

Office for  
Students



# Completing the HESES20 workbook

Higher Education Students Early  
Statistics Survey 2020-21

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# Introduction

## Purpose

1. This document gives supplementary guidance to help providers to complete the Higher Education Students Early Statistics 2020-21 (HESES20) survey. It provides a detailed description of the HESES20 process including how to complete and submit the workbook, the data verification period and sign-off of the data, along with details of our data audit programme and recommendations on good practice. It should be read in conjunction with the main guidance document 'HESES20: Higher Education Students Early Statistics survey 2020-21' (OfS 2020.42).<sup>1</sup>
2. Higher education providers that are registered (or have applied to register) with the Office for Students (OfS) in the Approved (fee cap) category are required to submit a data return for 2020-21. This allows us to calculate OfS funding for 2021-22 and provides us with an early indication of student numbers for planning purposes.
3. HESES20 will be completed by providers that have students registered with them in 2020-21 on higher education courses recognised for OfS funding purposes. Other providers that do not have such students in 2020-21, but expect to have them in 2021-22 will complete the HESF21 survey.<sup>2</sup>
4. Most of the guidance contained in this document applies to all providers, but in some specific cases, the guidance may differ. We have explicitly identified these in the text; relevant paragraphs will also be labelled with a coloured band on the left of the page:
  - guidance relating to further education and sixth form colleges and academies (light blue)
  - guidance relating to all other providers (red).
5. This document refers to more detailed information available elsewhere. Specifically:
  - '**annexes**' refers to Annexes A – L of the HESES20 guidance (OfS 2020.42)
  - '**appendices**' refers to the appendices to this document – these will be released at the same time as the HESES20 workbook.

All of these documents are available from the OfS website: see [www.officeforstudents.org.uk/heses](http://www.officeforstudents.org.uk/heses).

## Timetable

6. The timetable for the HESES20 process is summarised below.

Date	Action
September – October 2020	HESES20 webinars and training materials released on the OfS website.
September 2020	HESES20 guidance released.

<sup>1</sup> Available at [www.officeforstudents.org.uk/publications/heses20/](http://www.officeforstudents.org.uk/publications/heses20/).

<sup>2</sup> See [www.officeforstudents.org.uk/publications/hesf20/](http://www.officeforstudents.org.uk/publications/hesf20/).

## Introduction - HESES workbook structure

Date	Action
Late October 2020	HESES20 workbook will be available to download from the OfS portal. This workbook will contain the 2019-20 HESA or ILR data from the data checking tool <sup>3</sup> (where available).
1 November 2020	<b>HESES20 census date</b> for further education and sixth form colleges and academies
12 November 2020	<b>HESES20 submission deadline for further education and sixth form colleges and academies.</b> A valid HESES20 workbook must be submitted through the OfS portal by noon.
1 December 2020	<b>HESES20 census date</b> for all other providers.
10 December 2020	<b>HESES20 submission deadline for all other providers.</b> A valid HESES20 workbook must be submitted through the OfS portal by noon.
From November 2020	Data verification phase begins, using our credibility checks and data comparisons. Student data contacts are asked to verify, and answer any questions about, the data. This may involve several rounds of queries.
2 February 2020	<b>Sign-off deadline</b> for all providers. Final HESES20 data must be signed off as correct by the provider's accountable officer <sup>4</sup> as at the census date.
February 2020	HESES evaluation. We will contact you after your data has been signed off with an evaluation survey. We will use this to evaluate the effectiveness of the HESES20 process and make improvements for the following year.

## HESES workbook structure

- The HESES20 survey is an Excel workbook. There are up to **10 worksheets** that you may need to complete; these are listed in Figure 1. You may not need to enter data into all worksheets; for instance, if you do not offer health courses you will not need to complete Tables 6a-c.
- Further education and sixth form colleges and academies must complete an additional sheet labelled **Courses**. It is only visible in the workbook of providers that need to complete it.

