

COLLABORATIVE SUPERVISION ARRANGEMENTS

The purpose is to capture all cases where there is a formal collaborative arrangement to provide doctoral research training for a student or students. This could include anything from a large Doctoral Training Partnership or Centre for Doctoral Training, to a student on a Knowledge transfer Partnership, or a *co-tutelle du these* or other joint supervision agreements for a single student. These collaborative arrangements only need to be returned where there is a formal agreement and there would usually be an exchange of funds in recognition of the supervisory effort taking place.

Two scenarios have been identified which could include formal joint supervision:

1) CONCURRENT COLLABORATION OR JOINT SUPERVISION

This is where a student is being supervised by supervisors at more than one provider during the same academic session. Only the lead provider should be returning the student's data.

2) SEQUENTIAL COLLABORATION

This is where a student commences studies with one provider and subsequently moves to a different provider to continue their studies as part of the same programme. For examples these could be students who study for a one-year MRes followed by a PhD, or those who join a collaborative PhD programme where the lead provider is not determined until after year one.

Concurrent and sequential collaboration have different approaches to reporting within the HESA Student Record.

Flow diagrams have been drawn up to help with decision making and reporting of collaborative provision, you can see these in Annex A at the end of this document. This includes details on whether or not you are the right provider to return the student, country specific decision and the 'hand over' procedure for sequential collaborations.

This document is split into two sections to first show how these arrangements would be reflected in the curriculum data and then how this would be reflected in the student data.

RECORDING THE CURRICULUM DATA

CONCURRENT AND SEQUENTIAL COLLABORATION

Where there is a formal collaborative arrangement to provide doctoral research training, this should be reflected in the CourseDeliveryRole entity to show the providers that are involved in this collaboration.

The lead provider should be recorded with the role of 'Main contractor' with other collaborative partner(s) recorded as 'Subcontractor's.

For sequential collaborative arrangements, the CourseDeliveries returned by each provider should reflect the activity for the time at that provider only, rather than for the full programme.

Example 1- concurrent supervision

A concurrent collaborative arrangement is in place between Poppleton University (UKPRN: 11111111) and Poppleton College (UKPRN: 22222222) where Poppleton University is the lead provider. Poppleton University would return the data to HESA as the lead provider and would record the collaboration in the CourseDeliveryRole entity.

Field	Value
CourseDeliveryRole.HESAID (1)	11111111
CourseDeliveryRole.ROLETYPE (1)	301
CourseDeliveryRole.HESAID (2)	22222222
CourseDeliveryRole.ROLETYPE (2)	302

The University of Poppleton is recorded as the main contractor and Poppleton College is recorded as a subcontractor.

Example 2- sequential collaboration

The students will complete the first year of a 1+3 programme at Poppleton College before moving to Poppleton University to complete the programme.

Poppleton College would return a CourseDelivery with the following information

Field	Value
CourseDelivery.COURSESTARTDATE	2019-09-01
CourseDelivery.EXPECTEDENDDATE	2020-08-01
Qualification.QUALCAT	Masters qualification

The start and expected end dates reflect the time the student is expected to spend at Poppleton College. The associated qualification is a Masters to reflect the aim of the student's year at Poppleton College, rather than the overall aim of the collaborative programme. Data held at the student level in Engagement.STUYDINTENTION would record the student's overall aim.

Poppleton University would return a CourseDelivery with the following information

Field	Value
CourseDelivery.COURSESTARTDATE	2020-08-01
CourseDelivery.EXPECTEDENDDATE	2023-08-01
Qualification.QUALCAT	PhD

The start and expected end dates reflect the time the student is expected to spend at Poppleton University. The associated qualification is a PhD as the student is expected to complete this aim at Poppleton University.



RECORDING THE STUDENT DATA

For both types of collaborative provision, an Engagement must be identified as part of a collaborative provision arrangement by returning the CollaborativeProvision.COLPROVTYPEID field.

