

REPORT TO THE OFFICE FOR STUDENTS

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EXECUTIVE SUMMARY

The Higher Education Statistics Agency Limited's (HESA) Board of Trustees is pleased to submit the first annual report to the Office for Students (OfS) for the year to 31 July 2020.

HESA's core purpose is to collect, assure, analyse, and disseminate data and information on all aspects of UK higher education. This report updates on progress HESA has made in achieving its performance measures and other aspects of HESA service in its role as the Designated Data Body (DDB) for Higher Education Information in England in accordance with our Memorandum of Understanding ("Designation Agreement") with the OfS.

We have continued to deliver our existing collections to the high standards of quality and timeliness following our appointment as the DDB. In delivering our core collections, HESA has worked to ensure the right use of resources across core services (or 'BAU') and its key projects, including Data Futures, Graduate Outcomes and HESA's ongoing plans with Jisc.

Covid-19

At the end of 2019, the potentially transformative shock that Covid-19 would have on the sector could not have been foreseen. As a data collection body, HESA's use of digital platforms relies less on traditional in-person operations than many other businesses and as such has been able to manage the impact of Covid-19 and continue to operate, although the necessity of strong - human - links with providers and customers has been emphasised. The impact on the sector has yet to be fully realised, and the information produced by HESA over the next 5 years will evidence impact on graduates, providers and the national economy.

Graduate Outcomes

The release of the Graduate Outcomes experimental statistics on 18 June 2020 represents the first of an annual time series. The survey captures rich and robust data and ensures the information we collect reflects recent changes in the HE sector and in the graduate labour market. The survey includes anyone who gained a higher education qualification during the 2017/18 academic year. This includes both undergraduate and postgraduate qualifications gained at both higher education providers and further education colleges (except those in Scotland). The survey aimed to contact over 700,000 graduates over four survey periods throughout the year.

These are official statistics, marked as 'Experimental' because they are newly developed or innovative and undergoing evaluation. Graduate Outcomes is a new survey conducted differently from previous surveys and producing different information. Further details on Graduate Outcomes is included in the body of the report.

We anticipate the Graduate Outcomes statistics will give a clear view of the transition from higher education to the workplace and we anticipate this data will be put to a number of high-profile uses. This is likely to include league tables, the Teaching Excellence and Student Outcomes Framework(TEF), policy documents, and media commentary.

Data Futures

Data Futures is a transformational project that HESA is leading, now with support from Jisc. HESA is responsible for the end-to-end solution, with Jisc having a defined role for leading and delivering

technical elements of the new HESA data platform (HDP). HESA is delivering data and business change elements for the programme, as well as specific technical elements and integration of these with the HDP. The solution will provide data three times a year for Statutory Customers, whilst maintaining data quality levels, increasing operational efficiencies, and enhancing data utility. The programme represents a critical and overdue upgrade to the technology systems used by HESA, and when delivered will improve the experience for provider teams working on HESA returns and enable HESA to better respond to the future requirements of data customers.

Looking forward

The Provider Forum and other groups that HESA uses to engage the sector, such as the Data Futures Programme Board and the Graduate Outcomes Steering Group, have worked to bridge the gap between HESA and the sector. These groups provide opportunity for discussion and feedback with relevant sector bodies on HESA activities, along with access to insight and know-how for HESA.

The next few years hold several challenges for HESA. There are foreseeable challenges, including balancing strategic delivery priorities such as Data Futures, with the need to continue to look at ways of doing more with less and continually improve what we do, and in balancing our responsibilities across the four nations of the United Kingdom. In taking this agenda forward HESA looks forward to ongoing engagement with these groups and other sector stakeholders, to shape our services so that they meet the requirements of the sector in the coming years.

Professor Sir Chris Husbands
Chair

Paul Clark
Chief Executive Officer

On behalf of the Board of Trustees

BACKGROUND

Following the appointment of HESA as the DDB under Section 66, Schedule 6 of the Higher Education and Research Act 2017 (HERA), HESA and the OfS have developed and agreed the designation agreement that sets out the respective roles of HESA and the OfS.

The designation agreement articulates the obligations in relation to data collection, publication and amendment of data; intellectual property rights; performance assessments; monitoring and formal reporting requirements. It also describes how the OfS will hold HESA to account in the performance of its Information Duties.

In addition, the designation agreement identifies a requirement to produce and submit an annual report. This document is the first such report, prepared and submitted by HESA to the OfS. It focuses on the performance of HESA's duties as the DDB. The requirements around annual reporting are set out in Schedule 4 of the designation agreement as described below.

The OfS requirements include:

- a report of performance against the Key Performance Indicators (KPIs);
- proposals to reduce the burden on English providers in relation to the Information Duties—both increasing value and reducing costs;
- reporting on any major issues relating to its Information Duties;
- feedback from English providers on the performance of HESA's functions.

The report follows this structure.

MONTHLY REVIEW

The Managing Director for Statutory Services at HESA, and the Director of data foresight and analysis at the OfS have met monthly as part of the designation arrangement, to keep under review HESA's performance as the designated data body, and to ensure the effective working arrangements between HESA and the OfS. These meetings have proved valuable in ensuring a positive working relationship at all levels between our organisations, specifically in relation to the Designation Agreement these meetings have worked to enable candor, to address issues pro-actively, to highlight concerns from both parties avoiding problems or misunderstandings, and we look forward to this continuing.

TIMING OF REPORT

The Report covers HESA activity in the period of the academic year 2019/20 and has been produced in August 2020. HESA's appointment as the DDB began in April 2018, as part of this HERA requires a triennial report to be produced by the OfS to the Secretary of State about how HESA has performed its duties (due April 2021), including whether HESA should continue to be designated and the appropriateness of fees charged. HESA anticipates working with the OfS in 2021 to prepare the triennial report, which we expect will be somewhat informed by the contents of this annual report by HESA to the OfS.

During this reporting period, the Covid-19 pandemic spread to the United Kingdom in late January 2020. In February, the Health Secretary, introduced the Health Protection (Coronavirus) Regulations 2020 for England, that created restrictions on movement and gatherings in England.

In March, the UK government imposed a lockdown, banning all non-essential travel and contact with people outside one's home and shutting almost all schools, business, venues, facilities, amenities and places of worship.

Covid-19 has had, and will have, short-, medium- and long-term impacts on the higher education sector that are yet to be fully determined. HESA triggered its business continuity plan and changed its modus operandi to remote working. Whilst this was successful, the lockdown had a knock-on effect on staff whose working patterns were changed by remote working and caring responsibilities.

HESA recognises that the spread of Covid-19 is unsettling for many of our employees and stakeholders. The welfare of our employees remains paramount. To minimise the effects on our employees and the potential to spread the virus, we have implemented a range of measures for our employees and have supported those with caring responsibilities.

The wellbeing of everyone at HESA is our collective responsibility, and each of us has an important role to play in protecting ourselves, our families and each other. We extend our thanks to our staff for their understanding, focus and commitment during these unprecedented times to maintain a high level of service throughout.

DEVOLVED NATIONS

The OfS was created by HERA coming into existence on 1 January 2018, and its geographical remit extends to English providers of higher education.

The Welsh Government published in July 2020 the draft Tertiary Education and Research Bill and HESA will look forward to engaging with the Welsh Government as this Bill progresses. HESA collects and provides statistical information on behalf of the Higher Education Funding Council for Wales (HEFCW) under a data sharing agreement.

The Scottish Funding Council (SFC) collects and analyses data relating to the provision of further and higher education in Scotland. HESA collects and provides statistical information on behalf of the SFC under a data sharing agreement.

The Department for the Economy in Northern Ireland is responsible for the policy, strategic development and financing of the statutory further education sector and HESA collects and provides statistical information under a data sharing agreement.

Thus, whilst this report is an obligation of HESA under its memorandum of understanding with the OfS, the data HESA collects is on behalf of all providers of Higher Education in the United Kingdom.

CONTEXT

The Designation Agreement places requirements on HESA with regards to the way in which it achieves certain activities. These are adhered to, and can be evidenced as required, however, as intrinsic parts of HESA activity they are not specifically reported on within the report.

HE Restructuring Review

The HE Restructuring Review said that at this time of financial challenges, universities and other higher education providers must do much more to strip back bureaucracy, allowing academics to focus on front-line activities. HESA sees its role as supporting an efficient shared infrastructure for

data collection and publication of HE data, reducing the incidence of Freedom of Information (FOI) requests, ensuring that policymakers can rely on high quality data produced in comparable ways, and promoting a high quality public information source to improve public understanding of HE. HESA data will support innovation, efficiency, and competition through the provision of information that can be used for benchmarking, market analysis, both as Open Data and through bespoke services offered through our data processor.

Official statistics

HESA is a producer of Official Statistics, most recently designated under Official Statistics Order 2018 within the United Kingdom. A subset of Official Statistics produced by HESA are designated as National Statistics, having been formally assessed as compliant with the Code of Practice for Statistics issued by the UK Statistics Authority and the Office for Statistics Regulation. HESA is required to comply with the Code of Practice for Statistics when publishing all Official, National and Experimental Statistics releases, together with the Pre-release Access to Official Statistics Orders in place across the UK nations. Furthermore, HESA must consider related statements of guidance which may be issued by the National Statistician, UK Statistics Authority or Office for Statistics Regulation from time to time.

The Official Statistics Order 2018 lists the Office for Students as a producer of official statistics. We welcome continued working together to offer a coherent picture of HE in England and in its UK context. The Code of Practice for Statistics sets the standards that should be committed to by producers of Official Statistics. Compliance with the Code gives confidence that published government statistics have public value, are high quality, and are produced by people and organisations that are trustworthy. HESA is formally designated by secondary legislation as being statutorily obliged to comply with the Code of Practice for Statistics.

Data protection and information security

As DDB for England, HESA seeks to ensure privacy and security by design and default.

HESA continues to operate in an evolving and challenging cyber environment. Malware and ransomware continue to pose significant threats. The sophistication of attacks combined with the ability of criminals to purchase hacking software and/or a hacking service cheaply on the underground economy or illegal markets means that the external risks continue to rise. HESA has continued to invest and work hard to improve cyber security capabilities, has worked to improve monitoring, to sharpen reaction times, improve staff training, and collaborate more effectively across teams, to ensure security by design, and thus to become a more resilient organisation. This has placed HESA in the best position for Cyber Defence that it has ever been in, but this continues to need to be tempered against the ever-increasing external threats we face which are evolving at speed.

The National Cyber Security Centre (NCSC) report from September 2019⁹ on the cyber threat to higher education continues to be relevant. NCSC has also highlighted increases in phishing, spam, and malware campaigns as criminals and other state sponsored groups attempt to exploit the changes forced on most organisations and individuals in the current global pandemic. In addition, as a consequence of Covid-19 there has been a rapid increase in the number of individuals both at HESA and across the sector adopting remote working, and it is expected that this will increase the risk of third party 'hacking for profit'. As HESA staff are currently largely working remotely, additional

communications are being issued to staff on a regular basis to ensure that information security remains at the front of their minds.