**Figure 1: The tables in the HESES20 workbook**

Name of worksheet	Title or description	Action
Information	Workbook information	Automatically filled
Validation	If you attempt to upload a workbook with validation errors, the resulting package will include this sheet which will contain details of the errors.	Automatically filled in the results package
Courses	<b>Only visible to further education and sixth form colleges and academies.</b> Countable years of instance between 1 August 2020 and the census date at course level.	Provider to complete

<sup>3</sup> See [www.officeforstudents.org.uk/data-and-analysis/data-checking-tools/](http://www.officeforstudents.org.uk/data-and-analysis/data-checking-tools/).

<sup>4</sup> See [www.officeforstudents.org.uk/publications/regulatory-advice-10-accountable-officers-guidance-for-providers-on-the-responsibilities-of-accountable-officers/](http://www.officeforstudents.org.uk/publications/regulatory-advice-10-accountable-officers-guidance-for-providers-on-the-responsibilities-of-accountable-officers/).

## Introduction - HESES workbook structure

Name of worksheet	Title or description	Action
1 Full-time	Full-time counts of years of instance.	Provider to complete
2 Sandwich	Sandwich year out counts of years of instance.	Provider to complete
3 Part-time	Part-time counts of years of instance and FTE.	Provider to complete
4 Year abroad	Home and EU undergraduate years abroad.	Provider to complete
5 Planning	Further student analysis for planning purposes.	Provider to complete
6a Health full-time	Full-time counts of years of instance on pre-registration health courses.	Provider to complete
6b Health sandwich	Sandwich year out counts of years of instance on pre-registration health courses.	Provider to complete
6c Health part-time	Part-time counts of years of instance and FTE on pre-registration health courses.	Provider to complete
7 Locations	<b>Only visible to providers that have not completed HESES or HESF previously.</b> This table is used to record the teaching locations for students, but providers will only need to complete it if specifically requested to.	Provider to complete, if asked
Comparison tables	Tables in these worksheets summarise your HESES20 data and compare it with previous years (if available). You may be asked questions on large changes during data verification.	Automatically filled
Other comparisons	These tables are for information only and are not generally used during data verification. Tables in this worksheet summarise your HESES20 data and compare it with previous years (if available).	Automatically filled
A Summary B High-cost C NMAH supplement D Erasmus+ E Other high-cost TAs F Student access and success G Parameters	(Where visible) – Funding comparison tables. See paragraph 101-103.	Automatically filled

9. Full details on the contents of each table and how to complete them are in the 'HESES20 workbook tables' section of this document below.

## Getting ready to submit HESES20

10. Though this document provides an explanation of how to complete the HESES workbook, it is important to be thoroughly familiar with the definitions given in the main HESES20 guidance (OfS 2020.42).
11. An online training programme has been prepared to accompany this document, available from the OfS website in late September 2020. The programme includes:
  - webinars, which will be recorded and made available for later viewing
  - videos explaining key HESES concepts
  - training exercises which can be downloaded and completed offline.

You may find it useful to consult these supplementary materials to enhance your understanding of the survey.

12. When the survey workbooks are released in October 2020, we will write to the 'student data contact' nominated by your provider. This person will be our primary point of contact throughout the HESES process, though it is possible for your provider to nominate alternative contacts. It is important that your contact details are correct; if you want to check or amend them, please contact us at [recurrentgrant@officeforstudents.org.uk](mailto:recurrentgrant@officeforstudents.org.uk). We recommend that more than one person is involved with completing the survey, so that expertise is spread across your staff.

## Using the OfS portal to access and submit the HESES20 survey

13. Detailed instructions on how to access the OfS portal and download the HESES20 workbook can be found in Appendix 1. This also contains details on how to use the portal to submit your workbook as well as frequently asked questions about the role of the user administrator.

## Selecting students to include in the survey

14. Before completing your workbook, you will need to read the HESES20 guidance to work out which of your students are included in the HESES population for 2020-21. This is described in Annex A, though you will also need to read Annex B to identify which of your courses meet our definition of 'recognised higher education for OfS funding purposes'.
15. HESES20 is not a simple student headcount, but records the **years of instance** taken by your students in a given year. This is because students may be on more than one course or 'instance', and not all years may count. HESES20 Annex C explains which years of instance should be counted in the HESES20 survey.
16. When completing the survey, you will also need to refer to HESES20 Annexes D to L; for example you will need to consult Annex H to consider if your students meet our definition of 'full-time'. You may be asked questions during data verification to make sure you are using the correct definitions.