CONCURRENT COLLABORATION OR JOINT SUPERVISION

Where a student is being supervised by supervisors at more than one provider concurrently, only one provider should return the student in order to prevent double counting. In the majority of cases, there would be the concept of a 'lead provider' for individual students, where this is the case the lead provider must return the student. Where no such concept exists, a single provider should be nominated for this purpose.

Joint supervision is recorded in the SupervisorAllocation entity which is associated with a StudentCourseSession and so records the supervision for each year of the student's programme. This collects the supervising organisation (SupervisorAllocation.HESAID), the Unit of Assessment (UOA) (SupervisorAllocation.2014UNITOFASSESSMENT) and a proportion (SupervisorAllocation.SUPALLPROP).

A SupervisorAllocation entity must be returned for each unique combination of organisation and UOA with a proportion indicating how much of the supervision for the associated StudentCourseSession is undertaken by that combination.

In the majority of cases the supervising organisation's UKPRN will be recorded, where they do not have a UKPRN, generic valid entries are available in the SupervisorAllocation.HESAID field. If the collaborative partner is not eligible to submit to the REF, for example if they are an industry partner or overseas provider, a UOA is not required.

SEQUENTIAL COLLABORATION

In cases of sequential collaboration, reporting responsibilities can be passed from one provider to another where the student transfers. This would typically occur where a student is taking a one-year MRes followed by a PhD but may also occur in other circumstances.

Where a transfer occurs, the Engagements returned by each provider need to be linked and so a number of data items need to be returned to enable this linking.

If the student is returned by one provider and then transfers to a provider that is not in the HESA constituency, the first provider must continue to return the student using the SupervisorAllocation entity to record the supervision (see concurrent collaboration above).

The reporting required for transferring reporting responsibilities differs between the first and second provider.

REPORTING FOR THE FIRST PROVIDER

When the student leaves the first provider, the StudentRegistration must be closed by returning the Leaver entity with the following data:

- Leaver.RSNREGEND: The reason for Student registration ending must be returned as 12 'transferred out as part of collaborative supervision arrangement'.
- Leaver.LEAVERENDDATE: The end date must be recorded as the date that the reporting responsibilities transfer to the second provider.

- Leaver.INTENDEDDESTINATION: the UKPRN of the second provider must be returned. This must be the UKPRN of a provider in the HESA constituency as from this point they will need to return the Student to HESA.

If there are any interim awards, a QualificationAwarded entity is returned to record this. The date these are awarded may not align with the Leaver.LEAVERENDDATE.

REPORTING FOR THE SECOND PROVIDER

Where reporting responsibilities for a student on a collaborative supervision arrangement changes, the second provider must return information in the CollaborativeProvision entity to link to the previous provider's data.

- CollaborativeProvision.PARTNERUKPRN: The UKPRN of the provider the student has transferred from
- CollaborativeProvision.PARTNERSID: The Student.SID returned for the student by the previous provider
- CollaborativeProvision.PARTNERNUMHUS: The Engagement.NUMHUS returned for the Engagement by the previous provider.

In addition, the StudentRegistration.REGISTRATIONSTARTDATE must be returned as the date that reporting responsibility transferred to the second provider and so should align with the Leaver.LEAVERENDDATE returned by the first provider.

IMPACT ON THE GRADUATE OUTCOMES SURVEY

Where Leaver.RSNREGEN = 12, students are excluded from the Graduate Outcomes population. This means that if a student is awarded an interim award when they transfer to the second provider, they will not be included within the Graduate Outcomes survey.

Examples

Example 1- concurrent supervision

A student studies in a formal collaborative arrangement where there is concurrent supervision. Poppleton University is providing the majority of supervision (70%) with Poppleton College responsible for the remaining 30%. The supervision responsibilities change in the second StudentCourseSession with Poppleton College increasing their share. As the example is illustrative only the two StudentCourseSessions are included.