REPORT ON HESA PERFORMANCE AGAINST KEY PERFORMANCE INDICATORS (KPI)

As part of the work to agree the Designation Agreement between HESA and the OfS, a set of KPIs were identified and agreed to enable the OfS to monitor HESA's deliverables in 3 areas:

1. Collection of statutory data from English providers
2. Dissemination of statutory data to the OfS and related bodies
3. Publication of statutory data

These areas are supported by Dimensions of:

1. Quality
2. Timeliness/agility
3. Completeness
4. Efficiency
5. Relationships

The final KPIs are provided in the table below with commentary on page 12:

| Measure | Target | Value | KPI Achieved |
|---|--------|------------------|------------------|
| Number of instances of incorrect advice being given to providers that OfS or HESA become aware of. | | 0 | Yes ¹ |
| Proportion of data collections that open on time as published in the data collection specification. | | 100% | Yes ² |
| Percentage of data requirements set by the OfS that are delivered. | | 100% | Yes ³ |
| Provider perception of HESA burden, measured through provider surveys | | N/A ¹ | N/A |
| Number of providers satisfied with level/quality of support, advice and guidance from HESA | | 96% | Yes ⁵ |
| Number of provider errors found in delivered data that require changes to quality procedures to ensure they are captured in future, where these changes should have been identified by HESA (excluding where these are specifically regarding data policy). | | 5 | No ⁶ |
| Number of processing errors, including derived fields, within any data deliveries, excluding deliveries explicitly marked as test | | 12 | No ⁷ |
| Performance relative to published target response rates for Graduate Outcomes - UK domiciled, full time. | 60% | 52.3% | No ⁸ |
| Performance relative to published target response rates for Graduate Outcomes - UK domiciled, part time. | 60% | 47.7% | No ⁸ |
| Performance relative to published target response rates for Graduate Outcomes - research funded. | 65% | 58.0% | No ⁸ |
| Performance relative to published target response rates for Graduate Outcomes - EU domiciled | 45% | 46.1% | Yes ⁸ |
| Performance relative to published target response rates for Graduate Outcomes - non-EU domiciled | 25% | 29.4% | Yes ⁸ |
| Average time from collection close to final accepted delivery. | | 17 | No ⁹ |
| Longest time from collection close to final accepted delivery: | | | |

¹ Following the outbreak of the Covid-19 pandemic, it was agreed with the OfS that a survey of providers would not be undertaken.

| | | | |
|---|------------|------------|-------------------|
| 2018/19 Student return (C18051) | 07/11/2019 | 27/11/2019 | Yes ⁹ |
| 2018/19 AP Student return (C18054) | 26/11/2019 | 05/12/2019 | Yes ⁹ |
| 2018/19 AOR return (C18052) | 12/11/2019 | 22/11/2019 | Yes ⁹ |
| 2018/19 Staff return (C18025) | 05/11/2019 | 22/11/2019 | Yes ⁹ |
| 2018/19 HE-BCI return (C18032) | 28/01/2020 | 04/02/2020 | Yes ⁹ |
| Graduate Outcomes - C17072 | 14/02/2020 | 31/03/2020 | No ⁹ |
| 2018/19 UK Finance return (C18031) | 31/01/2020 | 30/03/2020 | No ⁹ |
| 2018/19 Estates return (C18042) | 16/04/2020 | 27/05/2020 | No ⁹ |
| 2019/20 Provider Profile return (C19041) | 15/07/2020 | 22/07/2020 | Yes ⁹ |
| Number of data deliveries that are not in a form that makes ingestion easy | | 0 | Yes ¹⁰ |
| Number of issues in final data identified by the OfS which were not reported to the OfS within 2 weeks of HESA identifying | | 0 | Yes ¹¹ |
| Number of (high impact) data issues identified in data deliveries. | | 1 | Yes ¹² |
| Number of processing or calculation errors in publications | | 2 | No ¹³ |
| Statutory publications released as per dates in Schedule 7 - HE student statistics (UK) – all Providers except Alternative Providers | 17/01/2020 | 16/01/2020 | Yes ¹⁴ |
| Statutory publications released as per dates in Schedule 7 - HE student statistics (UK) – Alternative Providers Supplement | 31/01/2020 | 29/01/2020 | Yes ¹⁴ |
| Statutory publications released as per dates in Schedule 7 - HE student statistics (UK) - full open data release – All Providers | 06/02/2020 | 05/02/2020 | Yes ¹⁴ |
| Statutory publications released as per dates in Schedule 7 - Graduate Outcomes statistics (UK) | 20/03/2020 | 18/06/2020 | No ¹⁴ |
| Statutory publications released as per dates in Schedule 7 - Graduate Outcomes full open data release | 10/04/2020 | 09/07/2020 | No ¹⁴ |
| Statutory publications released as per dates in Schedule 7 - HE staff statistics (UK) | 24/01/2020 | 23/01/2020 | Yes ¹⁴ |
| Statutory publications released as per dates in Schedule 7 - HE staff full open data release | 28/02/2020 | 27/02/2020 | Yes ¹⁴ |
| Statutory publications released as per dates in Schedule 7 - UKPIs tranche 1: widening participation | 14/02/2020 | 13/02/2020 | Yes ¹⁴ |
| Statutory publications released as per dates in Schedule 7 - UKPIs tranche 2: non-continuation | 28/02/2020 | 27/02/2020 | Yes ¹⁴ |
| Statutory publications released as per dates in Schedule 7 - UKPIs tranche 3: employment indicators | N/A | N/A | N/A |
| Statutory publications released as per dates in Schedule 7 - HE provider data: HE Business and Community Interaction survey | 10/04/2020 | 03/04/2020 | Yes ¹⁴ |
| Statutory publications released as per dates in Schedule 7 - release 2, Includes NSS and DLHE/GO data. | 10/07/2019 | 10/07/2019 | Yes ¹⁴ |
| Statutory publications released as per dates in Schedule 7 - First Official Statistics release of Unistats data, which feeds into the website publication. | 11/09/2019 | 11/09/2019 | Yes ¹⁴ |
| Statutory publications released as per dates in Schedule 7 - Discover Uni website live | 12/09/2019 | 10/09/2019 | Yes ¹⁴ |
| Number of statutory publications not meeting reasonable user needs as a proportion of all user feedback representing reasonable needs, measured through feedback links within each publication. | | TBC | TBC ¹⁵ |
| Number of breaches of the Code of Practice for Statistics | | 2 | No ¹⁶ |

The cells highlighted in grey under the Target column indicate where a target is not required due to the nature of the data being collected.

Annex A provides the full detail of the agreed KPIs between HESA and the OfS, Annex B accompanies this with the full detail of the completed KPIs, their associated tolerances and RAG status.

COMMENTARY ON KPI MEASURES

1. Number of instances of incorrect advice being given to providers that OfS or HESA become aware of
 - HESA is not aware of any instances of incorrect advice being given to providers.
2. Proportion of data collections that open on time as published in the data collection specification.
 - HESA is pleased to note that 100% of all data collections opened on time. This allowed providers the maximum amount of time to engage with the systems therefore supporting HESA agenda to support providers in completing high quality data returns.
3. Percentage of data requirements set by the OfS that are delivered.
 - HESA have not been notified of any data requirements that have not been delivered. HESA has worked through a high volume of change requests in the reporting period, most notably the levelling up of the Student and Student Alternative collections including the addition of quality rules and changes to the timetable for the Student Alternative collection.
4. Provider perception of HESA burden, measured through provider surveys
 - Following the outbreak of the Covid-19 pandemic, HESA and the OfS agreed that it would be sensible to postpone this survey for 2019/20. The impact of Covid-19 on the sector has been significant and placing additional burden at this time was agreed to be detrimental.
 - This KPI has therefore not been completed.
5. Number of providers satisfied with level/quality of support, advice and guidance from HESA
 - Following discussion with the OfS around how to collect this metric, it was agreed to use the responses to the 'happy question' that are submitted from providers to the questions in the email management system that manages all contact with providers.
6. Number of provider errors found in delivered data that require changes to quality procedures to ensure they are captured in future, where these changes should have been identified by HESA (excluding where these are specifically regarding data policy).

2018/19 Staff record (C17025)

- Two providers incorrectly returned all/a high proportion of their staff as being on zero hour contracts and this was not identified through validation. Validation to monitor this has been introduced into the 2019/20 collection. A provider was able to return all of their staff as being on zero hours contracts. The provider was required to submit to the fixed database as a result. Validation and reporting has been introduced as part of the C19025 collection and HESA undertook further analysis to identify any other affected providers and 0077 was then required also to submit to the fixed database.
- As part of an error summary to the OfS a provider reported having incorrectly returned a predicted (i.e. future) end date for their contract as a governor in the 'actual' end date field and validation was not in place to prevent this. Guidance for the field has been clarified and validation added for 2019/20 to address this.

7. Number of processing errors, including derived fields, within any data deliveries, excluding deliveries explicitly marked as test**Graduate Outcomes (C17072)**

- The WRKSKILLS (extent to which graduate has utilised their skills in work) field was incorrectly omitted from the Core data file in the OfS iteration 3 delivery, despite appearing in the record description. This was a manual error and the data was redelivered within 4 hours of identification on 26 May 2020.
- The ACTSKILLS (extent to which graduate has utilised their skills in current activities) field in the delivery was incorrectly reporting STUSKILLS (extent to which graduate has utilised their skills in current study data). This was identified after Iteration 2 was released at the end of March. This was the result of human error. A redelivery of data, which included a fix for this issue was made on 22 May 2020 (iteration 3).
- A routing error was identified in the survey which HESA was able to fix prior to commencement of Graduate Outcomes Cohort C (year 2) which opened on the 1 June 2020:
 - The issue was caused due to an error in survey routing that did not consider a scenario where a person might refuse to provide an answer to a free-text question, when prompted, which should still lead them to the next immediate question and treat them the same as someone who provided information in the free-text box.
 - While the survey was tested extensively before launch, the focus was largely on making sure that the completion logic is working as expected i.e. response to one question leads to the presentation of the following question. In the present scenario, however, absence of response should have also been treated as a 'valid response'.
 - One question in the further study section of the survey was affected by this error which had been occurring from the start of the survey, in December 2018. It has affected 5,039 respondents in year one and 1,408 in year two. This is likely to result in a higher number of records with missing country information, where the provider was 'other', and the name of the provider has not been supplied.

- The statistical release for year one was not affected by this as the outputs are not disaggregated by the country of further study provider.
- Statutory Customers were notified of this issue as soon as the internal review of the issue was completed. It was noted that some customers use this information for contextual purposes.
- As way of rectification, a wider review of the questionnaire is currently being planned and is scheduled to start this autumn. Included in the review is further testing of survey routing with a specific emphasis on the handling of unexpected or less expected responses.
- HESA performed Standard Occupational Classification (SOC) coding only when a respondent answered all four questions relating to coding, rather than when enough information had been received. This impacted on around 9,000 records that were coded subsequently, which also delayed the final data delivery whilst HESA took steps to rectify the issue.
- There was an issue around address validation using postcode. At the end of cohort C this year (in August 2020) we introduced a validation functionality which checks the first part of the postcode against a pre-existing list of valid postcode areas. We will review the impact of this change on data quality at the end of cohort D next year.

2018/19 UK Finance record (C18035)

The 2018/19 year was the first in which the OfS supplied HESA with Finance data for English providers which would be combined with the data collected by HESA directly for the rest of the UK. The UK-wide delivery is referred to as C18035.

- A change was required to the values against the DATASUBMIT field (a processing field that allows HESA to determine which data items each provider supplied) for English providers in Table 12, Head 1a. In the earlier delivery these were showing with a flag value of 'YES' but have been amended to display a 'NULL'. A redelivery was made on 2 April 2020 and there was no change to the data itself.
- A provider did not put values in some cells in Table 11 which related to the start and ends employment dates for their Heads. The values were updated on 14 April 2020 which included a correction to data supplied to the OfS for 4 August 2020.
- Table 12: Iteration 8 of the delivery inadvertently reverted the Keys for Head 1a Total salaries and wages (_120101000001 and _120101000002) back to an older version of the Master template, which caused the label descriptions to be reflected incorrectly by displaying a '(SCOTLAND, WALES AND NI ONLY)' message. This was corrected and reflects the label as was delivered in iteration 7 instead. A redelivery was made on 8 June 2020. The change did not affect the data, just the label descriptions.
- Table 6: Some incorrect text was found in the label descriptions for some rows, whereby the wording 'Part-time postgraduate research' was incorrectly appearing in a number of Heads. The incorrect text was removed, and a redelivery was made on 9 June 2020. There was no change to the data, just the label descriptions.