## HESES20 census date

17. The HESES20 survey workbook provides an in-year count of the students on higher education courses recognised for OfS funding purposes at your provider in 2020-21, including a snapshot of your provision on the census date. This means that your HESES survey will include:

- a count of the students who have started their year by the census date
- a forecast of the students you are expecting to start their year after the census date.

18. The census dates for HESES20 are as follows:

- for further education and sixth form colleges and academies: **1 November 2020**
- for all other providers: **1 December 2020**.

19. A student starting in the academic year 20-21 but withdrawing (in the sense of having permanently left their course) before the census date should not be counted.

## Entering data in the workbook

20. Note that in this document, when we refer to column numbers and letters, we are referring to the column titles on the tables (e.g. 'Column 1'), not to worksheet columns. Column titles may include more than one worksheet column.

21. On the workbook tables, there are three different cell types:

- white cells – these are cells where we require data to be entered
- blue cells – these are cells that have been either pre-populated with data from another source, or pre-filled by an underlying calculation
- grey cells – these cells are locked and data cannot be entered into them.

22. **We recommend that you do not simply copy and paste data into your workbook**, as this can affect formatting and lead to accidental locking of workbook cells. If you wish to copy and paste data, ensure that you select one of the 'Paste Values' options. This will not copy the formatting of the data you are pasting and will preserve the formatting of the workbook. You will not be able to paste over locked grey cells.

## Automatic highlighting in the workbook

23. When completing the workbook, you may see automatic highlighting of three types:

- a. **Validation errors** on Tables 1 to 6c (and the Courses table, if present), highlighting where data is not correct (for example, where a negative number has been entered in a column that cannot be negative). Any validation errors will need to be corrected before the workbook is ready to be submitted.

## HESES20 workbook tables - Reviewing your responses

- b. **Credibility warnings** on Tables 1 to 6c (and the Courses table, if present), highlighting where data is possible, but appears unusual (for example where you have recorded a particularly high percentage of your students as new entrants).
- c. **Highlighting on Comparison worksheets 1 to 3.** These worksheets contain tables that summarise your HESES20 data and compare it with previous years (if available). Any highlighting shows differences that are greater than might be expected.

## Reviewing your responses

24. After completing the workbook, it is good practice for someone else to review the data. You should also:
  - a. Make notes of any highlighting and investigate the underlying causes – this might bring to light errors in your data. During the data verification phase of the HESES process (see paragraphs 116 to 127), we will ask you about these highlighted sections.
  - b. Have a senior member of the provider check the return and agree that it is accurate.
  - c. Use the set of self-check questions (see paragraph 110) as a final check on your data and processes.

## HESES20 workbook tables

25. This part of the guide will take you through each sheet in the workbook, detailing the data which should be entered on each table. A list of abbreviations used in this guide is at the end of this document.

## The Information sheet

26. This sheet holds prepopulated information detailing:
  - provider name and UK Provider Reference Number (UKPRN)
  - workbook information
  - the status of validation and first-stage credibility checks and comparison table highlighting (tables with text in red indicate that checks have been flagged on the corresponding table)
  - links to guidance on the completion of the survey.

## The Validation sheet

27. If you attempt to upload a workbook with validation errors, the results package will include a sheet titled 'Validation' that will contain details of the errors. Check this guide, in particular Appendix 2, for guidance on such errors. If you need further assistance, please contact us at [heses@officeforstudents.org.uk](mailto:heses@officeforstudents.org.uk).