Field	StudentCourseSession1	StudentCourseSession2
SupervisorAllocation.SUPALLID (1)	1	1
SupervisorAllocation.HESAID (1)		
SupervisorAllocation.SUPALLPROP (1)	70	60
SupervisorAllocation.2014UNITOFASSESSMENT (1)	01A	01A
SupervisorAllocation.SUPALLID (2)	2	2
SupervisorAllocation.HESAID (2)	22222222	22222222
SupervisorAllocation.SUPALLPROP (2)	30	40
SupervisorAllocation.2014UNITOFASSESSMENT (2)	01A	01A

Poppleton University is the lead provider and is responsible for reporting the student to HESA. Poppleton College would not return the student.

If there was a 50/50 split of supervision between two HE providers in the UK, then the providers involved would need to agree which reported the student. If there was a 50/50 split of supervision with an HE provider in the UK and an HE provider overseas or a partner in industry, then the UK HE provider would need to return the student.

The HESAID field is left blank for the portion of the supervision that is undertaken by the reporting provider as it is not necessary to report your own UKPRN. The UKPRN of Poppleton College is reported in the second occurrence of the HESAID field.

Example 2- concurrent supervision

A student is studying on a PGR programme that will have joint supervision however in the first year all supervision is through Poppleton University. In the second year there is concurrent supervision and a formal arrangement between Poppleton University and Poppleton College to share supervision. As the example is illustrative only the first two StudentCourseSessions are included. Poppleton University would return the following:

Field	StudentCourseSession1	StudentCourseSession2
SupervisorAllocation.SUPALLID (1)	1	1
SupervisorAllocation.HESAID (1)		
SupervisorAllocation.SUPALLPROP (1)	100	60
SupervisorAllocation.2014UNITOFASSESSMENT (1)	01A	01A
SupervisorAllocation.SUPALLID (2)		2
SupervisorAllocation.HESAID (2)		22222222
SupervisorAllocation.SUPALLPROP (2)		40
SupervisorAllocation.2014UNITOFASSESSMENT (2)		01A

Only one SupervisorAllocation entity is returned for the first StudentCourseSession as all the supervision is undertaken by one provider in one Unit of Assessment. In the second StudentCourseSession, the concurrent supervision is indicated by the two SupervisorAllocation entities.

Example 3- concurrent supervision with a partner in industry

A student is studying on a PGR programme with Poppleton University where there is concurrent supervision with a private partner in industry (HESAID = 0043) for the second year. As the example is illustrative only the first two StudentCourseSessions are included.

Poppleton University would return the following:

Field	StudentCourseSession 1	StudentCourseSession 2
SupervisorAllocation.SUPALLID (1)	1	1
SupervisorAllocation.HESAID (1)		
SupervisorAllocation.SUPALLPROP (1)	100	60
SupervisorAllocation.UNITOFASSESSMENT (1)	01A	01A
SupervisorAllocation.SUPALLID (2)		2
SupervisorAllocation.HESAID (2)		0043
SupervisorAllocation.SUPALLPROP (2)		40
SupervisorAllocation.UNITOFASSESSMENT (2)		

For the partner in industry, the Unit of Assessment is not required so this field is not returned.

Example 4- sequential collaboration

A student studies their first year of a 1+3 course at Poppleton College (UKPRN 22222222) before transferring to Poppleton University (UKPRN: 11111111) for the final three years to complete their PhD. Reporting responsibilities transferred on 2020-08-01.

Poppleton College would return:

Field	Value
Student.SID	19222222221234563
Engagement.NUMHUS	1
Engagement.INTENTIONENDDATE	2023-08-01
Engagement.STUDYINTENTION	PhD
StudentRegistration.EXPECTEDENDDATE	2020-08-01
Leaver.RSNREGEND	12
Leaver.LEAVERENDDATE	2020-08-01
Leaver.INTENDEDDESTINATION	11111111
QualificationAwarded	Masters qualification

This indicates that the student has left Poppleton College due to transferring to Poppleton University as part of a collaborative supervision arrangement. This is reflected in the reason for registration ending being recorded as 12 'Transferred out as part of a collaborative supervision arrangement' and the intended destination being returned as the UKPRN of Poppleton University.

