

Office for
Students



Monitoring of capital funding allocated in the financial year 2021-22

Guidance for higher education providers

Reference OfS 2022.10

Enquiries to capitalgrant@officeforstudents.org.uk

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This document is relevant to all higher education providers that either:

- a. received formula capital funding in the financial year 2021-22.
- b. submitted a successful bid for capital funding in the financial year 2021-22.

The data collected will provide us with assurance that the funding has been used for the purposes given.

Capital grants are paid on a financial year basis (1 April to 31 March) and therefore grants for 2021-22 must be used in full by 31 March 2022. We will recover funding that is not used within the 2021-22 financial year for the purposes intended.

Action: Higher education providers should upload returns to the OfS portal. Providers should note the following timelines:

- The teaching capital funding monitoring return for completion will be available to download from the OfS portal on Thursday 10 February 2022
- The completed return is uploaded to the OfS portal by **Friday 8 April 2022**.

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Introduction

1. The Office for Students' (OfS's) capital funding supports sustainable investment in higher education learning and teaching. We require all higher education providers in receipt of capital funding in financial year 2021-22 to submit a monitoring return on their expenditure. This information is required as noted in 'Capital funding for financial year 2021-22: Allocations and invitation to bid' (OfS 2021.27)¹, together with the 'Terms and conditions of funding for 2021-22' (2021.30).²
2. In January 2021, the Secretary of State for Education issued a guidance letter, which announced capital funding of £150 million for the financial year 2021-22.³ The guidance letter set certain expectations around the distribution of capital funding, requiring that capital funding allocations should take place through a competitive bidding exercise to support specified priorities.
3. Following consultation, we published our new approach for distribution of capital funding in OfS 2021.27. We distributed capital funding for eligible providers through two mechanisms: firstly, we announced a small formula allocation to all eligible providers, totalling £7.4 million; secondly, the majority of capital funding would be allocated in response to bids in a competitive exercise.
4. This guidance sets out the monitoring information required from providers that:
 - received formula capital funding in the financial year 2021-22.
 - submitted a successful bid for capital funding in the financial year 2021-22.
5. Each provider completing the capital funding monitoring return must have its return approved by its accountable officer. The information provided will give assurance that the funding has been used for the purposes given in compliance with the terms and conditions.
6. Capital grants are paid on a financial year basis (1 April to 31 March) and therefore grants for 2021-22 must be used in full by 31 March 2022. We will recover funding that is not used within the 2021-22 financial year for the purposes intended.
7. 'Capital funding' and 'capital grant' mean funding allocated in respect of capital expenditure incurred by the provider. Capital expenditure means money used to acquire or maintain fixed assets, such as land, buildings and equipment, that is normally capitalised in the provider's audited annual accounts. It does not include expenditure on rent or hiring or leasing of equipment and facilities. In describing money being 'spent' or 'used' (by 31 March 2022), we are using the two words synonymously (see paragraph 15).

¹ See www.officeforstudents.org.uk/publications/capital-funding-for-financial-year-2021-22-allocations-and-invitation-to-bid/.

² See www.officeforstudents.org.uk/publications/terms-and-conditions-of-funding-for-2021-22/.

³ See www.officeforstudents.org.uk/advice-and-guidance/regulation/guidance-from-government/.

Capital funding allocations for 2021-22

8. The OfS formula capital grants for financial year 2021-21 were first published in July 2021, in 'Capital funding for financial year 2021-22: Allocations and invitation to bid' (OfS 2021.27). The publication summarised our formula allocations to OfS-funded providers in the Approved (fee cap) category and, together with the 'Terms and conditions of funding for 2021-22' (2021.30), set out requirements on the use of capital grants.
9. Formula capital allocations have been capped at £30,000. The cap of £30,000 broadly reflects what a provider with typically (depending on subject mix) a little over 300 full-time equivalent student numbers (FTEs) would receive if all capital funding was distributed by formula. As in previous years, we have not provided a formula capital grant if a provider's allocation through the formula would be less than £10,000.
10. OfS 2021.27 also set out our approach to a bidding exercise for capital funding for financial year 2021-22 and we reported the outcome of that competition in 'Capital funding announcement for financial year 2021-22' (OfS 2021.59).⁴ In summary, we are supporting bids from 100 providers, with the allocation for any individual provider capped at £2 million. The total distributed through the bidding process is £128 million. The Annex to OfS 2021.59 summarises the financial year 2021-22 allocations for each provider of both formula and competitive bid funding for capital.