## The Courses table

28. **This table is only visible in the workbooks of further education and sixth form colleges and academies** for whom its completion is mandatory. The 'Courses' table collects a breakdown of years of instance countable between 1 August and the census date (1 November 2020) at course level. A partial screenshot of this table is shown in Figure 3.
29. Enter the learning aim reference for a course to look up its price group or groups and level. The price group assignment used in automatically populating the Courses table is primarily determined by the Learn Direct Classification System (LDCS) code(s) for the learning aim. However, it also takes account of the specific cases (not based on LDCS code) that determine price groups such as pre-registration nursing, midwifery and allied health profession and education courses (as set out in HESES20 Annex G) **where these are already known for a provider.**
30. If you believe you have a course that is not mapping correctly to price group on the courses table, please email [heses@officeforstudents.org.uk](mailto:heses@officeforstudents.org.uk) setting out full details of why you believe the mapping is incorrect. This may apply to teacher training courses that lead to qualifications of awarding bodies that do not have full degree awarding powers; and to new courses that you may have introduced for 2020-21.
31. If you do not have a learning aim reference, or if you believe that the information held for the learning aim reference is incorrect, first contact the Education and Skills Funding Agency at [sde.servicedesk@education.gov.uk](mailto:sde.servicedesk@education.gov.uk) to request a change, and provide details to the OfS at [heses@officeforstudents.org.uk](mailto:heses@officeforstudents.org.uk).
32. The Courses worksheet is only for years of instance that have started on or before the census date. The figures entered here are automatically included in Column 1 of Tables 1, 2, 3 and 5. See HESES20 Annex C for further guidance.

**Figure 2: Categorisation of years of instance**

	Categories	Definitions and guidance
Mode of study	<ul style="list-style-type: none"> <li>• Full-time</li> <li>• Sandwich year out</li> <li>• Part-time</li> </ul>	Annex H
Price group	<ul style="list-style-type: none"> <li>• B</li> <li>• C1</li> <li>• C2</li> <li>• D</li> </ul>	Annex G
Fundability status	<ul style="list-style-type: none"> <li>• Home and EU: OfS-fundable</li> <li>• Home and EU: Non-fundable</li> <li>• Island and overseas</li> </ul>	Annex F

	Categories	Definitions and guidance
Residential status	<ul style="list-style-type: none"> <li>• UK-domiciled</li> <li>• Other Home and EU</li> </ul>	Annex F
Level of study	<ul style="list-style-type: none"> <li>• UG: undergraduate</li> <li>• PGT (UG fee): postgraduate taught study on courses that are designated under the undergraduate student support arrangements</li> <li>• PGT (Masters' loan): postgraduate taught study on courses eligible under masters' loan arrangements that are not PGT (UG fee)</li> <li>• PGT (Other): postgraduate taught study not falling into the previous two categories</li> <li>• PGR: postgraduate research</li> </ul>	Annex I
Length of year	<ul style="list-style-type: none"> <li>• Standard-length</li> <li>• Long</li> </ul>	Annex J

33. When completing the table:

- Enter the **learning aim reference** for each course. The **course title** will be completed automatically.
- The **price group or groups** of the course will be completed. If a course is split across more than one price group, enter the **proportion of the course as a whole** that is in each price group (see HESES20 Annex G) as a percentage. The total for the course must add up to 100 per cent. Where such splits appear unusual we may query this during data verification to request further information.
- Level** and **length** are completed automatically for the course. However, if this does not reflect your provision accurately you can overwrite the value in the cell with the following options:
  - Level – UG, PGT (UG fee), PGT (Masters' loan), PGT (Other).
  - Length – Standard, Long.
- Enter the number of years of instance, broken down according to the categories shown in Figure 2. You should note that where a student is studying towards more than one learning aim this does not necessarily mean two instances should be counted. Where a student completes an initial qualification, then immediately progresses to a second qualification at the same broad level (undergraduate or postgraduate taught), for HESES purposes these are considered both part of the same instance. An example of this would be where a student completes a foundation degree then progresses in the next academic year to a top-up year for a BSc. Though these may have separate learning aims, they are considered to be part of the same instance. Paragraph 5 and Example 13 in HESES20 Annex C provide more information on this situation.

34. After completing the table make note of any credibility warnings (see paragraph 36). In a separate document, list the underlying reasons that make the data credible for your provider. This will help with your initial explanations and your responses to our queries.

