges, the person responsible for the production of the HEIFES return also signed it off on the college's behalf. We expect the HEIFES return to be signed off as described in paragraph 38 below, and not by the preparer of the return. The person signing off the return should have an understanding of our data collection requirements to ensure that the college has systems capable of producing an accurate and complete return and that the preparer of the return has compiled it competently.

Knowledge management

32. At many institutions, the knowledge required to prepare the HEIFES return is undocumented and sometimes lies with only one person. This creates a risk that, in the absence of the person concerned, particularly at crucial times of the year, the college may not be able to prepare the return on time or to the appropriate standard. Whilst a good audit trail helps to reduce this risk, we consider it good practice for all colleges to manage this risk effectively by ensuring that at least two people can both produce the information for the return and prepare the return itself.

33. In addition, colleges could consider ensuring that the relevant processes are adequately documented and that this documentation is kept up to date. This requires all relevant staff, including experienced staff, to consider HEIFES each year and hence to make the necessary changes to their systems.

Data audits

34. We will continue our regular programme of audits of data used for funding purposes, and may adjust our funding and student number allocations where we find that incorrect data have resulted in over-allocations. However, the HEIFES return is not subject to a confirmation audit, as with the LSC student numbers audits. We will also look for consistency between HEIFES and ISR data, and it is therefore essential that colleges submit their ISR data accurately and on time – indeed this is a condition of our grant.

35. Colleges should keep records for audit purposes of how their HEIFES data have been derived. In particular, colleges should complete enrolment forms and registers for all students, in order to verify students' existence and continuing attendance.

Outline timetable and process for the 2002-03 funding round

36. Colleges are required to return their HEIFES survey by 27 November 2001, both on disk and in hard copy. Disks will be dispatched at the beginning of November 2001. Once we receive the data, we carry out a number of validation and credibility checks, and calculate whether colleges have met their funding agreement for 2001-02. Colleges should note that the data do not need to be signed off by the principal of the college at this stage.

37. During December, HEFCE HEAs will write to colleges, enclosing a printout of their

HEIFES data and comparison and holdback reports generated from them. Colleges will be asked to:

- verify that the data are accurate, or make corrections
- answer any questions we may have on the data
- submit any appeals for mitigation of holdback.

38. By mid-January 2002, all colleges must have signed off their HEIFES data as being correct as at the census date of 1 November 2001. The data should be signed off by the principal of the college, or their most appropriate deputy, on the college's behalf. The person signing off the data should be different from, and preferably senior to, the preparer of the return and should broadly assess the return for reasonableness before signing it off. The timetable for this is tight: if corrections to data are made, we then reissue the data for re-verification by colleges. We will normally expect colleges to answer any questions about data within six working days.

39. During January we will consider the appeals for mitigation of holdback. Colleges will be notified of the outcomes of their appeals in February. At the end of January we will also announce the provisional MaSN for 2002-03. Colleges will have one week in which to appeal for a change to their MaSN. The outcomes of any MaSN appeals will also be notified in February. We will announce provisional allocations of recurrent grant and confirm MaSNs for 2002-03 on 6 March 2002.

40. The timetable is summarised below:

November 2001

- early November – HEIFES disks sent to colleges
- 27 November – deadline to return HEIFES data
- end November/beginning December – validation and credibility checks by HEFCE

December 2001

- HEAs write to colleges, asking them to verify the data, answer any questions about the data and submit any appeals for mitigation of holdback. Colleges will normally have six working days to answer questions about data

January 2002

- mid-January – colleges must have authorised and signed off their HEIFES data as being correct at 1 November 2001
- mid-January – deadline for submission of appeals for mitigation of holdback
- end January – provisional MaSN for 2002-03 announced, with one week to appeal

February 2002

- colleges notified of outcome of appeals for mitigation of holdback
- colleges notified of outcome of appeals for changes to their MaSN

March 2002

- 6 March – colleges notified of provisional allocations of recurrent grant and MaSNs confirmed for 2002-03.

41. In February 2003, we will compare HEIFES01 data with the July 2002 LSC ISR23. Changes in funding may result from this comparison.