Monitoring of capital funding for 2021-22

11. Paragraphs 43 to 49 of OfS 2021.30 set out the terms and conditions that apply to capital funding for 2021-22. They set out the purposes for which OfS capital funding can be used and state that:
 - a. Capital funding is provided on a financial year basis and must be used for the purposes intended. The OfS is not permitted to make payments to providers in advance of need and thus providers must use capital grants in full by the end of the financial year for which they are provided. OfS funding must not be used for advance payments to contractors, or other financing arrangements (such as bonds) where payments precede production of goods or delivery of services.
 - b. All providers that are in receipt of OfS capital funding for financial year 2021-22 will be required to report on their use of that funding after the end of the year and those reports may be subject to audit. If the OfS is not satisfied that a provider has used the funds in accordance with the requirements in paragraphs 43 to 48 [of OfS 2021.30], or as notified separately, it will reclaim some or all of the funding provided.
12. This document sets out the reporting requirements on providers through which we will seek assurance that capital funding has been used for the purposes intended. It also provides guidance on how we will use the monitoring returns to inform decisions on the recovery of any sums which providers do not confirm have been used by 31 March 2022 in accordance with the terms and conditions.
13. Annexes A and B set out the detailed requirements for our monitoring of capital funding for

⁴ See www.officeforstudents.org.uk/publications/capital-funding-announcement-2021-22/.

2021-22; Annex C provides guidance on accessing the monitoring report template on the OfS portal.

14. The monitoring form requires a breakdown, separately for formula and bid funding, between:
 - money spent by 31 March 2022 (see paragraph 15)
 - money not spent by 31 March 2022.
15. Money spent by 31 March 2022 includes contractually committed expenditure that is clearly identified as such, as at 31 March 2022 – that is, in accounting terms, you would expect to be able to accrue for this expenditure to reflect the point at which the contractual commitment was made.
16. The OfS expects providers to have spent their capital funding for 2021-22 by 31 March 2022 for the purposes given. We will use the capital funding monitoring return submitted, and approved by the provider's accountable officer, as full confirmation of spend.

Capital funding not spent, and appeals process

17. **If providers are unable to spend their allocation by 31 March 2022, we intend to recover the funding. Providers at risk of being in this position should contact us as a matter of urgency to discuss this further.**
18. We acknowledge that sometimes delays to expenditure can occur in exceptional circumstances. We therefore include free text commentary boxes (Tables F3 and B3) within the monitoring return for providers to explain why capital funding has not been spent within the timeframe. We will use this narrative information in the monitoring form as the provider's appeal to be allowed to retain any unspent funds. These commentaries should set out:
 - a. The particular circumstances that have affected the provider and its capital expenditure, including details of the intended use of unspent funding and why this did not happen by 31 March 2022, and the implications of this on the timetable and financing for capital projects in subsequent years.
 - b. The actions the provider has taken to minimise any such sums remaining unspent at 31 March 2022.
 - c. Any other information relating to the sum involved that the provider wishes to include in support of its appeal. For activity where you have recorded less progress than anticipated, for example where it may have been influenced by external factors such as the coronavirus pandemic or planning constraints, please set your progress in some context.
 - d. The action the provider would like the OfS to take regarding the proposed recovery of unspent capital funding for financial year 2021-22.
19. We recognise that providers may have been affected for a variety of reasons by delays from suppliers. However, we do not generally see these as a reason for providers being unable to make the contractual commits needed to account for the expenditure of OfS funding by 31 March 2022, reflecting the guidance in paragraph 15. We are mindful too of the assurances given by providers awarded capital funding through the bidding competition that they would be able to use the funding in full within this financial year. For these reasons, we expect that any successful appeals will be by exception. We will consider each case on its merits.