**35. Validation failure** messages will occur in the Courses table if:

- a. A row has an invalid or blank learning aim reference.
- b. The same course has been entered into multiple rows with the same combination of level and length.
- c. Price group proportions have not been entered where required.
- d. The total of the price group proportions does not equal 100 per cent.
- e. The price group proportion is not a whole percentage (no decimals).
- f. The course level has not been entered as 'UG', 'PGT (UG fee)', 'PGT (Masters' loan)' or 'PGT (Other)'.
- g. The course length has not been entered as 'Standard' or 'Long'.
- h. Whole numbers have not been entered (no decimal points) where required.
- i. Negative numbers have been entered.
- j. A row has been left blank when data has been entered below it.
- k. A row has a learning aim reference but no years countable have been entered.

**36. Credibility warnings** will occur in the Courses table if:

- a. A price group proportion has been entered as 0 per cent where there is more than one price group.
- b. The level entered does not match the level recorded on the Learning Aim Reference Service.

HESES20 workbook tables - The Courses table

Figure 3: Partial screenshot of Courses table

Courses table: Countable years of instance between 1 August 2020 and census date at course level

		Validation: OK First-stage credibility: OK		Validation: OK First-stage credibility: OK		Validation: OK First-stage credibility: OK		Validation: OK First-stage credibility: OK			Val First-stage				
Row number	Learning aim reference	Course title	Price group 1	Price group 1 proportion	Price group 2	Price group 2 proportion	Level	Length	Full-time Years countable between 1 August 2020 and census date inclusive			Sandwich year out Years countable between date inclusive			
									Home and EU (a) OfS-fundable		(b) Non-fundable	(c) Island and overseas	Home and EU (a) OfS-fundable		
								UK-domiciled (i)	Other Home and EU (ii)	UK-domiciled (i)	Other Home and EU (ii)	UK-domiciled (i)	Other Home and EU (ii)		
1	00100633	HNC in Engineering (Mechanical/Manufacture)	B	100%			UG	Standard	10	0	5	0	3	0	0
2	00239642	BSc (Hons) in Applied Animal Science	B	100%			UG	Standard	20	0	7	0	3	0	0
3	00240968	BA (Hons) Photography	C1	100%			UG	Standard	5	0	0	0	0	0	0
4									0	0	0	0	0	0	0

Learning aims are included in the figure above for illustrative purposes only.

## Table 1 Full-time

37. Table 1 is used to return years of instance for all full-time students in your HESES20 population. (Refer to HESES20 Annex H for the definition of full-time). We will use this information when we calculate funding for 2021-22. A partial screenshot of Table 1 is shown in Figure 5.
38. Years of instance recorded in Table 1 should **not** be included in Tables 2 or 3.
39. In Columns 1, 2 and 3, record years of instance according to the categories shown in Figure 4.
40. This table can be filtered by price group to make it easier to complete.

**Figure 4: Categorisation of full-time years of instance**

	Categories	Definitions and guidance
Price group	<ul style="list-style-type: none"> <li>A</li> <li>B</li> <li>C1</li> <li>C2</li> <li>D</li> </ul> <p>Some years of instance are split across price groups. In these cases, up to two decimal places can be used, but the total for the years of instance must be a whole number.</p>	Annex G
Length (of year)	<ul style="list-style-type: none"> <li>Standard-length</li> <li>Long</li> </ul>	Annex J
Level (of study)	<ul style="list-style-type: none"> <li>UG: undergraduate</li> <li>PGT (UG fee): postgraduate taught study on courses that are designated under the undergraduate student support arrangements</li> <li>PGT (Masters' loan): postgraduate taught study on courses eligible under masters' loan arrangements that are not PGT (UG fee)</li> <li>PGT (Other): postgraduate taught study not falling into the previous two categories</li> <li>PGR: postgraduate research</li> </ul>	Annex I
Fundability status	<ul style="list-style-type: none"> <li>Home and EU: OfS-fundable</li> <li>Home and EU: Non-fundable</li> <li>Island and overseas</li> </ul>	Annex F

41. To complete Table 1:

a. For **Column 1**:

- i. **For further education and sixth form colleges and academies**, no entries are needed: this column is prepopulated with figures entered in the Courses table.