- Table 6: The year that each row of data relates to and the currency coefficient were previously missing from the file, causing earlier versions of the delivery file to look like there were duplicate labels because the year was not specified. Consequently, each row in Table 6 now has the information 'Year ended 31 July 20YY (OfS Year X)' and '£000s' applied to it. A redelivery was made on 9 June 2020 to correct this and it only affected the label descriptions, not the data itself.
- Table 7: The year that each row of data relates to were previously missing from the file, causing earlier versions of the file to look like there were duplicate labels because the year was not specified. Consequently, each row for Table 7 now has the information 'Year ended 31 July 2019 (OfS Year 2)' and 'OfS: Year 1' applied to it, in line with the Master template. A redelivery was made on 9 June 2020 to correct this and it only affected the label descriptions, not the data itself.
- Table 9: The label description did not previously take into account the column header for each of the possible sources of funds (e.g. 'Total actual spend', 'Funding body grants' etc), causing earlier versions of the file to look like there were duplicate labels because the specific source of funds was not specified. A redelivery was made on 9 June 2020 following the first delivery on the 30 March 2020. There was no change to the data, just the label descriptions.

2018/19 Student Alternative record (C18054)

- An issue was identified with the processing derived field XQEYEAR01 (Year Qualifications On Entry last updated). The 2018 count was being added to the 2017 count due to a hard-coded date not being updated. A redelivery was made on 12 December 2019.

8. Performance compared with published target response rates for Graduate Outcomes

- We met response rates targets for two of the five groups: EU domiciled and Non-EU domiciled. We did not meet the target for UK domiciled full-time, part-time and Research Students.
- Given some of the issues we experienced at the start of the survey, which were later resolved, we checked response rates over the same period for year two to ensure they improved. This was demonstrated in the [end of cohort reports \(https://www.hesa.ac.uk/innovation/outcomes/about/progress\)](https://www.hesa.ac.uk/innovation/outcomes/about/progress) published so far this year in C18072, showing an increase in response rates of 3-13 percentage points, for different target groups. Overall, response rate for cohort A increased by 7 percentage points and cohort B by 6 percentage points.
- We are committed to continuously improving the survey, with the aim of increasing response rates, among other things. The following interventions are being taken forward:
 - Investigating graduate engagement strategies to identify what works and refine the approach accordingly. Where this relates to working with providers, we are especially mindful of the risks around introducing bias and the need to minimise burden
 - Update our communication materials, targeted at graduates, to highlight the significance of Graduate Outcomes using data from year one

- Targeted engagement with providers sending low quality contact details which has an adverse impact on response rates
- Create an enhanced user experience of the survey instrument to encourage participation and completion
- Supporting interviewers and graduates, through the pandemic, by offering suitable advice on collecting data and responding to sensitive questions

9. Average time from collection close to final accepted delivery.
Longest time from collection close to final accepted delivery.

The following collections were delivered within the 15-day time limit:

- 2018/19 Student – C18051
- 2018/19 Student Alternative – C18054
- 2018/19 Aggregate Offshore – C18052
- 2018/19 Staff – C18025
- 2018/19 HE BCI – C18032

Graduate Outcomes (C18072)

The first data delivery to Statutory Customers of the new Graduate Outcomes data, was achieved later than the target date because:

- Having previously notified the OfS of some issues before Christmas (due to the extension in SOC feedback timetable from providers) and working with our Standard Industrial Classification (SIC) and SOC coding supplier, Oblong (UK) Ltd, to bring the delivery timescale back to near the target date (19–20 February 2020), we were informed by Oblong that their data checking for SOC coding would take longer than planned. There were two main reasons for this:
 - the amount of change required - based on the feedback from HESA, providers and also having been identified by Oblong themselves, and;
 - the work required to improve the quality of the underlying data, which needs more work than planned (e.g. volume of spelling mistakes.)
- As a result of provider feedback, 28 occupation groups were confirmed as systemic issues and 38 were inconsistently coded. In addition to these, Oblong made several other changes following consistency checks. As a result of both processes combined, 8% of records had SOC codes changed. 59% of these changes constituted a change from one major group to another, the rest were lateral changes within major groups.
- As a result, an interim delivery to funding and regulatory bodies was made on the 21 February 2020 (comprising the final SIC codes for most records, latest SOC which was 95% accurate at the time, and the calculated derived fields).
- Having identified a few processing errors (mentioned earlier), a final delivery (Iteration 3) to Statutory Customers was achieved on 22 May 2020. Providers received their final delivery on the same date.

2018/19 UK Finance record (C18035)

Redeliveries were made for the C18035 UK-Wide Finance collection due to several issues relating to the supplemental files, an issue in the government region data supplied to HESA and an issue in the display of null or blank values in the table below

2018/19 Estates record (C18042)

As a result of the Covid-19 pandemic, providers went into 'lockdown' during the final stages of the Estates collection. In response to the pressures that the sector was facing in moving to online delivery and remote working it was agreed with Statutory Customers that the Sign-off deadline for the collection would be moved to the 29 April 2020, a month later than the published Sign-off deadline of 26 March 2020.

In addition to the agreed extension to the collection, one provider remained in discussion with the OfS and HESA beyond this period and it was agreed that the delivery would not be made until this issue was resolved. On the 11 May 2020 the OfS and the provider agreed that their data would be excluded from publication as part of the Official Statistics release.

The delivery of 'final' data to Statutory Customers was made on the 27 May 2020, excluding the one provider mentioned above. During the collection period 'test' deliveries were made available to Statutory Customers daily and so full data was available prior to the 'final' delivery on the 27 May 2020.

2019/21 Provider Profile record (C19041)

As a result of the Covid-19 pandemic, providers went into 'lockdown' before this collection opened. The OfS reviewed the collection schedule and revised the closure date for this year to the 15 July 2020.

The collection was delivered to the OfS within the agreed 15-day timeframe.

10. Number of data deliveries that are not in a form that makes ingestion easy

- HESA has not received any notifications from the OfS in this regard.

11. Number of issues in final data identified by the OfS which were not reported to the OfS within 2 weeks of HESA identifying

- HESA has not received any notifications from the OfS in this regard.

12. Number of (high impact) data issues identified in data deliveries.**2018/19 Student Alternative record (C18054)**

- The derivation of the Standard Registration Population (XPSR01) led to approximately 140 inactive students in the 2018/19 Student AP collection (C18054) being included in the

XPSR01 population. OfS has confirmed that this will have an impact on regulatory use of the data.

- The issue was identified as part of the work taking place on Data Futures. HESA raised it with the OfS and agreed not to redeliver historic data as the OfS were able to make this change themselves. Work has taken place to update the derivation for C19054 to ensure this issue does not reoccur.

13. Number of processing or calculation errors in publications

- Graduate Outcomes (C17072) - HESA identified that a very small proportion of graduate responses to the graduate reflections (voice) questions were inadvertently excluded from the relevant tables and charts in the statistical bulletin for some specific combinations of graduate activities. These tables were revised on 6 July.
- On the morning the Widening Participation: UK Performance Indicators 2018/19 was due to be released, HESA was advised that some data were missing from tables due to be published (specifically data for some higher education providers). This was brought to HESA's attention by an individual who had pre-release access to the data 24 hours prior to publication. We managed to rerun the data into the tables before they were published at the scheduled time of 09:30, but the csv source data files that we supply alongside the interactive tables were not available until 10:10.

14. Statutory publications released as per dates in Schedule 7

- Each of the Statutory Publications were released either on or prior to the dates in Schedule 7 of the Designation Agreement except for the Graduate Outcomes releases detailed below.
- To support the OfS in managing press enquiries during a period of staff leave, HESA was able to bring forward the UK Finance data publication timetable. HESA also delivered the Office for Fair Access (OFFA) financial support outputs which were due to be undertaken by the OfS.

Graduate Outcomes

- The 2 KPIs related to the release of Graduate Outcomes statutory publications are red due to a delay of 90 days in release of the publications against the original planned release dates. The delay was due to the late delivery of Graduate Outcomes data internally following a period of feedback on SIC and SOC coding by providers and re-coding work by Oblong. This was later exacerbated by the impacts of the pandemic lockdown and temporarily reduced productivity.
- The Statistical First Bulletin was published on the 18 June 2020. This was followed by the open data release which was split into two tranches released on the 23 June 2020 and 9 July 2020 respectively.
- The releases were accompanied by a comprehensive Quality Report. The dissemination policy and technical paper on weighting was also published forming a very wide range of supporting information. Some further technical documentation on detailed data derivations of the bulletin and open data tables was published on 9 July 2020 in response to user requests.
- HESA undertook an extensive release of communications and webinars (webinar question responses published) to the sector to support the release of Graduate Outcomes official statistics. These were well received and enabled providers to gain a good understanding of the statistics.
- Each of the releases attracted a high level of positive media coverage. This has mainly focused on gender and racial equality.
- At the point of writing, no Graduate Outcomes UK Performance Indicators have been released, as work on these was suspended following the impact of the pandemic and

resulting UK lockdown. This work is now resuming with a potential timescale of late autumn for publication of new indicators.

15. Number of statutory publications not meeting reasonable user needs as a proportion of all user feedback representing reasonable needs, measured through feedback links within each publication.

HESA is not aware of any publications not meeting reasonable user needs.

16. Number of breaches of the Code of Practice for Statistics

- There were two breaches of the Code of Practice for Statistics for which breach reports were submitted to the UK Statistics Authority.
- The first of these concerned a delay of 34 minutes to publication of the Unistats dataset on 11 September 2019. The breach report is [published](https://uksa.statisticsauthority.gov.uk/publication/unistats-dataset/) (<https://uksa.statisticsauthority.gov.uk/publication/unistats-dataset/>) on the UKSA website.
- The second breach concerned the Widening Participation UK Performance Indicators, referenced in the processing errors section above. The breach report is also [published](https://uksa.statisticsauthority.gov.uk/publication/widening-participation-uk-performance-indicators-2018-19/) (<https://uksa.statisticsauthority.gov.uk/publication/widening-participation-uk-performance-indicators-2018-19/>) on the UKSA website.

CHANGES TO KPI MEASURES PROPOSED FOR NEXT YEAR

In view of the outcomes above, HESA has considered and proposes the following changes to the KPIs for 2020/21:

Graduate Outcomes delivery dates

- HESA proposes that the data delivery for Graduate Outcomes is moved from 15 February 2021, to end of March 2021. This would allow the successful completion of SIC/SOC coding and quality assurance, to the required standard. An alternative, more costly, way to speed up quality assurance was presented to Statutory Customers and the Graduate Outcomes Steering Group. This option was declined in the interest of keeping overall costs down and on the basis that the Steering Group could not identify any use-cases for the data, that would be met in the case that the data were delivered sooner. As a result of this shift, it is also proposed that Official Statistics outputs from Graduate Outcomes be published in mid-May.

CONTINUOUS IMPROVEMENT

HESA has sought to improve services through running large projects such as Data Futures and Graduate Outcomes, as well as through its ongoing annual operating plan. Set out below is a summary of work on improving services.

DATA FUTURES

The Data Futures transformation programme will deliver a new HESA Data Platform (HDP) based on modern, leading-edge industry-standard platforms and tools to ensure a scalable and performant solution for in-year collection, assurance and dissemination of higher education data, beginning with student data. The HDP will include the capability to provide data three times a year for Statutory Customers, whilst maintaining data quality levels. It also enables operational efficiencies for HESA and reduces HESA's dependence on legacy technology. To achieve this the project includes:

- A new technology platform – which takes advantage of 'cloud' computing and enables the collection, assurance and dissemination activity to occur in a more efficient way for providers, HESA and Customers.
- A new unified data model – which replaces the existing Student and Student Alternative collections with one collection that works for both and is therefore easier for data customers to use.
- Business and process change – across providers and HESA required to move to the submission and dissemination of data at three points in the year.

The programme, funded by Statutory Customers and led by HESA, will deliver a range of benefits associated with better and more timely data for Statutory Customers, HE providers, HESA and the HE sector. In doing so, HESA will maintain data quality, thereby ensuring appropriate data quality for national statistics products.