Annex B

Summary of changes since HEIFES2000 and clarifications

1. Superclass II code FK343, French, has been moved from price group D to price group C. See Annex H.
2. Tables 1, 2 and 3, Column 6, which last year collected information on students who were wholly or partially franchised-out, now also collects data on students who are part of a HEFCE-recognised funding consortium. Only the lead institution involved in this type of consortium should return such students here. A definition can be found in Annex C, paragraphs 13 and 14. For HEIFES01, this change will affect only **one** college.
3. The way in which years of programme of study for foundation degrees are returned has changed. Foundation degrees are now split into prototype foundation degrees and non-prototype foundation degrees. Prototype foundation degrees are those programmes which were awarded development funds in December 2000 and are listed in HEFCE 01/40. All other foundation degrees are considered to be non-prototype foundation degrees.
4. Foundation degree bridging courses have been added to the list of recognised HE. These courses, which come after a foundation degree has been completed and allow direct entry to the final year of an honours degree course, are now collected separately on Table 4, the fee table and Table 5, the foundation degree and qualifications below degree level table. See Annex E, paragraphs 25 and 26.
5. There has been an addition to the definition of a long year of programme of study. Where the year of programme of study includes a within-course short period of study, awarded as a summer school through an additional student numbers bidding exercise and explicitly notified by HEFCE, the year of programme of study should be returned as long. See Annex K. For HEIFES01, this applies to only one college.
6. The Excel workbook containing the HEIFES tables is now saved in Excel 97 and not Excel 5.0 as it was for HEIFES2000. Colleges were notified of this in HEIFES2000 (HEFCE 00/42) and reminded by e-mail in March 2001.
7. Clarification on the way that summer schools, including foundation degree bridging courses, are returned has been included in Annex E, paragraphs 19 to 26.
8. Clarification on how to return students who change mode from full-time to part-time within a year of programme of study is included in Annex I, paragraph 8.

Annex C

The HEIFES01 student population

1. HEIFES01 records counts of students aiming for recognised HE qualifications (defined in Annex D). These students are called the HEIFES01 student population. Paragraphs 2 and 3 below define which students should be included in the HEIFES01 student population. Some students within this population may not be countable within HEIFES01, as their activity will be counted in a future HEIFES survey. All students counted in HEIFES01 must be in this population.
2. Students meeting **all** of the following criteria should be included in the HEIFES01 student population:
 - a. They are actively pursuing studies with the college for at least part of the academic year 2001-02. This includes outgoing exchange students.
 - b. They are studying towards a recognised HE qualification aim, as defined in Annex D.
 - c. They have an individual record returned on the LSC ISR.
 - d. They are not being returned on any other institution's HEIFES or HESES return.
3. Students in **any** of the following categories should **not** be included in the HEIFES01 student population:
 - a. Students not studying towards a recognised HE qualification aim as defined in Annex D. Students whose sole qualification aim is an NVQ should not be included. Students should be included if they gain both a recognised HE qualification and an NVQ as the result of a programme of study.
 - b. Students who will not be included in the individualised student record for the college at which the student is registered. All students included in the HEIFES01 student population must be included on the registering college's LSC ISR.
 - c. Incoming exchange students.
 - d. Students franchised-in from another institution, or who are part of a HEFCE-recognised funding consortium where the college is not the lead college (see paragraphs 4 to 14 below).
 - e. Students taught by the college under an associate college agreement.
 - f. Students spending most of their time for the whole course outside the UK (including distance learners outside the UK), except where:
 - i. There is a clear academic reason for studying abroad rather than in the UK. Even where such a benefit exists, we must specifically sanction the course as eligible.
 - ii. The student is temporarily and unavoidably abroad and remains liable to UK tax on their earnings, or is a dependant of such a person. This includes members of HM forces and their dependants.

Sandwich students working abroad and language year abroad students will not normally fall into this category.

- g. Students who do not actively pursue studies with the college in the academic year 2001-02.
- h. Students who are on school-centred initial teacher training (SCITT) programmes.
- i. Students who are being returned on any other institution's HEIFES or HESES return.

Students taught under partnership, collaborative or similar arrangements

4. Many students are taught under a variety of collaborative arrangements. For the purposes of HEIFES01, there are two broad types:
- a. Franchises. This applies to virtually all collaborative arrangements, including many that colleges may refer to as consortia, including those for the delivery of foundation degrees.
 - b. HEFCE-recognised funding consortia. For 2001-02 only one college can return data in this category.