20. On 6 May 2020, we issued 'Implications of the coronavirus (COVID-19) pandemic for OfS funding'.⁵ Annex B stated:

- 'We will also take account of how the exceptional circumstances arising from the pandemic have affected providers' ability to comply with terms and conditions of grant, before determining any further action we may take.'

21. In considering any appeals, we expect that, notwithstanding the ongoing pandemic, almost all providers should have been able to use their OfS capital funding in full. Therefore, an appeal will need to provide a convincing explanation of particular, exceptional circumstances that meant that, despite its best efforts to do so (which should be specified in the narrative), the provider was not able to spend the total allocation by 31 March 2022.

22. In the absence of a satisfactory explanation for delays to expenditure we will recover in full any unspent capital funding provided by the OfS in financial year 2021-22.

23. We will use the narrative commentary provided in the relevant sections of the monitoring return as the appeal against recovery of funds. Please ensure the narrative is clear and addresses the points detailed in this guidance document. You do not need to provide additional information, or a separate appeal. If you are unsure, please contact us before the 8 April 2022 deadline at: capitalgrant@officeforstudents.org.uk.

Submission date for capital funding monitoring return

24. Providers should note the following timelines:

- a. The capital funding monitoring return, for completion by providers, will be available to download from the OfS portal from **Thursday 10 February 2022**.
- b. Providers must ensure that the completed capital funding monitoring return is uploaded to the OfS portal by **Friday 8 April 2022**.

⁵ See www.officeforstudents.org.uk/publications/implications-of-the-coronavirus-pandemic-for-ofs-funding/.

Annex A: The capital funding monitoring process

Completing your monitoring return

1. The capital funding monitoring return workbook is a Microsoft Excel (.xlsx) file that will be available to download from the 'Capital funding monitoring 2021-22' section of the OfS portal (<https://extranet.officeforstudents.org.uk/data>). Please note that before you can access the workbook, the OfS portal user administrator at your provider will need to grant you access. Annex C provides further information on how to use the portal and the role of the user administrator.
2. Within the monitoring return workbook, the 'Formula allocation' worksheet is only displayed for providers that received a formula allocation. Similarly, the 'Bidding competition allocation' worksheet is only displayed for providers that submitted a successful bid for capital funding.
3. The tables contain two different cell types:
 - **white cells**, where we require data to be entered where appropriate to your provider.
 - **blue cells**, which have been either pre-populated with data from another source, or pre-filled by an underlying calculation.
4. When completing the workbook, you may see automatic validation errors, highlighting where data is not feasible; for example, where a negative number has been entered in a column. Validation errors must be corrected before the workbook is submitted.

Submitting your monitoring return

5. When you are satisfied that the data is complete and credible, you have until **Friday 8 April 2022** to upload the workbook to the OfS portal. Please note that the portal usually sees heavy traffic on deadline days, which can cause the upload process to take longer than usual. You can submit the workbook to us before this date, and it is possible to submit the workbook multiple times, though we will keep and use only the most recently uploaded version.
6. The workbook includes a validation check for the sign-off sheet. We do not require hard copy signatures; rather, we use the sheet to confirm that the submitted information has been reviewed and approved by your accountable officer. The sign-off sheet will be pre-populated with the name of the accountable officer to ensure it is they who are completing the approval of the capital funding monitoring return.
7. After the capital monitoring workbook has been successfully uploaded to the portal, you will be able to download a results package. This contains the latest processed copy of your workbook.
8. You should keep an adequate audit trail for the compilation of your data return for at least five years. It should be possible to provide a clear rationale for the figures, and to supply any data used to support your return.