The specific outcomes of the Data Futures programme will be:

- A responsive, flexible solution that can be more easily adapted as requirements evolve.
- Provision of a data model and performant HDP that are better able to support the needs of the evolving regulatory framework and provide an enhanced experience for providers.
- An agreed flexible data specification that reflects the diversity of providers and supports evolving data requirements in a way that minimises the relative burden of three student data collections a year.
- Timely data collection, analysis and dissemination of HE data, delivering data three times a year to Statutory Customers in a secure and data protection compliant manner.
- Delivery of data that has greater utility. Enabling HESA to pursue an agenda of reducing the burden on providers from other organisations, who instead of asking for their data from providers directly, might instead be able to get their data from HESA.
- A coding manual, signed off by Statutory Customers, including data specification (developed through consultation and with a regard to keeping additional burden of three returns a year to a minimum) and effective guidance to support providers participating in the data submission process.
- Reduced manual effort to deliver in-year data collection and reduced operational costs post implementation (for HESA and for providers) resulting from improved performance and

alignment with provider processes and increased automation of quality assurance reducing manual effort and time delays.

- Development of a data collection platform that will support the transition of other collections to enable replacement of HESA's other systems over time.

The governance of the programme has been overhauled following its reset, including a monthly Programme Board and new Design Authority to provide effective governance and decision making. The new governance arrangements ensure that: accountabilities are clear; project progress is monitored closely and frequently, with critical decisions taken in a fast and agile way; there is good engagement from all the stakeholders involved in delivering the project; and that regular assurance can be provided regarding project delivery and use of funding. The new arrangements take on board feedback on the project provided by BDO LLP following their independent review.

HESA announced previously that implementation was being delayed while it undertook the reset and a further design phase to support the move from 'continuous' to 'discrete' collection. Alongside this design work, HESA is delivering the next phase of the programme using an alternative delivery approach with Jisc delivering key elements of the technical platform.

The Data Futures Programme has continued to progress over this period, with the Collection Specification published in March 2020 following significant engagement with the sector, and development on the technical platform building towards being able to demonstrate an end-to-end data flow in September. The joint HESA/Jisc proposal for the remainder of the programme is being developed for consideration by Statutory Customers in September 2020.

Confirmation of funding sources has been a challenge during this reporting period with, as at the time of writing, no formal grant agreement in place for the costs incurred by HESA during the period January 2020 to August 2020.

GRADUATE OUTCOMES

HESA has delivered a survey of graduates since 1994/95 under the name of Destination of Leavers from Higher Education (DLHE) (previously the First Destination Supplement). DLHE captured the 'destinations' (what graduates did after education) of millions of graduates over the years. In 2015/16, HESA carried out a fundamental review of DLHE and developed its replacement, the Graduate Outcomes survey.

Data for DLHE was collected and processed by individual higher education providers using a combination of methods which included a survey of graduates and other informed sources such as academic departments, student record systems or employers. Different providers used slightly different methods of data collection. The all-important occupation coding (SOC) was also administered by individual providers; industry coding (SIC) was latterly carried out centrally in the DLHE. Data gathered by all institutions was then combined to produce one single data set.

Graduate Outcomes improved this approach by using one method of data collection and processing which is managed centrally by HESA. This leads to consistency of approach and makes the relationship between data quality and methodology more transparent. HESA received guidance from the Office for Statistics Regulation that the National Statistics designation of our previous DLHE-based bulletin should not simply be carried forward to our Graduate Outcomes bulletin due to the fundamental changes in the survey. Having received this guidance, we decided to release all Graduate Outcomes data outputs as 'Experimental Statistics' for this year. Experimental statistics

are an existing class or subset of official statistics and are defined as newly developed or innovative official statistics undergoing evaluation. They are published with the aim of involving users and stakeholders in the assessment of their suitability and quality.

Graduate Outcomes is the biggest annual social survey in the United Kingdom and captures the perspectives and current status of recent graduates.

All graduates who completed a relevant course are asked to take part in the survey 15 months after they finish their studies. The survey aims to help current and future students gain an insight into career destinations and development.

Our first publications and associated technical documentation have been well received. The breadth and depth of supporting information about the survey published alongside the resulting data surpasses all previous HESA data publications. HESA is now developing a programme of activity to improve the accuracy and reliability of the data and ensure its continuing relevance to users. An online training course was developed to offer an introduction to the Graduate Outcomes provider portal and it provides an overview of how the portal is used in relation to the Graduate Outcomes records.

This new survey allows a longer period between a graduate's studies and the survey, and it provides richer insight from more meaningful but subjective questions. It asks graduates to not only state facts about what they are doing, but also asks them to reflect on how they feel their education has contributed to where they are today.

We will work to increase the profile of the survey and the new 'graduate voice' measures to heighten understanding and application of the data.

Information security

Graduate Outcomes was the first collection developed by HESA since the introduction of GDPR and the DPA. The concept of 'security and privacy by design' was adopted throughout the design, development, and deployment of the platform. This work was conducted within the scope of our ISO 27001 framework for Information Security Management. The platform and its supporting database were subjected to a penetration test by a third-party CREST certified provider prior to production. The testing reported no medium, high or critical recommendations, low risk recommendations were assessed and remediated where necessary prior to go-live'. Changes to the production platform are checked by HESA's Information Security team who continue to monitor the platform and its development.

Survey weighting

Since the closure of the first year of the survey, HESA investigated whether weighting the Graduate Outcomes data would enhance data quality. This work has been undertaken with advice from experts at the Office for National Statistics (ONS).

The findings led us to conclude that there was no compelling case for the application of weighting to the first year of Graduate Outcomes data. A full description of the analysis undertaken and the findings is published on the HESA website.

Survey improvements

HESA continuously reviews the survey instrument considering latest best practice on questionnaire design and presentation, feedback from our contracted research provider and providers and pre-cohort testing. While the content of questions is not changing between cohorts, we are continuously enhancing user experience that allows us to collect better-quality data. Enhancements to the survey platform include use of responsive layout, removal of redundant pages/screens, making drop down lists easier to navigate and improved design of grid questions.

Continual improvements are also being made to the provider portal to deliver improved functionality to providers. We were acutely aware of the sector requirement for access to the raw survey responses which are now being made available on a nightly basis.

One significant development was the launch of the sector survey response rates report. This allows providers to access this on-demand in the portal and allows them to reflect on distribution of response rates, by different groups, in the wider sector.

Over the past 12 months we have made several significant improvements to the data collection system which have collectively led to an improvement in response rates and data quality. Examples of key changes are:

- Our case prioritisation process not only aims to increase response rates, but does so in a manner that results in the sample collected being more representative of the wider population. This alleviates concerns around the data being biased. We are continuously exploring ways in which we can improve the effectiveness of this procedure. Further information will be provided in due course via the Graduate Outcomes Steering Group.
- Engagement strategy informed by paradata
- A more user-friendly survey design
- Refined email content aimed at improving deliverability, open and click rates

Initially, the provision of mobile, landline and international numbers from providers via the provider portal was not as robust as it could be. A number of quality rules were implemented to tighten up on this, but further work was required. HESA engaged an external communications platform, to check all mobile numbers before sending SMS messages. This service has significantly reduced the cost of undeliverable SMS messages.

HESA has also implemented a process for reporting inaccurate or deactivated numbers back to providers which has been well received. Cohort D for C18072 opens on the 1 September 2020 and will see over 5,000,000 emails being sent to graduates in line with the engagement strategy.

OPEN DATA AND OFFICIAL STATS

Over the past few years HESA has delivered on our first published Open Data Strategy, as we have transitioned from what were previously chargeable statistical and data products to an exclusively open data publication portfolio which is free at point of use. Over the same period, we have developed more flexible and interactive forms of statistical publication which have been well-received by our users and by the Office for Statistics Regulation.

Our internal production methods have also developed significantly, with greater use of automation to drive efficient, reliable and consistent, repeatable processes.

The next stage of this work is to develop a second-phase open data and official statistics strategy, which we currently plan to publish before January 2021. As part of this we are aiming to pursue several strands of improvement.

We are undertaking a review of production processes to identify further opportunities for enhancements and efficiencies. Quality assurance and release processes are areas that remain subject to high levels of manual intervention; these could be further automated and improved through application of more sophisticated approaches.

The technology used for our statistical publications, which has enabled us to deliver such radical change in the way in which we deliver data to our users, is now proving to be somewhat of a constraint on our ambition. The main challenges are capacity and flexibility in deployment as we have progressively expanded the content of our statistical products. We are therefore planning a stream of work to explore replacement publication technology options.

Our aspiration is to make a step change in the quantity and depth of data published as open data, through delivery of a 'self-service' data set tool whereby any user could specify a set of data drawn from a HESA data collection that could be downloaded immediately. We have undertaken an initial 'discovery' project to explore the options for this to assess requirements, profile potential users and identify risks. The most significant finding from this work is that delivery of such a tool presents significant challenges to the protection of privacy of data subjects, given the amount of data envisaged and the increasingly sophisticated methods available to motivated external actors who may wish to attempt to re-identify individuals from published data and deduce personal information about them. Given HESA's role and the detailed nature of the personal data we collect, our risk appetite on data privacy is very low. We are therefore planning a stream of work to explore and identify alternative stronger approaches to data privacy management, that would enable the development of a self-service open data tool.

Overall, the above work streams on development of an open data tool are challenging and extensive, and such a tool cannot be delivered within the current 2020/21 year. Indeed, it is possible that we may fail to identify an approach to data privacy management that is sufficiently strong to enable us to achieve our ambition at this time. Our discovery project did not identify any existing examples of equivalent open data tools that are capable of safely serving users from such extensive personal data sets. If we were able to deliver such a tool it would therefore represent a significant innovation. However, if privacy management risk cannot be mitigated, we may need to review and reduce the scope of what we can deliver.

However, whilst we continue with this exploration there are parallel activities, we can pursue to improve the range and depth of open data already published, as well as improving aspects such as machine readability, and these are underway.

LIAISON AND SUPPORTING PROVIDERS

During this academic year we have reviewed the structure in Liaison (HESA's team of analysts that supports providers throughout the data collection process). As a result of the new regulatory framework in England we identified a need to further develop our capabilities in understanding the needs of our provider customers. We have recruited to a new role internally of Lead Liaison & Operations Analyst (Stakeholder Management) with a focus on ensuring that we further develop our recording of provider metadata to ensure that we have up to date provider category, details on mergers, contact detail changes, optional services selected and non-statutory onward use categories. The new role will have a key part to play in HESA's work to further develop our use of a CRM.

In this exceptional time, we are working closely with Statutory Customers to ensure the teams at HESA are giving the most up to date advice, much of this advice is developed through collaboration and as such is co-creation of guidance content. As normal we are working very closely with our Statutory Customer colleagues and during this time we are additionally sharing responses to issues/queries to ensure that they are aware of the additional challenges being faced at providers to complete the HESA returns.

As part of the continuous improvement cycle, the new Issue Management System (IMS) went live in August 2020, having been developed and tested during the report year. The HESA development team were tasked with delivering a proof of concept piece of work to establish and build upon with the objective of building an issue management system, where quality queries are processed and resolved. The proposed system is a standalone solution which can be integrated with the data collection system and the HDP enabling improvements to the legacy collections and Data Futures. The IMS contains 5 years of data from the previous system. The IMS replaces the legacy Minerva query system and provides a range of benefits, including removing legacy technology, better interface for providers and customers and a platform that can integrate with future initiatives (e.g. Data Futures). A HESA System tutorial was developed by HESA to enhance data expertise in providers and to support the data collection process.

INFORMATION SECURITY AND DATA PROTECTION

HESA is ISO 27001 certified. ISO 27001 is an International Standard for the requirements of an information security management system (ISMS). ISO 27001 certification operates on a 3-year cycle, with surveillance audits in between to ensure the organisation is operating and maintaining the ISMS. ISO 27001 advocates a 'Plan Do Study Act' methodology to manage the ISMS. This is an iterative process designed to drive continuous improvement. HESA is also Cyber Essentials Plus certified (an NCSC backed scheme). Cyber Essentials is a Government backed scheme that helps guard against the most common cyber threats and demonstrates our commitment to cyber security.