The features of these two broad types of collaborative arrangement are described below. Colleges that are the lead or franchiser in such collaborative arrangements are asked to identify the student numbers involved separately in HEIFES. However, only the one college that is the lead in a HEFCE-recognised funding consortium will be able to input data in the cells relating to such consortia in Tables 1, 2 and 3.

Collaborative arrangements treated as franchised for HEIFES purposes

5. Unless the student is being taught through a HEFCE-recognised funding consortium, all provision that is delivered through a collaborative arrangement is regarded as being franchised for the purposes of HEIFES01. Industrial placements, work experience and language years abroad should not normally be regarded as franchised-out for the purposes of HEIFES.
6. Colleges must ensure that no student is included on more than one institution's returns to the HEFCE for a single qualification. Where a partnership arrangement includes an HEI, the students are usually returned to us by the HEI.
7. The following paragraphs explain who should return franchised activity to us. The 'HEFCE survey' referred to below will be either:
- HEIFES01 for FECs or
 - HESES01 for HEIs.
8. Where one institution enrolls a student and collects a fee for tuition for that student, but the student undertakes all or part of their study at another institution, only the institution that receives the fee should include the student in its HEFCE survey student population. Such a student is regarded as franchised-out by the institution collecting the fee.

9. If a course is run jointly by more than one institution, only the institution that receives the fee should include the student in its HEFCE survey student population.
10. If two institutions receive a fee from a student for a given year of programme of study of a course, the institution that receives the largest portion should include the student in its HEFCE survey student population. If both institutions receive the same amount, the institutions must ensure that only one includes the student in its HEFCE survey student population.
11. In some cases the institution teaching the student may collect the fee on behalf of another institution. Where this is the case, if the fee is transferred directly to another institution, that institution should include the student in its HEFCE survey student population. If the fee itself is not transferred but is used to offset payments between two institutions in respect of the student, then this should be treated as if the fee had been transferred.
12. In all of the above cases, the student is considered to be a student of the franchiser. The institution that includes the student in its HEIFES01 student population must also return a record to the LSC ISR, and its performance indicators and quality assessments will take account of activity relating to that student as appropriate.

HEFCE-recognised funding consortia

13. Any colleges that are the lead institution of a HEFCE-recognised funding consortium will have been formally notified in a letter sent by HEFCE on 9 August 2000. Currently there is only one college which is the lead institution of a HEFCE-recognised funding consortium.
14. A HEFCE-recognised funding consortium is a mechanism for distributing grant to a group of institutions through a single lead institution. Consortia are only 'HEFCE-recognised funding consortia' if we have notified the institutions concerned as such in writing as described above. As with a franchise, the lead institution will return all data relating to the consortium in its HEFCE survey, while the individual consortium members will not report the provision in any aggregate student number returns they may make to us. However, such an arrangement differs from a franchise in that the student is recognised as a student of the appropriate consortium member, rather than of the lead institution. This means that the students will be reported in either the Higher Education Statistics Agency (HESA) or LSC returns of the appropriate consortium member, rather than those of the lead institution. Likewise, the students will be reflected in the performance indicators and quality assessments of the member, rather than lead, institution. Apart from on HEFCE aggregate returns, the students will in all other respects be treated as if they were directly funded.

Annex D

Recognised courses of HE

1. For 2002-03, the HEFCE is responsible for funding only some HE qualifications in FECs, and it is these qualifications that are defined as 'recognised' in this document. Only students studying on recognised courses of HE should be included in the HEIFES01 student population.
2. Within HEIFES01, recognised courses of HE are those leading to one of the qualifications listed below, and are awarded by a recognised body:
 - higher degrees, including PhD, MPhil, MSc, MA, MBA
 - PGCE
 - first degrees, including foundation degrees, BSc, BA, BEd
 - foundation degree bridging courses
 - HND
 - DipHE
 - HNC
 - CertEd.
3. Recognised bodies are:
 - a. Any UK HEI with the power to award degrees.
 - b. EdExcel.
 - c. The Scottish Qualifications Authority.
4. Annex N includes a mapping between the recognised qualifications awarded by recognised bodies and the LSC Qualification Database.
5. Professional or similar qualifications will not normally be recognised. For example, a Certificate in Management awarded by the Institute of Management is not a recognised HE qualification for the purposes of HEIFES. However, in some cases these courses would be recognised, if they also lead to one of the listed qualifications in paragraph 2.
6. If colleges believe that a qualification has been incorrectly classified in the LSC Qualification Database, they should contact the LSC funding and statistics support desk.
7. Foundation years are recognised HE courses only if they are an integrated part of a recognised HE qualification. Free-standing foundation years are not recognised HE courses.