Action required

9. The capital funding monitoring return workbook is a Microsoft Excel (.xlsx) file that will be available to download from the 'Capital funding monitoring 2021-22' section of the OfS portal (<https://extranet.officeforstudents.org.uk/data>), from **Thursday 10 February 2022**.
10. Providers must ensure that the completed return is uploaded to the OfS portal by **Friday 8 April 2022**. Final data must be approved by the provider's accountable officer.

How the information will be used

11. We will use the information gathered through the monitoring process to assess whether providers have met the requirements relating to capital funding set out in 'Terms and conditions of funding for 2021-22' (OfS 2021.30) and to determine any recovery of funding that has not been used for the purposes intended by 31 March 2022.⁶

How the Freedom of Information Act affects monitoring returns

12. The OfS is subject to the Freedom of Information Act 2000, data protection legislation and the Environmental Information Regulations 2004. If we receive a request for information related to the capital funding monitoring, we will ensure any information that is exempt is protected. We will consult with you as appropriate. Further information on the Freedom of Information Act is available at <http://www.ico.org.uk/>.

⁶ See www.officeforstudents.org.uk/publications/terms-and-conditions-of-funding-for-2021-22/.

Annex B: Table-by-table guide to completing your monitoring return

Cover sheet

1. Your provider's capital allocation paid in the financial year 1 April 2021 to 31 March 2022 is shown. This sum includes, as appropriate:
 - your provider's OfS formula capital grant for financial year 2021-22.
 - your provider's capital funding from the bidding competition for the financial year 2021-22.
2. Any workbook validation errors are listed on the cover sheet.

Assurance over formula capital funding for financial year 2021-22

3. The 'Formula allocation' worksheet is displayed only for providers that have a formula capital allocation. The OfS formula capital grants for financial year 2021-21 are published in 'Capital funding announcement for financial year 2021-22 (OfS 2021.59).'⁷

Table F1. OfS formula capital funding total expenditure

4. Your provider's formula capital allocation in the financial year 2021-22 will be pre-filled.
5. You must complete OfS formula capital funding spent by 31 March 2022. This should include contractually committed expenditure that is clearly identified as such, as at 31 March 2022 – that is, in accounting terms, you would expect to be able to accrue for this expenditure to reflect the point at which the contractual commitment was made.
6. We understand that the OfS formula capital grant will be only a small proportion of your provider's total capital expenditure. However, the expenditure you report in Table F1 should only relate to that incurred in the period from 1 April 2021 to 31 March 2022 that was met from OfS formula capital funding. Record your provider's expenditure to the nearest pound sterling (£).
7. Please account for all monies allocated to your provider in your formula capital grant. Should a planned project come in 'under budget', please account for the remaining funding on other eligible capital projects. We look to providers to adopt a pragmatic approach, whereby projects primarily focus on higher education.
8. The OfS formula capital funding not spent by 31 March 2022 is automatically calculated based on the data entered into Table F1, and will be pre-filled.

Table F2. Confirmation of funding usage

9. Table F2 collects information on how your OfS capital allocation for 2021-22 was spent. Record your provider's expenditure using 'Yes / No' against the three categories provided. You should include all that apply. This will enable the OfS to collect consistent information across the

⁷ See www.officeforstudents.org.uk/publications/capital-funding-announcement-2021-22/.

sector to assess funding usage. The three priority categories of 'relevant expenditure' are those specified in paragraph 44b. of 'Terms and conditions of funding for 2021-22' (OfS 2021.30)⁸:

- a. Category 1: High-cost subjects of strategic importance. These are subjects in price groups A and B, and computing and IT, nursing and archaeology within price group C1. These subjects include laboratory-based subjects in science, technology and engineering, and healthcare disciplines in medicine, dentistry, nursing, midwifery and allied health professions, veterinary science and archaeology.
 - b. Category 2: Enhancement of graduate employability and skills needs of employers and industry and therefore local and regional economies, in particular in supporting technical provision at Levels 4 and 5.
 - c. Category 3: Part-time and other forms of flexible provision.
10. While many providers will have undertaken activity covering more than one of the categories, we understand that some, particularly providers receiving smaller allocations, may carry out work that falls under a single category.
11. Submit a short commentary on the expenditure activity as free text in the Table F2 text box. We encourage providers to submit a concise response and have set a guide of up to 500 words. We are keen to understand the impact of formula capital financial support programmes, and the information provided in this table will be used to inform our understanding of a provider's use of OfS capital funding, and why it is required.
12. We encourage the inclusion in your commentary of information that will give us a good understanding about how capital funding has been prioritised and achieved value for money. For example, this may include information about:
- a. Subject groups or broad programme areas that will be the main beneficiaries of the capital funding, such as medicine, dentistry and other healthcare disciplines, STEM, performing or creative arts, other subject groups, or other categories of teaching or shared use space.
 - b. How the expenditure contributes to reducing carbon emissions and environmental sustainability.
 - c. Additional value through collaborative partnerships with other providers, industry, charities or other organisations.
 - d. Benefits to local economies, and communities.
 - e. The impact of the capital funding in combining with and leveraging other sources of finance (whether through grants or loans), and the impact this has had on your ability to deliver capital projects.

⁸ See www.officeforstudents.org.uk/publications/terms-and-conditions-of-funding-for-2021-22/.

Table F3. Funding not spent commentary

13. OfS formula capital funding is to be fully spent by 31 March 2022 (see paragraph 5 of this Annex). The OfS formula capital funding that is not spent is automatically calculated based on the data entered into Table F1.
14. Provide a commentary to explain why formula funding has not been used. We will use the narrative information in your monitoring form as the appeal against the recovery of any funding not spent. You should refer to the section in the main part of this document headed: '**Capital funding not spent, and appeals process**' (see paragraphs 17 to 23). We encourage providers to submit a concise response and have set a guide of up to 1,000 words.

Assurance over bidding competition allocation for financial year 2021-22

15. The 'Bidding competition allocation' worksheet is only displayed for providers that submitted a successful bid for capital funding.
16. Capital grants awarded for 2021-22 through a bidding competition must be used:
 - on expenditure items included in the provider's successful bid.
 - in accordance with any other terms and conditions that we specified when we awarded the grant.

Table B1. OfS bidding competition capital funding total expenditure

17. Your provider's OfS bidding competition capital grant for 2021-22 will be pre-filled. This is the sum awarded as announced in the OfS capital funding competition outcome letters of 29 October 2021.
18. The offer of bidding competition capital grant was subject to your accountable officer confirming acceptance by 12 November 2021. In signing the declaration of acceptance, your accountable officer also confirmed that the provider would meet the terms and conditions that apply to this funding, and deliver the project(s) detailed in the successful bid.
19. You must complete OfS bidding competition capital funding spent by 31 March 2022. This should include contractually committed expenditure that is clearly identified as such, as at 31 March 2022 – that is, in accounting terms, you would expect to be able to accrue for this expenditure to reflect the point at which the contractual commitment was made.
20. We understand that the OfS bidding competition capital may be only a proportion of your provider's total capital expenditure on a defined project. The expenditure you report in Table B1 should relate to that incurred in the period from 1 April 2021 to 31 March 2022 that was met from OfS bidding competition capital funding. Record your provider's expenditure to the nearest pound sterling (£).
21. Please account for all monies allocated to your provider in your bidding competition capital grant. Do not include your provider's formula capital allocation here – formula capital grant expenditure should be recorded on the 'Formula allocation' worksheet.

22. The OfS bidding competition capital funding not spent by 31 March 2022 is automatically calculated based on the data entered into Table B1, and will be pre-filled.

Table B2. Confirmation of expected funding usage

23. Table B2 collects information on how your OfS bidding competition capital allocation was spent.

24. A commentary on the expenditure activity must be added as free text to confirm that the funding awarded was used for the purposes described in your provider's bid for capital funding. We encourage providers to submit a concise response and have set a guide of up to 500 words.