During the year a new Privacy Programme Management tool has been implemented by HESA; the utilisation of this programme has driven its ISMS and continuous improvement and to enable HESA to demonstrate compliance with best practice in data protection and compliance with legislation.

The Privacy Programme Management tool automates privacy impact assessments and data mapping, identifies privacy risks, enforces risk management, and controls activities. Its platform is used for Data Protection Impact Assessment, privacy threshold reviews, incident reporting, access requests, and information security reviews, and annual privacy audits.

Privacy Programme Management tool provides a central repository to manage privacy risks in subject data and employee data, provides vendor risk management, incident, and breach management.

The tool has enabled HESA to streamline the review processes that are required when project activities or business changes are planned to facilitate collaboration and ensure data protection and security requirements and risks are identified and appropriated managed.

HESA recognises that whilst its employees are its biggest asset, they can may also be the weakest link due to human error, and so raising user awareness and improving security consciousness are hugely important for HESA to drive a culture of security and data protection compliance. Staff training is completed by new and existing employees on an annual basis on data protection and information security, and the governance structure incorporates and reflects the importance HESA places on security by design.

HESA continues to maintain its ISO27001:2013 certification. ISO 27001 is the international standard that lays out the specifications for implementing an information security management system (ISMS).

PORTFOLIO MANAGEMENT

HESA runs a Portfolio and Performance Board (PPB), chaired by the Managing Director Statutory Services, which oversees projects, business processes and change management, and provides oversight on corporate performance monitoring on behalf of Executive Management Group (EMG) and the Board.

The PPB receives written highlight reports from sub-groups covering our main areas of business including key projects such as Graduate Outcomes, Data Futures and HESA's Core Statutory Collections. The PPB meetings are administered and documented by the PMO. PPB works to deal with issues and manage emerging risks, it also ensures the appropriate use of HESA resources in accordance with our business aims and service levels. PPB provides written updates to EMG each week across all areas of HESA's business, including any issues that need to be managed by exception. All staff receive a summary of progress including any issues, and 'RAG status' for each area, following the EMG review. All groups meet weekly (project level groups, PPB and EMG).

PPB manages the portfolio of delivery at HESA, to specifically:

- Monitor and track delivery of the Annual Operating Plan (AOP), corporate and operational KPIs (with updates received from the other groups reporting into EMG)
- Approve resourcing of programmes and project initiation, for work reflected in the AOP, benefits realisation, commission and receive post implementation reviews and close programmes and projects (or advise on their closure to EMG).
- Review summary reports of changes approved by the Change Manager and review, challenge and approve/reject changes that have been escalated
- Receive updates on programmes, projects, product roadmaps and change (in order to understand impact across the business).

- Receive and review quarterly overarching reports on nonconformance and complaints reporting
- Receive and review the Corporate Risk Register on a quarterly basis on behalf of EMG
- Manage and provide a response to internal incidents to ensure consistency and monitoring of actions to address issues. This will also include assignment of an Internal Incident Owner to be the main point of contact and report to PPB.

Enterprise change management (ECM) – collections

Reporting into the Portfolio and Performance Board is the ECM Collections group. The role of this group is to manage the Business Change Idea (BCI) process – it processes records and manages change to HESA's data collections, it is able to take decisions in line with its delegated levels and escalates where required to PPB.

Incident Management

The PPB are also responsible for oversight of internal issue management, taking decisions as required, reporting to/updating EMG and ensuring resolution is identified and implemented.

REPORT ON COSTS INCURRED BY HESA FOR EACH DATA COLLECTION

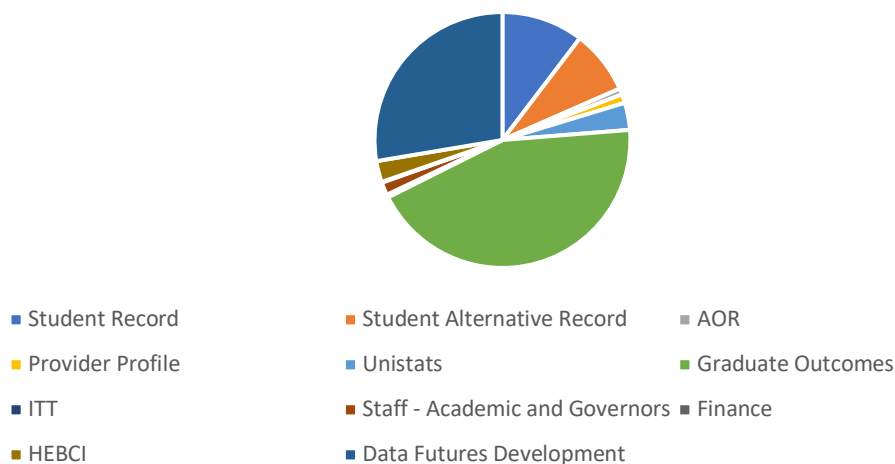
HESA is funded principally by the subscriptions of the higher education providers from whom we collect data. It is either a statutory or regulatory requirement for higher education providers to subscribe to HESA to enable us to collect, assure and disseminate information.

The introduction of HERA has meant that, for English providers, the HESA subscription is dependent upon their OfS category, with differing requirements depending on their registration or designation category.

SUMMARY OF DIRECT HESA COSTS BY STATUTORY COLLECTIONS 12 MONTHS TO 31 JULY 2020*

| | £'000 | £'000 |
|---------------------------------|-------|---------------|
| Student Record | 1,107 | |
| Student Alternative Record | 863 | |
| AOR | 83 | |
| Provider Profile | 118 | |
| Unistats | 367 | |
| Graduate Outcomes | 4,691 | |
| ITT | 38 | |
| Staff - Academic and Governors | 174 | |
| Finance | 9 | |
| HEBCI | 286 | |
| | | 7,736 |
| Data Futures Development | 2,956 | |
| | | 10,692 |
| *Draft numbers subject to Audit | | |

Direct HESA costs by statutory collection to 31 July 2020



BURDEN REDUCTION PROPOSALS

This section covers any specific activity or planned initiatives that work to reduce the burden of data collection on the sector.

DOING MORE WITH LESS

HESA is mindful of the need to keep subscription charges to a minimum. To do this HESA has, and continues to aim to work as efficiently as possible in delivering its services and, it also works to ensure the services provided are fit for purpose and adequately resilient.

Keeping costs down is still a challenge in an environment where demands on data services and complexity continue to increase. By working more closely with Jisc and sharing resources HESA will be able to achieve better value for money than could be achieved in the market for much of the highly technical skills needed to support development and innovation (and consequential efficiency gains). There may also be an opportunity to manage overall costs of other business operations or shared services which are required to deliver HESA's statutory services. Access to wider range of 'in-house' shared capabilities may mean lower costs than can presently be achieved, consequently helping manage the overall costs charged to the sector through the HESA subscription.

HESA is also working closely with the sector in various forums to ensure that the decisions made about how services are delivered, the KPI's achieved and the level of service provided, are done so with costs and benefits in mind. This includes key groups that influence the shape of core services such as, the HESA Provider Forum, Data Futures Programme Board and the Graduate Outcomes Implementation Group.

HESA/JISC COLLABORATION

The Board of HESA is considering closer collaboration with Jisc to achieve economies of scale with the objective to reduce the financial burden on providers. Jisc is a company whose role is to support institutions of higher education and research, including post-16 education. It provides network and IT services, digital resources, relevant advice, and procurement consulting, while researching and developing new information technologies and modes of working. Jisc is funded by a combination of the UK further and higher education funding bodies, and individual higher education institutions. Both HESA and Jisc have recognised the opportunity that coming together would bring, sharing expertise and offering a resilient service to the sector. In 2019 HESA transferred its business in HESA Enterprise to Jisc to create a data and analytics directorate within Jisc, and closer collaboration will build on the experience gained during this transaction.

In December 2019 Jisc and HESA, both not-for-profit organisations, provided the OfS with a joint proposal to deliver a revised Data Futures solution. HESA collaborates with Jisc on the development of Data Futures with Jisc as the technology provider.

REPORT ON ANY OTHER MAJOR ISSUES RELATING TO HESA'S INFORMATION DUTIES

POST COVID-19

With the UK wide lockdown implemented in March 2020, as a consequence of the Covid-19 pandemic, HESA reviewed how it could best support both Statutory Customers and providers during this time and worked to prioritise its portfolio of projects and deliverables.

Some of the measures put in place include regular meetings with the Provider Forum to enable HESA and the OfS to understand the issues facing providers and the impact this may have on the forthcoming suite of data collections for 2019/20. It was through this channel and the Liaison email helpdesk that HESA realised the need to develop exceptional guidance for the 2019/20 data collections to reflect the new environment.

Collaborating with Statutory Customers and the Provider Forum on the exceptional guidance will allow providers to continue to report timely, consistent and quality data to HESA. In addition to exceptional guidance for the records the HESA training team developed an e-learning module to support staff at providers who were facing the completion of a HESA data record for the first time as a result of availability of staff at their organisation. HESA has worked closely with the OfS to communicate revised deadlines and processes for the summer 2019/20 to the sector and will work with the OfS to ensure that they are kept abreast of any providers facing significant challenges.

INFORMATION SECURITY

Graduate Outcomes is supported by HESA's data breach policy and processes. The platform has had one incident in the reporting period which was responded to and rectified very quickly by following these processes. HESA notified OfS within the timeframe required by the OfS. The conclusion of a review was that the incident did not meet the threshold of reporting to the ICO. HESA is conducting a 'lesson learned' investigation in line with our processes to identify both the causes, and any improvements that can be implemented to reduce the likelihood of similar incidents occurring in the future.

INCORRECT SIGN OFF FORMS

It was discovered that the sign off forms reviewed and updated for the new collection year had not been issued to providers in the C18025 Staff, C18051 Student, C18054 AP Student and C18052 AOR collections. Whilst this did not impact on HESA's data protection compliance regime. HESA promptly took steps to issue the correct form in the live collections, and this was completed within hours of the issue being identified. Sign-off forms were revoked in the system for providers affected and HESA contacted them (at accountable officer and operational level) to apologise and to issue a new sign-off form. We agreed with the OfS that we would honour the original sign-off date in our reports.

ROLES FOR ISSUE MANAGEMENT SYSTEM MADE AVAILABLE AND GRANTABLE WITHIN LIVE IDS.

Twenty users were granted roles in HESA's Identity System (IDS) for the new Issue Management system despite there being no live issue management system. No data was made available through these roles, but it is an issue that was reported to the OfS.

There was an impact on providers and Statutory Customers, all record contacts, Statutory Customer main users and administrator roles who received an email notification that Issue Management roles have been deleted. Liaison subsequently received 37 queries from users with those roles asking about the roles and why they were removed.

HE-BCI C17032 AND C18032: TABLE 3 REGENERATION AND DEVELOPMENT PROGRAMMES

In July 2020 staff at HESA identified a mistake in Table 3 of the template 'Regeneration and development programmes'. It should have contained subhead 1b ESF (European Social Fund) income. Instead, the spreadsheet for C17032 and C18032 had been updated to state ESFA (Education & Skills Funding Agency).

HESA has developed a survey for providers to complete to ask them to indicate if they completed the cell for their ESF funding based on the guidance rather than the cell label. For those providers that state that they did not complete the cell with the ESF income we are asking for them to include the figure in the survey to assist in our understanding of the impact of the mis labelling of the cell. The survey remained open until the 7 August 2020 and the findings were reported to Statutory Customers shortly after that date.

FEEDBACK FROM ENGLISH PROVIDERS ON THE PERFORMANCE OF HESA'S FUNCTIONS

Following agreement with the OfS, feedback from English providers has been elicited through the email management system run by HESA to manage all communications with providers. Due to the Covid-19 pandemic it was agreed with the OfS not to do a full survey this year.

In reviewing the period from 1 August 2019 to 31 July 2020 the Liaison email inbox received a 'Happiness' score of 95%. The 95% is based on the views of 591 ratings users who opted to score the service. The 591 sample represents about 3% of the total number of uses of the Liaison email service in this period.