Annex E

Counting student activity

1. Students study towards qualification aims over a period of time. This period of time can be split into one or more years of programme of study. The first year begins when the student starts studying towards the qualification aim; the second and subsequent years start on or near the anniversary of this date.
2. A student may only be returned on HEIFES01 once for each year of programme of study that they undertake. This is referred to as counting years of programme of study. When a student becomes countable on HEIFES depends on how their activity falls within each year of programme of study. There are two types of year of programme of study: standard and non-standard. A standard year is one where all activity for the year of programme of study falls within the period 1 August to 31 July; nearly all undergraduate students are on standard years of programme of study.
3. Some students who would normally be considered as following a standard academic year are actually on non-standard years of programme of study. The most common examples are MSc students who study for a full year between October and October. This is all one year of programme, yet has activity in two academic years and is therefore non-standard. All students on full-year courses which span two academic years are on non-standard years of programme of study.
4. Exceptionally a student may be on two courses aiming for two independent recognised HE qualifications at the same time. If this is the case, the student should be treated as if they were two students, each aiming for one of the qualifications.
5. Where students complete a foundation degree and then undertake a foundation degree bridging course to enable them to join the final year of an honours degree, the foundation degree bridging course will be treated as an independent course which will generate its own year of programme of study. See paragraphs 25 and 26 below.
6. To be counted, a student within the HEIFES01 student population must also meet the following criteria:
 - a. A tuition fee is charged for the year of programme of study. This fee may be waived.
 - b. The FTE for the year of programme of study is at least 0.03.
 - c. The student is not writing up a thesis or similar piece of work for the whole of the year.

Students on standard years of programme of study

7. For students studying on a standard year of programme of study, the student will become countable at the start of each year of programme of study. The FTE returned should be the FTE for the whole academic year.

Example

8. A student starts a degree programme on 20 September 2001 with each year of the course finishing at the end of June. As all activity for each year is contained in the period 1 August to 31 July, (ignoring any activity falling in different years of programme of study due to variations in term dates), all years are standard. Thus the student becomes countable on 20 September 2001, and, depending on when the activity for the year starts, on or around the anniversary of this date each year.

9. Occasionally some students may join a programme of study at a date different to the usual start date. Such students may be treated as if they had joined with the rest of the cohort if:

- a. Having caught up with the rest of the cohort, they will subsequently follow an identical pattern of study, and
- b. Activity for all years of programme of study for the cohort falls within the academic year.

If this is not the case, the student should be treated as being on a non-standard year of programme of study.

Example

10. A full-time HND course starts on 1 October 2001 and runs from 1 October to 31 July each year, so the course has a standard academic year. A student starts the HND programme late, on 5 November 2001, but intends to catch up with the rest of the students on the course and follow the same pattern of activity as them. The student should be treated as if they had started at the same time as the other students, that is, on 1 October 2001.

Students on non-standard years of programme of study

11. For students on non-standard years of programme of study, the student becomes countable on 1 August of each academic year in which they are active, apart from the first. The FTE returned each time the student becomes countable should be the FTE for the entire year of programme of study.

Example

12. A full-time student starts a degree programme in January 2002 and the first year of the course finishes in November 2002. The student is on a non-standard year of programme of study because the activity spans two academic years. This student would not be included in HEIFES01, but instead in HEIFES02. However, a similar student who started in the previous year, in January 2001 would be included in Column 1 of Table 1 of HEIFES01, for their first year of programme of study.

13. Some students studying on non-standard years of programme of study may have two years of programme of study in the final academic year. This will happen where the student undertakes a short period of study after the anniversary of their start date but completes this within the academic year. In this case, the first year of programme of study should be returned in Column 1 of the relevant HEIFES tables. The second year of programme of study should be returned in Column 1 if it starts on or before 1 November, or Column 2 if it starts after 1 November. These are the only circumstances where a student on a non-standard academic year should be returned in Column 2.