25. Please include information that will give us a good understanding of how capital funding has been used for the purposes intended and achieved value for money. You should make clear reference to the project(s) and activities described in your provider's bid.

26. Providers should include a brief summary of the items of expenditure and how these relate to those included in their bid. We recognise that the level of capital funding that the OfS awarded was below that sought by some providers in their bids. In such circumstances, we do not expect the monitoring return to capture all the capital expenditure that a provider included in its bid.

Table B3. Funding not spent commentary

27. OfS bidding competition capital funding is to be fully spent by 31 March 2022 (see paragraph 19). The OfS bidding competition capital funding that is not spent is automatically calculated based on the data entered into Table B1.

28. Provide a commentary to explain why OfS bidding competition funding has not been used. We will use the narrative information in your monitoring form as the appeal against the recovery of any funding not spent. You should refer to the section in the main part of this document headed: '**Capital funding not spent, and appeals process**' (see paragraphs 17 to 23). We encourage providers to submit a concise response and have set a guide of up to 1,000 words.

Sign-off sheet

29. The capital funding monitoring return 2021-22 must be authorised by the accountable officer of the provider. The monitoring return sign-off sheet provides assurance over the information submitted for all capital funding in financial year 2021-22, including both formula and bidding competition capital funding.

30. Confirm the details of the accountable officer (see Annex A, paragraphs 5 to 8); we do not require a hard-copy signature. In order to gain assurance that the accountable officer has confirmed that the information provided is correct, we ask that the table on this sign-off sheet be completed in full, including details of the accountable officer which will be reconciled with our records. It is also important that the box 'Return has been checked by the accountable officer' is completed to confirm agreement and that a date is provided for audit purposes. If we need to clarify any of the information returned to us, we will contact the accountable officer in the first instance.

31. The monitoring form includes validation checks. Please check your form carefully and complete the fields on the 'Sign-off' sheet before uploading it. You will still be able to upload your workbook if it is invalid, **but we will not accept it as a submission.**

Validation sheet

32. Validation checks are shown on the validation sheet with explanatory text on any validation errors. Validation errors must be corrected before your monitoring return is accepted as a submission by the OfS.

Annex C: The OfS portal for capital funding monitoring 2021-22

Assigning yourself to the 'Capital funding monitoring for the financial year 2021-22' survey area

1. You will need to be a registered user of the OfS portal to be assigned to the capital funding monitoring 2021-22 survey area, from which you will download your Excel workbook as a single zipped file.
2. If you have not registered on the OfS portal before, you will need to ask the nominated OfS portal user administrator at your provider to create an account for you. Each person who requires access to the capital funding monitoring 2021-22 workbook will need to be registered with their own account. You will need to be assigned to the capital funding monitoring 2021-22 survey area by the nominated OfS portal user administrator at your provider. The user administrator can find guidance on how to add portal users to portal areas on the main portal login page. If you are the user administrator, you will still need to assign yourself to the capital funding monitoring 2021-22 survey area.
3. If you do not know who your user administrator is, you can view the user administrators at your provider by logging onto the OfS portal. Select 'My account' towards the right-hand side of the yellow banner, and then click 'Activate an access key'. The names and contact details of the user administrators at your provider will be at the top of the page. If you are not registered and do not know who your user administrator is, please contact portal@officeforstudents.org.uk.

Common issues with accessing the portal

I cannot log in to the OfS portal

4. If you receive an error message while trying to log in, you may be entering the wrong email address or password, or your account may be locked. Ensure that the email address you are using is correct, and then request a new password. You will be sent a new password, which you will be asked to change when you log in. You can also ask your user administrator to reset your password.
5. If this new password does not grant you access, it is likely that your account is locked. Contact your user administrator, who can unlock your account for you. It is advisable that you also request a password change at the same time. If you or your user administrator have any problems, please contact portal@officeforstudents.org.uk.