During this time period Liaison received 37,539 messages and had a first response time of 10 hours.

On a qualitative basis, the HESA Provider Forum is a forum for knowledge exchange between HESA and sector representatives to develop services and products to meet the combined needs of the HE sector. The Graduate Outcomes steering group provides transparent advice to HESA from providers on the implementation and administration of the Graduate Outcomes survey. The forums provide feedback to HESA and are used to plan for continuous improvement.

APPRAISAL REPORT ON ENGLISH PROVIDERS IN TERMS OF RELIABILITY, TIMELINESS AND QUALITY OF ITS INFORMATION

The beginning of the reporting year included all the summer collections relating to academic year 2018/19. The OfS received detailed reports during the collections of those providers that did not meet the key deadlines. The teams at HESA and OfS collaborated closely during the collection period to ensure that both organisations were aware of providers facing difficulties with timeliness and quality of data. An area of improvement within the HE sector has been the engagement, timeliness and quality of data from those providers formerly categorised as Alternative Providers. These new providers to HESA have further developed their understanding of the data requirements and required less specific support from the teams at HESA during this academic year when compared to the preceding year.

Full details of the below have been made available to the OfS Executive Team.

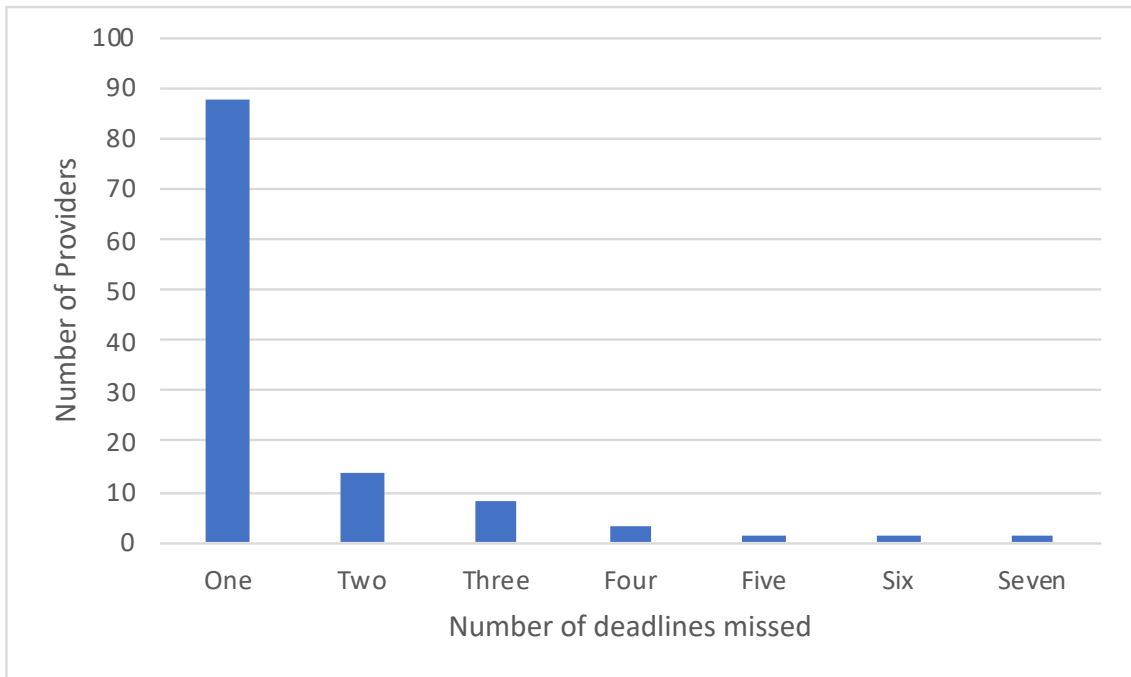
Data Submission Deadlines

Providers submit data to HESA in steps, starting with the initial data return. The Return deadline where providers send one complete data file that has passed a basic data and business logic check. Providers then send complete data, free from errors by the next deadline, Commit. HESA then begins analysing the data and quality checking, raising issues for the attention of the provider for resolution. When HESA has completed quality checking and all issues closed, data moves to Sign-Off.

The following table shows the number of providers not achieving the deadlines for each collection:

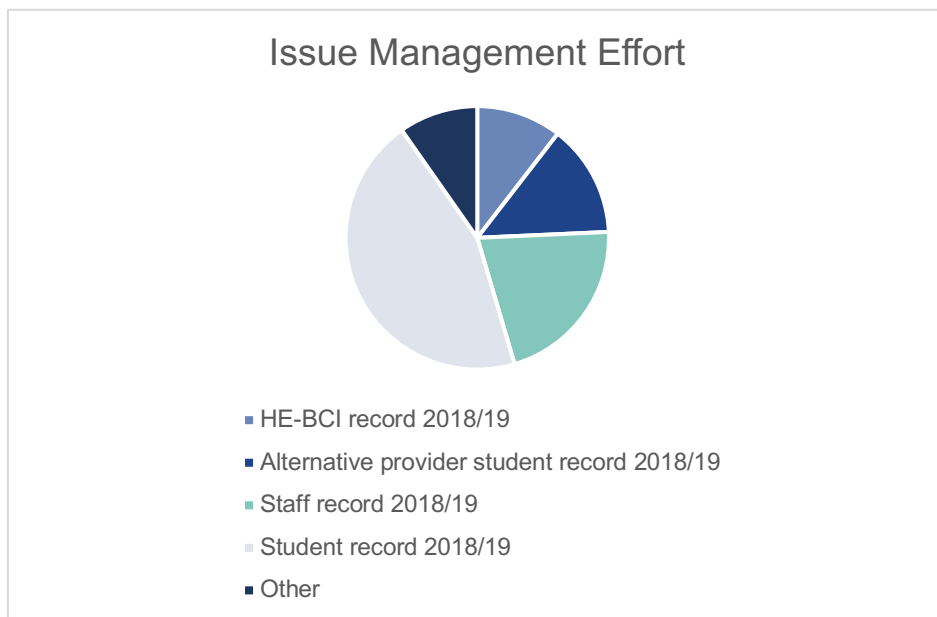
| Deadline | Count of Provider |
|------------------------------------|-------------------|
| Return deadline | 50 |
| Aggregate Offshore Record 2018/19 | 2 |
| Staff Record 2018/19 | 11 |
| Student Alternative Record 2018/19 | 12 |
| UNISTATS 2020/21 | 15 |
| Student Record 2018/19 | 9 |
| HE-BCI Record 2018/19 | 1 |
| Commit deadline | 31 |
| Aggregate Offshore Record 2018/19 | 1 |
| Provider Profile 2019/20 | 14 |
| Staff Record 2018/19 | 6 |
| Student Alternative Record 2018/19 | 3 |
| Student Record 2018/19 | 7 |
| Sign off deadline | 89 |
| Provider Profile 2019/20 | 25 |
| Staff Record 2018/19 | 10 |
| UNISTATS 2020/21 | 13 |
| Student Record 2018/19 | 41 |
| Grand Total | 170 |

The below chart shows how many providers missed how many deadlines. Six providers missed more than 4 deadlines.

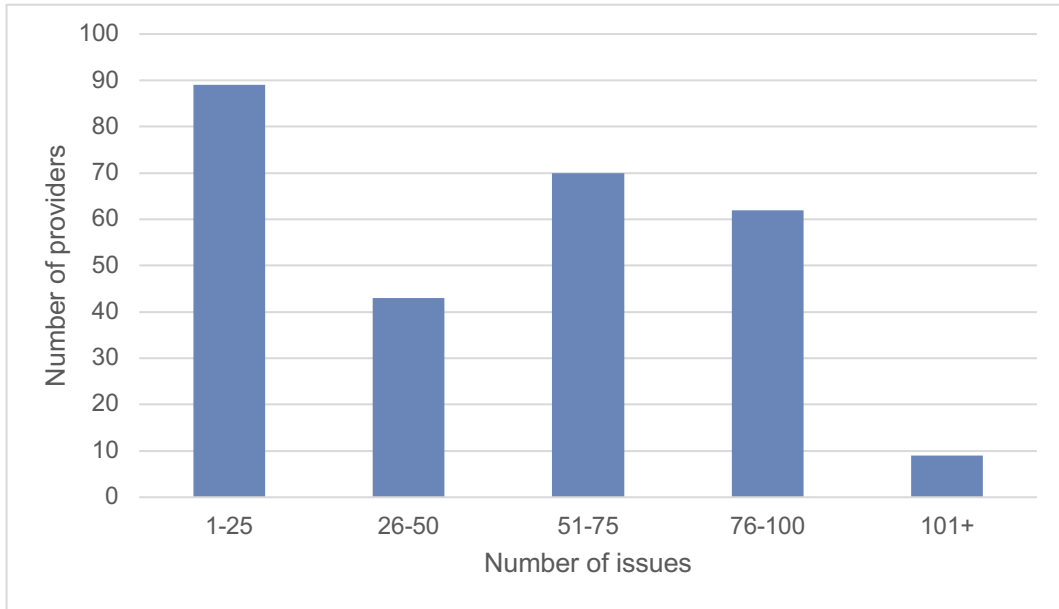


Issues (Data Issues)

Issues are raised with providers during the data submission process. Issues can range from small data queries through to complex systemic problems with a provider’s data. The below chart shows the proportion of issues managed for each collection and as a count of issues (not factoring for example how complex an issues was to resolve) it is a rough guide to which collections required the most input from HESA to manage.



In total HESA managed 13,753 individual data issues (queries found on sent data) during the year. The chart below shows the number of providers having how many issues. 9 providers had over 100 data issues during the year. 89 providers had up to 25 issues.



Fixed Database uses (corrections to previously supplied data)

Fixed databases are used by HESA to allow providers to send corrections to previously signed off data. The following table shows the number of providers making use of fixed database submissions process:

| Collection | Number of providers using |
|-------------------------------|---------------------------|
| 2016-17 AP student collection | 1 |
| 2016-17 Student Collection | 5 |
| 2017-18 AP student collection | 5 |
| 2017-18 HE-BCI Survey | 1 |
| 2017-18 Student Collection | 22 |
| 2018-19 AP student collection | 2 |
| 2018-19 Student Collection | 13 |
| Grand Total | 49 |

New providers

With the in-year registration of new providers onto the OfS register the teams at HESA have worked closely with these new providers through our onboarding process and suite of e-learning modules to provide support to ensure that they are able to report timely and quality data for the first time in 2019/20.

Graduate Outcomes

Through this reporting period HESA has overseen the collection of graduates' contact details for the Graduate Outcomes survey. With increased validation and guidance there has been improvements made in the quality of the contact details reported to HESA from English providers and we will continue this work over the next reporting year.

PLANS FOR CONTINUOUS IMPROVEMENT

This section covers improvement themes that are at the planning stage.

IN-YEAR STUDENT DATA

Student data collected via HESA is currently retrospective at the end of an academic year with data available to analysts in the OfS and other customers in early-mid December. This pattern of return aligns closely with the traditional academic calendar which while still relevant for the majority of OfS registered providers is not universal.

There are a number of reasons why more timely data may be a priority for the OfS and other data users. These include the pace of change in registered providers and the behaviours of their students, the wider variety of providers that are now regulated, and in particular the varied patterns of recruitment throughout the year meaning a single annual snapshot retrospective is increasingly limited.

In-year data would allow the OfS to:

- Improve the timeliness of indicators used for assessing condition B3 through calculating between year continuation rates roughly 10 months earlier than now.
- Calculate in-year retention rates up to 9 months earlier.
- Monitor progress on access and participation plans, condition A1, up to 12 months earlier, and critically before the next intake for many providers.
- Evaluation activities will be more timely especially for activities such as National Collaborative Outreach Programme (NCOP).
- Better target student surveys using more up-to-date study and demographic information, critical for courses of a year or less in duration.