Example

14. A full-time student started an 18-month course in January 2001 which ends in July 2002. They would not have been counted on HEIFES2000. The student would be counted on 1 August 2001 for the first year of programme of study on HEIFES01, and again on HEIFES01 as a student expected to become countable, on the anniversary of the start date, in January 2002, for the second year of programme of study. The first year of programme of study would be returned in Column 1 of the full-time table, Table 1. The second year of programme of study would be returned in Column 2 of the part-time table, Table 3, because it starts after 1 November but finishes before the end of the academic year and in this case does not meet the criteria to be full-time.

Non-completions

15. A student who fails to complete a year of programme of study is classified as a non-completion for that year. Usually, attendance at the final exam or submission of final coursework would constitute completion of the year. Completion relates to the year of programme of study, not the course as a whole.

16. Completion is not measured against academic success. A student who sits the exam at the end of a year but fails is still a completion. Where courses do not have exams or coursework at the end of a year, colleges must be able to provide alternative evidence that the student continued studying until the end of the year.

17. In some cases the final assessment for a year of programme of study may fall outside the academic year in which it is counted, or exceptionally outside the year of programme of study. In either case, completion of the year is still measured against attendance at the final exam or submission of final coursework relating to the year of programme of study. For example, if a student studies on a standard academic year but the examinations are held in August, completion will be determined against attendance at the August examination.

New entrants

18. New entrants are defined as students registered for the first (or only) year of a course leading to a recognised HE qualification. Note that:

- a. Students re-taking the first year of a course should be included as new entrants.

- b. Students transferring between courses are to be included only if they are registered as first-year students on their new course.
- c. Students entering directly onto the second or subsequent year of a course should not be counted as new entrants.
- d. Students whose course includes an integrated foundation year at HE level (year 0) should be counted as new entrants only during their foundation year. In this case the student should not be counted as a new entrant during year 1 of the course.

Summer schools

19. There are three types of short course which are sometimes referred to as summer schools. These are described in more detail below.

Summer schools for potential HE students

20. These are intended for potential HE students to experience a short period of study in an HE environment in the summer vacation. This is not included in the HEIFES population as it is not HE level.

Within-course periods of study in vacation time

21. These are within-course short periods of study which generally take place in the vacation periods and are normally for students to catch up with others on the course. They are usually between years of programme of study but within a course. They are counted as part of the year of programme of study that precedes the short period of study and may result in the year of programme of study being counted as long, as defined in Annex K.

22. Where the short period of study occurs during the summer vacation, this may cause students who would normally be following standard years of programme of study to generate a non-standard year for the year which includes the short period of study. However, for data collection purposes, they should be treated as standard academic years.

Example

23. A student studies full-time for a degree over three years, with activity for each year of programme of study running from October to July. Between the second and third years, a short period of study is undertaken to bring the student up to the standard of others on the course, running from 25 July to 5 September. This short period of study counts as part of the second year of the degree, and the second year of programme of study counts as a standard academic year. The year of programme of study would only be counted as long if it fitted the criteria to be long, in Annex K.

24. Such short periods of study should be returned on the LSC ISR in the same way as they are returned on HEIFES. That is, included as part of the year of programme of study preceding the short period of study.

Foundation degree bridging courses

25. These are courses which come after a foundation degree has been completed, but before the final year of an honours degree course. They are short courses which are not an integral part of the course they are bridging from, though progression from a successful completion of a foundation degree bridging course to the final year of an honours degree is assured. For the purposes of HEIFES, they are counted as a separate year of programme of study and are returned as part-time with an FTE of 0.3. If the bridging course spans two academic years, it should be recorded in the same way as other courses following non-standard academic years, described in paragraphs 11 to 14 above.

26. Any bridging courses should be returned as a separate record in the ISR 2001-02 return with:

- student load returned as 30 (HQ11 = 030.0)
- mode returned as part-time (HQ08 = 03)
- qualification type returned as institutional undergraduate credits (QUAL_TYP = xxxx)
- appropriate superclass information
- a separate student instance (HQ03)
- where the course spans two academic years, the FTE proportionally split between the two academic years.