The Engagement information should reflect the full Engagement (i.e. including study at both providers) This applies to:

- Intention end date: this reflects the end date for the full Engagement and so shows they are intending to finish in four years.
- Study intention: this reflects the overall study aim (the doctorate), rather than the interim aim of the MRes.

The StudentRegistration expected end date should reflect the time planned to be spent at the first provider only and so shows that this is intended to end in one year.

Poppleton University would return:

Field	Value
Student.SID	20111111111234563
Engagement.NUMHUS	2
CollaborativeProvision.PARTNERUKPRN	22222222
CollaborativeProvision.PARTNERSID	1922222221234563
CollaborativeProvision.PARTNERNUMHUS	1
StudentRegistration.REGISTRATIONSTARTDATE	2020-08-01
Persistent HUSID (returned in PersonalIdentifier. PERSONALIDENTIFIER where PersonalIdentifier.IDTYPECODE = 04)	The student's persistent HUSID i.e. the first HUSID or SID which was returned to HESA for this student.

Poppleton University assigns its own Student.SID and Engagement.NUMHUS. The UKPRN, SID and NUMHUS from Poppleton College are then returned in the CollaborativeProvision entity in order to link the two Engagements.

As the student has previously been returned to HESA by another provider, the persistent HUSID must be returned. For more information on returning the persistent HUSID, please see [the approach to identifying students](#) document.

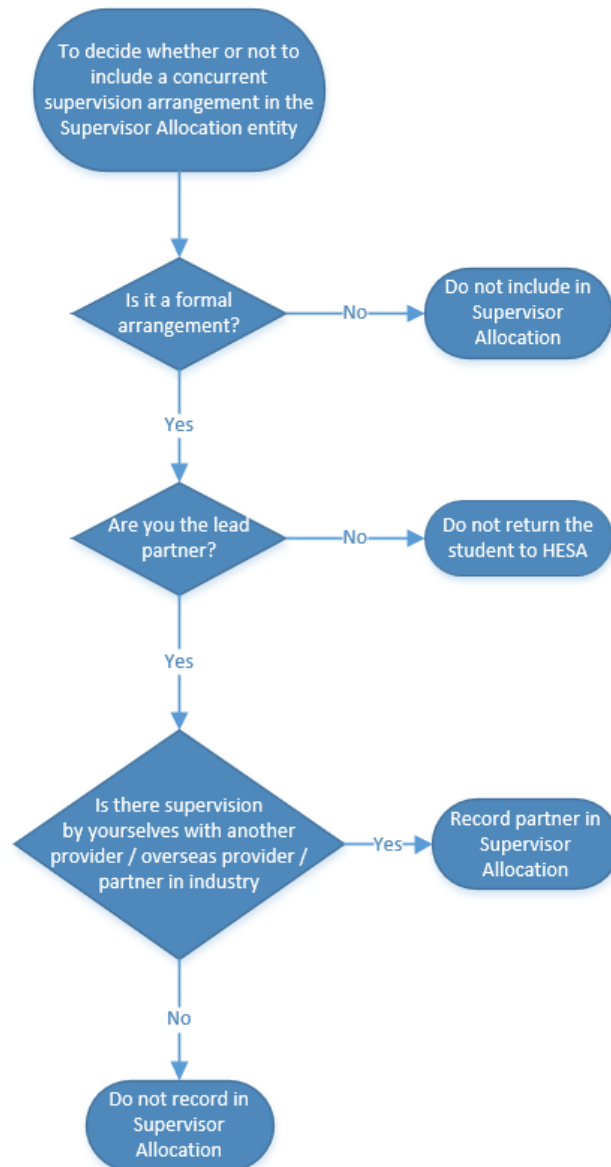
The registration start date is the date that reporting responsibilities transferred to Poppleton University and so should align with the Leaver.LEAVERENDDATE returned by Poppleton College.