While it is possible to make progress on some of these issues using alternative data sources such as UCAS and the Student Loans Company (SLC) these data sources are by their very nature limited and so do not adequately support our 'all students' approach to regulation. In the longer term in-year data may allow us to reduce our reliance on aggregate data return such as Higher Education Early Statistics (HESES) and where funding relies on individual data make it more reactive to changes in student demographics.

In-year data is planned for delivery as part of the Data Futures programme, covered in earlier sections of this report.

WORKING WITH UKRI

UK Research and Innovation (UKRI) requires detailed, individualised information about Research Students in UK research organisations. Much of this data is already a part of the HESA Student collection, and a further one third of the data items are present on the Data Landscape Steering Group (DLSG) logical model. There is significant duplication of activities at HE providers to send these streams of data. UKRI has inherited a longstanding platform for processing both Research Student data (from application to conclusion of studies) and to handle research grant applications. This project refers only to the student-related part of the UKRI legacy platform. That system, the Student Data Portal (often referred to as 'Je-S') has not been significantly updated during its lifespan and has become unsuitable for continued use.

Given the development of the HDP and the overlap between the UKRI and HESA data collections, there is an opportunity to consider the HDP as a potential replacement for the part of the current Je-S functionality covering studentship details. HESA has held initial discussions about the prospect of using HESA collection systems for this, and plans to progress with UKRI and so long as other commitments (i.e. delivering the core HDP via the Data Futures programme) allow.

DATA LINKING

HESA is increasingly using research to meet the ambitions set out in our corporate strategy, as well as in supporting our core statutory functions. Over the past year, this activity has helped identify the Next Steps cohort study as a potentially valuable source to which we can link our own data. Initially administered by the Department for Education (and now run by the Centre for Longitudinal Studies at UCL), this study follows a representative sample of approximately 16,000 individuals born in England around 1990 throughout their lifetime. Participants of the age 25 survey were asked for consent for their data to be matched to various administrative sources and just over 5,000 gave permission for their responses to be linked to further/higher education records. Consequently, a linked Next Steps-NPD-ILR dataset is already available through the UK Data Archive for the wider research community to access. In line with our strategic aims of providing data to researchers and policymakers, we are currently undertaking the legal work necessary to assess whether we can link our data to this study. It should be noted that the Next Steps survey covers more than just labour market outcomes (e.g. health, life satisfaction, etc) and thus offers the opportunity to explore a wider range of graduate outcomes throughout adulthood than is possible with sources such as the Longitudinal Education Outcomes (LEO) data.

As both HESA and the Next Steps survey collect data on similar variables (e.g. class of degree, subject of study, socioeconomic background, etc), linking (subject to legal clearance) will also provide HESA with the opportunity to assess the quality of certain variables in its own administrative record through corroborating our data against an external source – as suggested by the OSR.

IMPROVING INTERNAL CHANGE MANAGEMENT

The scope of business change includes changes that affect a business or IT service and changes to a collection or data delivery product. Change requests to collection and dissemination services are presently raised as Business Change Ideas (BCI). The BCI process is managed by the Head of Service Development. BCIs are triaged and then approved at the BCI meeting. The purpose is to evaluate, prioritize, coordinate demand on changes to collection systems.

HESA is considering how its approach to change management could be improved, including better control of changes that are presently outside the scope of BCI, how changes are managed through their lifecycle and into 'release' and in ensuring a consistent approach to managing change (and change workloads and progress) across HESA.

CONCLUSION

This report covers significant progress made by HESA in 2019/20 across major projects and in achieving changes to core collection systems. The year has seen the publication of the first Graduate Outcomes results including the first outputs from this survey for Statutory Customers along with the experimental data releases. HESA has also made progress in moving the Data Futures programme forward, working closely with the OfS, other Statutory Customers and HESA's new Data Futures partner, Jisc.

In addition to major projects, HESA has also made progress in levelling up the collection requirements between the Student and Student Alternative collection systems, in order to ensure that these legacy collection systems remain fit for purpose for the OfS requirements, in advance of delivering Data Futures, which will combine these collections.

Graduate Outcomes and Data Futures will offer significant value and important insights to policy makers in tracking the progress of past and subsequent cohorts impacted by Covid-19.

The programme of continuous improvements planned by HESA aims to minimise the cost of running HESA's services on providers, by opening up opportunities for efficiencies in the production of information, improving the products for our Statutory Customers and finding ways to do more with less. Some of these improvements come through key initiatives such as Data Futures and some via smaller ongoing changes such as improvements to change management processes, Agile ways of working or improving out outputs.

Adopting an Agile working framework has enabled HESA to work flexibly and to be reactive to the demands of our customers and providers. This has increased the pace of our development work, which has further driven cost efficiencies.

Managing the demand on HESA remains a significant challenge, whether working to meet the needs of customers or the increasing diversity of provision across UK higher education. HESA will continue to work with stakeholders through its consultation groups to ensure its approach to evolving its services is fit for purpose.

It remains our overarching commitment to collect and assure high-quality data across statutory, regulatory, and funding bodies, and the higher education sector. While we have made significant improvements to our Information Security and Data Protection capabilities, this remains an area to keep under review as we look to also improve other areas of our operation, for example how we approach Change Management and improvements to our data outputs.

The progress made by HESA would not have been possible without the dedicated efforts of our staff, Statutory Customers and our colleagues within HE providers, and we are very grateful for their support.

ANNEX A – AGREED KEY PERFORMANCE INDICATORS (KPI)

| | | Dimension | | | | |
|------|---|---|---|---|---|--|
| | | Quality | Timeliness/agility | Completeness | Efficiency | Relationships |
| Area | Collection of statutory data from providers | Number of instances of incorrect advice being given to providers that OfS or HESA become aware of. | Proportion of data collections that open on time as published in the data collection specification. | Percentage of data requirements set by the OfS that are delivered. | Provider perception of HESA burden, measured through provider surveys | Number of providers satisfied with level/quality of support, advice and guidance from HESA, per quarter ² . |
| | | Target: <=2 instances per collection (per collection year). All are reportable. | Target: 100% | Target: 100% | Target: to be determined following initial work. | Target: 95% (total of Great and Ok) |
| | | Number of provider errors found in delivered data that require changes to quality procedures to ensure they are captured in future, where these changes should have been identified by HESA (excluding where these are specifically regarding data policy). | | Performance relative to published target response rates for Graduate Outcomes (for all providers and student groups). | | |
| | | Target: <=2 per collection, per collection year | | Target: as published for Graduate Outcomes | | |

² Agreed to drive the satisfaction survey on Helpscout emails to progress this. Metric may be subject to review

| | | | | | |
|---|---|---|--|---|--|
| Dissemination of statutory data to OfS and related bodies | Number of processing errors, including derived fields, within any data deliveries, excluding deliveries explicitly marked as test | Average and longest time from collection close to final accepted delivery. | | Number of data deliveries that are not in a form that makes ingestion easy | Number of issues in final data identified by the OfS which were not reported to the OfS within 2 weeks of HESA identifying |
| | Target: <=2 per year. | Average Target: All final and accepted deliveries made <=10 Working Days following dates detailed in Schedule 6. Longest Target: <=15 Working Days following dates detailed in Schedule 6. | | Target: <=1 cases per year, where additional work is required by HESA, at the request of OfS, to modify a delivery so that it is better able to be ingested. | Target: <=3 |
| | Number of (high impact) data issues identified in data deliveries. | | | | |
| | Target: <=1 per year. | | | | |
| Publication of statutory data | Number of processing or calculation errors within publications. | Statutory publications released as per dates in Schedule 7 | | Number of statutory publications not meeting reasonable user needs as a proportion of all user feedback representing reasonable needs, measured through feedback links within each publication. | |
| | Target: 0 (all reportable) | Target: 100% | | Target: To be set following initial period | |
| | Number of breaches of the Code of Practice for Statistics Target: 0 (all reportable) | | | | |

ANNEX B – COMPLETED KEY PERFORMANCE INDICATORS (KPI)

| Business Area | Collection | Measure | Unit | Capture | Target | Value | Date Difference | Red threshold | Amber threshold | Green threshold | RAG |
|---------------------------------|-------------------|---|------|----------|--------|-------|-----------------|---------------|-----------------|-----------------|-------|
| Collection of Statutory Data | All | Number of instances of incorrect advice being given to providers that OfS or HESA become aware of. | # | Annually | | 0 | | <=2 | 1 | 0 | Green |
| Collection of Statutory Data | All | Proportion of data collections that open on time as published in the data collection specification. | % | Annually | | 100% | | <95% | 95-99% | 100% | Green |
| Collection of Statutory Data | All | Percentage of data requirements set by the OfS that are delivered. | % | Annually | | 100% | | <95% | 95-99% | 100% | Green |
| Collection of Statutory Data | All | Provider perception of HESA burden, measured through provider surveys | # | Annually | | | | <70 | 70 - 79 | >80 | Blue |
| Collection of Statutory Data | All | Number of providers satisfied with level/quality of support, advice and guidance from HESA | % | Annually | | 96% | | <90% | 90%-95% | >95% | Green |
| Dissemination of Statutory Data | All | Number of provider errors found in delivered data that require changes to quality procedures to ensure they are captured in future, where these changes should have been identified by HESA (excluding where these are specifically regarding data policy). | # | Annually | | 5 | | >=4 | 3 | <=2 | Red |
| Dissemination of Statutory Data | All | Number of processing errors, including derived fields, within any data deliveries, excluding deliveries explicitly marked as test | # | Annually | | 12 | | >=4 | 3 | <=2 | Red |
| Collection of Statutory Data | Graduate Outcomes | Performance relative to published target response rates for Graduate Outcomes - UK domiciled, full time. | % | Annually | 60% | 52.3% | | <55% | 55% - 59% | >=60% | Red |
| Collection of Statutory Data | Graduate Outcomes | Performance relative to published target response rates for Graduate Outcomes - UK domiciled, part time. | % | Annually | 60% | 47.7% | | <55% | 55% - 59% | >=60% | Red |
| Collection of Statutory Data | Graduate Outcomes | Performance relative to published target response rates for Graduate Outcomes - research funded. | % | Annually | 65% | 58.0% | | <60% | 60% - 64% | >=65% | Red |
| Collection of Statutory Data | Graduate Outcomes | Performance relative to published target response rates for Graduate Outcomes - EU domiciled | % | Annually | 45% | 46.1% | | <40% | 40% - 44% | >=45% | Green |
| Collection of Statutory Data | Graduate Outcomes | Performance relative to published target response rates for Graduate Outcomes - non-EU domiciled | % | Annually | 25% | 29.4% | | <20% | 20% - 24% | >=25% | Green |
| Dissemination of Statutory Data | All | Average time from collection close to final accepted delivery. | # | Annually | | 17 | | <-10 | -10 | >=-9 | Red |