The capital funding monitoring 2021-22 survey area has not appeared on my login page even after I have been assigned to it

6. Once you have been assigned to a survey, you may need to log out and then log back into the portal for the survey to appear under 'Home'.

Downloading your capital funding monitoring 2021-22 workbook

7. Once you have been assigned to the capital funding monitoring 2021-22 survey area, log in to the OfS portal and you will see a link for the capital funding monitoring 2021-22 area under the 'Home' section. This link will take you to the page to download and upload the capital funding monitoring workbook.
8. To download the workbook, click on the 'Download' button. You will receive a zipped file, which will contain your Excel document. You may need to unzip the file before accessing the workbook. You may also need to click on 'Enable editing' on the yellow banner if it appears on your screen when you open your workbook. You can download this empty workbook as many times as required.
9. Save the workbook to a memorable location on your computer. If there are any issues with downloading your workbook, please contact portal@officeforstudents.org.uk.

Completing your workbook

10. The data return form is provided as an Excel workbook with the file extension '.xlsx'. You should not attempt to alter the format of the worksheets by adding or deleting columns or rows. Only cells where data or text are required should be edited. The workbook is protected to ensure that the data submitted is accurate and is only entered into the relevant cells. Worksheets contain information critical to accurate loading of the data; it is essential that this is preserved. We will refuse to accept any workbooks that have been unprotected or tampered with.
11. We recommend that you do not copy and paste data into your workbook, as this can cause formatting issues. If you wish to copy and paste data, ensure that you use the 'Paste values' option instead. This will not copy the formatting of the data you are pasting and will preserve the formatting of the workbook.

Uploading your workbook

12. Once you have completed the workbook, you will need to submit the workbook to the capital funding monitoring 2021-22 survey area on the OfS portal. You should ensure that:

- your workbook has not been saved so that zero values are displayed as blanks
- links to other spreadsheets are removed
- only one worksheet is selected when the completed workbook is uploaded
- the workbook is not zipped.

Otherwise the workbook may not upload successfully.

13. Submit the workbook as follows:
 - a. Navigate to the capital funding monitoring 2021-22 area on the OfS portal.
 - b. Click on the 'Upload' button under the section named 'Please download all files, and upload your completed Excel workbook here'.

- c. Browse for your workbook, which is saved in your memorable location.
 - d. Click 'Upload'.
 - e. The workbook may take some time to upload if the portal is busy. The page will automatically refresh to show whether your file is waiting to be processed, is being processed, or has completed successfully.
 - f. Check below the status bar for the log of your submission. The 'Outcome' will display as a 'Success' if there are no issues with the uploaded workbook.
 - g. Check the 'Comments' to see whether your workbook is valid and has successfully uploaded (see paragraph 17).
14. Once you have successfully submitted your workbook, check the results package by clicking on the 'Results' button. The results package contains the workbook that you have submitted, which has now been processed.
15. Completed workbooks can be uploaded any number of times until the deadline for submissions, when we will take the latest uploaded version as the final version for submission.

Common issues while uploading the workbook

My workbook contains validation errors

16. The monitoring form includes validation checks. Please check your form carefully and complete the sign-off fields on the 'Sign-off' sheet before uploading it. You will still be able to upload your workbook if it is invalid, **but we will not accept it as a submission.**

The 'Comments' section of the portal shows errors and no results package is generated

17. Your workbook has failed to process. There can be many reasons for the workbook not processing correctly. One common error is that the file has been zipped. Before uploading, please ensure that the file is not zipped, as this will make it more likely to process successfully. A second common error is a change in the file extension of the workbook; it must end with '.xlsx'. If you have unprotected the workbook in any way, this may also cause the upload to fail.

My colleague has uploaded a workbook but I cannot view the results package

18. The results package can only be downloaded and viewed from the same OfS portal account that uploaded that particular workbook. To view the results package for a specific workbook you will need to upload the same workbook using your own portal account. Note that this will increase the submission number.



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