Example 5- sequential collaboration

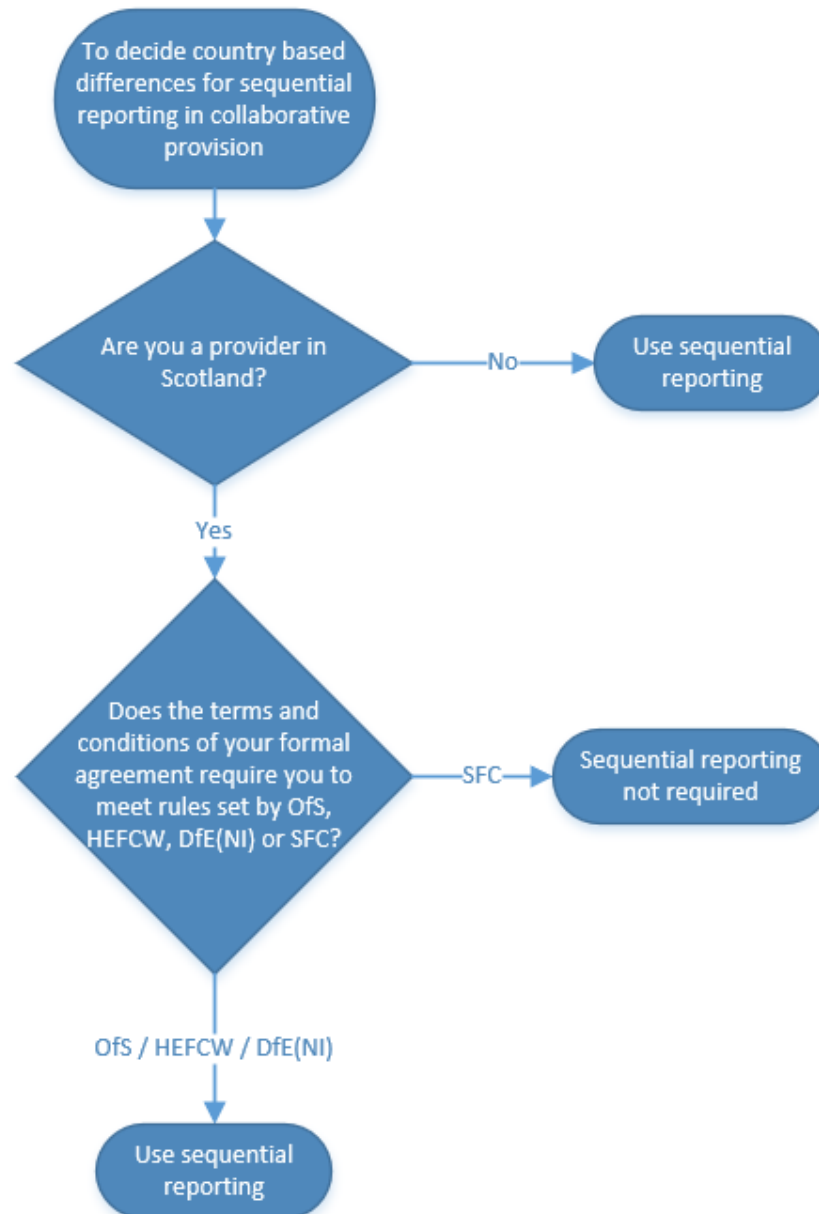
Provider A has funding from another provider as part of a Doctoral Training Partnership arrangement, but the students are registered with provider A. This does not constitute joint supervision and therefore would not be captured through the concurrent or sequential approach to returning students. This is not a franchise arrangement either and so we would not expect the ModuleDeliveryRole entity to be required to reflect this arrangement.

ANNEX A – SUPPORTING DIAGRAMS

1. Right provider to return a student



2. Country specific decisions



3. 'Hand-over' procedure for sequential collaborations