| | | | | | | | | | | | |
|---------------------------------|-------------------|---|------|----------|------------|------------|-----|------|---------|-------|-------|
| Dissemination of Statutory Data | All | Longest time from collection close to final accepted delivery. | # | Annually | | | | | | | |
| | | Student - C18051 | Date | Annually | 07/11/2019 | 27/11/2019 | -14 | <-15 | -15 | >=-14 | Green |
| | | AP Student - C18054 | Date | Annually | 26/11/2019 | 05/12/2019 | -7 | <-15 | -15 | >=-14 | Green |
| | | AOR - C18052 | Date | Annually | 12/11/2019 | 22/11/2019 | -8 | <-15 | -15 | >=-14 | Green |
| | | Staff - C18025 | Date | Annually | 05/11/2019 | 22/11/2019 | -13 | <-15 | -15 | >=-14 | Green |
| | | HE-BCI - C18032 | Date | Annually | 28/01/2020 | 04/02/2020 | -7 | <-15 | -15 | >=-14 | Green |
| | | Graduate Outcomes - C17072 | Date | Annually | 04/02/2020 | 31/03/2020 | -31 | <-15 | -15 | >=-14 | Red |
| | | UK Finance - C18035 | Date | Annually | 31/01/2020 | 30/03/2020 | -41 | <-15 | -15 | >=-14 | Red |
| | | Estates - C18042 | Date | Annually | 16/04/2020 | 27/05/2020 | -29 | <-15 | -15 | >=-14 | Red |
| | | Provider Profile- C19041 | Date | Annually | 15/07/2020 | 22/07/2020 | -4 | <-15 | -15 | >=-14 | Green |
| Dissemination of Statutory Data | All | Number of data deliveries that are not in a form that makes ingestion easy | # | Annually | | 0 | | >2 | 2 | <=1 | Green |
| Dissemination of Statutory Data | All | Number of issues in final data identified by the OfS which were not reported to the OfS within 2 weeks of HESA identifying | # | Annually | | 0 | | >4 | 4 | <=3 | Green |
| Dissemination of Statutory Data | All | Number of (high impact) data issues identified in data deliveries. | # | Annually | | 1 | | >2 | 2 | <=1 | Green |
| Dissemination of Statutory Data | All | Number of processing or calculation errors in publications | # | Annually | | 2 | | >1 | 1 | <0 | Red |
| Publication of Statutory Data | Student | Statutory publications released as per dates in Schedule 7 - HE student statistics (UK) – all Providers except Alternative Providers | Date | Annually | 17/01/2020 | 16/01/2020 | 1 | <-2 | <0 >=-2 | >=0 | Green |
| Publication of Statutory Data | AP Student | Statutory publications released as per dates in Schedule 7 - HE student statistics (UK) – Alternative Providers Supplement | Date | Annually | 31/01/2020 | 29/01/2020 | 2 | >-2 | <0 >=-2 | >=0 | Green |
| Publication of Statutory Data | Student | Statutory publications released as per dates in Schedule 7 - HE student statistics (UK) - full open data release – All Providers | Date | Annually | 06/02/2020 | 05/02/2020 | 1 | >-2 | <0 >=-2 | >=0 | Green |
| Publication of Statutory Data | Graduate Outcomes | Statutory publications released as per dates in Schedule 7 - Graduate Outcomes statistics (UK) | Date | Annually | 20/03/2020 | 18/06/2020 | -90 | >-2 | <0 >=-2 | >=0 | Red |
| Publication of Statutory Data | Graduate Outcomes | Statutory publications released as per dates in Schedule 7 - Graduate Outcomes full open data release | Date | Annually | 10/04/2020 | 09/07/2020 | -90 | >-2 | <0 >=-2 | >=0 | Red |
| Publication of Statutory Data | Staff | Statutory publications released as per dates in Schedule 7 - HE staff statistics (UK) | Date | Annually | 24/01/2020 | 23/01/2020 | 1 | >-2 | <0 >=-2 | >=0 | Green |

| | | | | | | | | | | | |
|-------------------------------|----------|---|------|----------|------------|------------|---|-----|---------|-----|-------|
| Publication of Statutory Data | Staff | Statutory publications released as per dates in Schedule 7 - HE staff full open data release | Date | Annually | 28/02/2020 | 27/02/2020 | 1 | >-2 | <0 >=-2 | >=0 | Green |
| Publication of Statutory Data | UKPIs | Statutory publications released as per dates in Schedule 7 - UKPIs tranche 1: widening participation | Date | Annually | 14/02/2020 | 13/02/2020 | 1 | >-2 | <0 >=-2 | >=0 | Green |
| Publication of Statutory Data | UKPIs | Statutory publications released as per dates in Schedule 7 - UKPIs tranche 2: non-continuation | Date | Annually | 28/02/2020 | 27/02/2020 | 1 | >-2 | <0 >=-2 | >=0 | Green |
| Publication of Statutory Data | UKPIs | Statutory publications released as per dates in Schedule 7 - UKPIs tranche 3: employment indicators | Date | Annually | | | | >-2 | <0 >=-2 | >=0 | Blue |
| Publication of Statutory Data | HE-BCI | Statutory publications released as per dates in Schedule 7 - HE provider data: HE Business and Community Interaction survey | Date | Annually | 10/04/2020 | 03/04/2020 | 7 | >-2 | <0 >=-2 | >=0 | Green |
| Publication of Statutory Data | Unistats | Statutory publications released as per dates in Schedule 7 - release 2, Includes NSS and DLHE/GO data. | Date | Annually | 10/07/2019 | 10/07/2019 | 0 | >-2 | <0 >=-2 | >=0 | Green |
| Publication of Statutory Data | Unistats | Statutory publications released as per dates in Schedule 7 - First Official Statistics release of Unistats data, which feeds into the website publication. | Date | Annually | 11/09/2019 | 11/09/2019 | 0 | >-2 | <0 >=-2 | >=0 | Green |
| Publication of Statutory Data | Unistats | Statutory publications released as per dates in Schedule 7 - Discover Uni website live | Date | Annually | 12/09/2019 | 10/09/2019 | 2 | >-2 | <0 >=-2 | >=0 | Green |
| Publication of Statutory Data | All | Number of statutory publications not meeting reasonable user needs as a proportion of all user feedback representing reasonable needs, measured through feedback links within each publication. | # | Annually | | | | TBA | TBA | TBA | |
| Publication of Statutory Data | All | Number of breaches of the Code of Practice for Statistics | # | Annually | | 2 | | >=2 | 1 | 0 | Red |

GLOSSARY

| | |
|--|--|
| A | |
| Aggregate Offshore Record (AOR) | Record of students studying (to date) wholly outside the UK who are either registered with a reporting provider or who are studying for an award of the reporting provider. It is a headcount rather than collection of individualised data. |
| Alternative Provider (APs) | Higher education providers who do not receive recurrent funding from the OfS or other public bodies and who are not further education colleges. Once they have completed the designation process, they are required to submit data to HESA. The Designation process means eligible students can access loans and grants from the Student Loans Company on specific designated courses. |
| B | |
| BCI | Business Change Ideas |
| C | |
| C18051 | HESA collections identifier. 'C' relates to the cohort, '18' to the year |
| Code of Practice for Statistics | The Code of Practice for statistics require that Organisations publishing Official Statistics should look after people's information securely and manage data in ways that are consistent with relevant legislation and service the public good |
| Cohort (Graduate Outcomes) | <p>Graduates are split across the year into 4 cohorts and this will regulate when they are surveyed. The survey is run 4 times a year to distribute the workload and capture data around 15 months post-graduation</p> <p>The cohorts are December – February, March – May, June – August and September – November</p> |
| D | |
| Data Futures | The Data Futures Programme |
| DDB | Designated Data Body |
| Destinations of Leavers from Higher Education (DLHE) | The predecessor survey to Graduate Outcomes |
| DPA | Data Protection Act 2018 |
| E | |
| ESFA | Education and Skills Funding Agency |
| Estates Management Record (Estates or EMR) | Provides data on property information, energy, emissions and waste and transport and environment, finances and people |
| Experimental Statistics | Term uses to describe newly developed or innovative statistics. Experimental statistics are published so that users and stakeholders can be involved in the assessment of their suitability and quality at an early stage |
| F | |
| FOI | Freedom of Information Act 2000 |
| G | |
| GDPR | General Data Protection Regulations |
| Graduate Outcomes survey | Annual social survey, capturing the perspectives and current status of recent graduates |
| H | |
| HE – Business Community Interaction survey (HE-BCI) | Measures the volume and direction of interactions between UK HE providers and business and the wider community |

| | |
|-----------------------------|--|
| HEAPES | Survey previously collected by OfS |
| HDP | HESA Data Platform |
| HEP | Higher Education Provider |
| HERA | Higher Education Research Act 2017. An Act of Parliament to make provision about higher education and research in England; and to make provision about alternative payments to students in higher or further education |
| HESA | Higher Education Statistics Agency Limited, the Designated Data Body for England. |
| I | |
| ICO | Information Commissioner's Office |
| IDS | Identity System. Allows users to have a single account to access HESA's systems, databases and portals. |
| IFF | IFF Research – provider of insight and evaluation surveys to public and private sector clients |
| Infobip | Global cloud communications platform |
| ISO27001:2013 certification | British Assessment Bureau Information Security Management accreditation |
| IMS | Issue Management System |
| J | |
| Jisc | A provider of services and support to universities, colleges, schools, research institutes, delivering digital advantage, financial savings and efficiencies for members. |
| K | |
| KPI | Key Performance Indicators (Indicators used for reporting and governance arrangements) |
| L | |
| LEO data | The Longitudinal Education Outcomes dataset of education records joined to tax and benefits data. |
| Longitudinal data | Longitudinal data, sometimes referred to as panel data, track the same sample at different points in time |
| Liaison team | Team within HESA to have direct contact and support the providers with submissions and queries |
| M | - |
| N | |
| NCOP | National Collaborative Outreach Programme – a partnership programme that connects universities with local schools |
| National Statistics | Term used to describe statistics assessed by the Office for Statistics Regulation as fully compliant with the Code of Practice for Statistics. |
| Non-Statutory Collections | Optional collections which are not statutory or regulatory requirements although we recommend. |
| NSS | National Student Survey, gathers students' opinions on the quality of their courses |
| O | |
| Oblong | Oblong (UK) Ltd |
| OFFA | Office for Fair Access |
| OfS | Office for Students |
| Official Statistics | Term used to describe statistics produced by an organisation named by the Statistics and Registration Service Act 2007 or under secondary legislation. |
| Open Data | Statistics and data published by HESA and made freely available to all under an open data licence |
| OSR | Office for Statistics Regulation |

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| P | |
| Performance Indicator (PI) | Statistics which compare universities and colleges against benchmarks for widening participation, non-continuation, and graduate outcomes. |
| Personal Data | Personal data is information that relates to an identified or identifiable individual |
| Provider | Higher Education Institution or organisation who required to submit data to HESA. The Designation process means eligible students can access loans and grants from the Student Loans Company on specific designated courses. |
| Provider Forum | HESA & representatives of HE Sector groups facilitating knowledge exchange to develop services and products to meet the combined need of the higher education sector. Including platform for discussion and feedback with relevant sector bodies on HESA activities. |
| Provider Profile Record | Made up of two key pieces of information, the campuses and academic HESA cost centres of HEPs |
| Q | - |
| R | |
| Reporting providers | All UK publicly funded higher education providers |
| S | |
| SIC code | Standard Industrial Classification, used to classify industries by the type of activity they do |
| SOC code | Standard Occupational Classification. Further information on SOC2010 is available on the ONS website |
| Staff Record | Details of staff employed in the UK, who possess one or more contracts of employment with the HEP and/or for whom the HEP is liable to pay Class 1 National Insurance contributions. Note .staff are excluded from the coverage of the record. |
| Statutory Customers | Public Authorities who require HESA to carry out their statutory and/or public functions or HESA's customers enabled by statute to direct or require data collection from providers from time to time |
| Statutory collections | Collections that are mandatory and a statutory and regulatory requirement to submit data to. |
| Student | Higher education students for the purposes of HESA's data collection are those students on courses for which the level of instruction is above that of level 3 of the Office of Qualifications and examinations Regulation (Ofqual) Qualifications and Credit Framework. |
| Student Alternative Record | Details of students from providers registered with the OfS who do not submit to the HESA Student record return or ESFA Individualised Learner (ILR) |
| Student Record | Details of all students registered at a reporting provider who follow courses that lead to the award of a qualification or provider credit |
| T | |
| TEF | Teaching Excellence Framework |
| U | |
| UCAS | The Universities and Colleges Admission Service. |
| UK Performance Indicators (UKPIs) | Statistics which compare universities and colleges against benchmarks for widening participation, non-continuation, and graduate outcomes. |
| UKRI | UK Research and Innovation |

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| Unistats Record | Collection of data on full and part-time undergraduate courses which are open to entrants in the next academic year joined with other datasets, such as National Student Survey and Graduate Outcomes to generate a range of course information. |
| V | - |
| W | |
| Weighting | used in the publication of survey results where a sample may not be representative |
| X | |
| XPSR01 | Standard Registration Population. The HESA standard registration population is derived from the HESA Student or AP student records and ensures that similar activity is counted in a similar way irrespective of when it occurs |
| Y | - |
| Z | - |



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