- ii. **For other providers**, enter the number of years of instance that started between 1 August 2020 and the census date inclusive.
  - b. Enter in **Column 2** years of instance that you forecast will start between the day after the census date and 31 July 2021 inclusive. This may include new entrants or those on the second or subsequent years of an instance.
  - c. For full instructions on whether to record years in Column 1 or Column 2, see HESES20 Annex C.
  - d. In **Column 3** enter a forecast of the total number of years of instance included in Column 1 and Column 2 that will not be completed. **Non-completions must be recorded as a negative number.** You should use the definitions and methodology for calculating estimates described in HESES20 Annex D. You may be asked questions on your methodology during data verification.
  - e. **Column 4** will be filled automatically with the numbers of completed years, as you enter data into Columns 1 to 3.
  - f. The totals for **All price groups** will be filled automatically and must add up to whole numbers.
42. After completing the table make note of any credibility warnings (see paragraph 44). In a separate document, list the underlying reasons that make the data credible for your provider. This will help with your initial explanations and your responses to our queries.

43. **Validation failure** messages will occur in Table 1 if:

- a. The totals do not add up to whole numbers. If you have years of instance that are split across price groups, the totals must still be a whole number. Refer to HESES20 Annex G for how to record this.
- b. Column 3 contains a positive number, or any other column contains a negative number.
- c. You record numbers to more than two decimal places.

44. **Credibility warnings** will occur in Table 1 if:

- a. No non-completions have been entered in a row where you have recorded at least 50 years of instance across Columns 1 and 2.
- b. You record all years of instance in Column 1 and 2 for a row as non-completions in Column 3.
- c. For further education and sixth form colleges and academies only, you record years of instance in price group A in Columns 1, 2 or 3.
- d. For further education and sixth form colleges and academies only, you record years of instance at PGR level.

Figure 5: Partial screenshot of Table 1 Full-time

**Table 1: Full-time counts of years of instance**

			Validation: OK			Validation: OK			Validation: OK			Validation: OK			
			First-stage credibility: OK			First-stage credibility: OK			First-stage credibility: OK			First-stage credibility: OK			
			Column 1			Column 2			Column 3			Column 4 <i>Automatically populated</i>			
			Years countable between 1 August 2020 and census date inclusive			Forecast of years countable after census date and before 1 August 2021			Forecast of years not completed (negative values)			Estimated completed years academic year 2020-21 (Columns 1 + 2 + 3)			
			Home and EU			Home and EU			Home and EU			Home and EU			
Price group	Length	Level	OfS-fundable (a)	Non-fundable (b)	Island and overseas (c)	OfS-fundable (a)	Non-fundable (b)	Island and overseas (c)	OfS-fundable (a)	Non-fundable (b)	Island and overseas (c)	OfS-fundable (a)	Non-fundable (b)	Island and overseas (c)	
A	Standard	UG	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	
		PGT (UG fee)													
		PGT (Masters' loan)	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
		PGT (Other)	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
		PGR		0.00	0.00		0.00	0.00		0.00	0.00		0.00	0.00	0.00
	Long	UG	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
		PGT (UG fee)													
		PGT (Masters' loan)	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
		PGT (Other)	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
		PGR		0.00	0.00		0.00	0.00		0.00	0.00		0.00	0.00	0.00
B	Standard	UG	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	
		PGT (UG fee)	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	
		PGT (Masters' loan)	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	
		PGT (Other)	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	
		PGR		0.00	0.00		0.00	0.00		0.00	0.00		0.00	0.00	0.00
	Long	UG	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
		PGT (UG fee)	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
		PGT (Masters' loan)	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
		PGT (Other)	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
		PGR		0.00	0.00		0.00	0.00		0.00	0.00		0.00	0.00	0.00
C1	Standard	UG	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	

Complete all relevant cells in Columns 1, 2 and 3 with counts of full-time years of instance

For further education and sixth form colleges and academies, Column 1 will be blue (protected) as the figures are taken from the Courses table.

## Table 2 Sandwich

45. Table 2 is used to return years of instance for all in your HESES20 population taking a sandwich year out. (Refer to HESES20 Annex H for the definition of sandwich year out). We will use this information when we calculate funding for 2021-22. A partial screenshot of Table 2 is shown in Figure 7.

46. Years of instance recorded in Table 2 should not be included in Tables 1 or 3.

47. In Columns 1, 2 and 3, record years of instance according to the categories shown in Figure 6.

**Figure 6: Categorisation of sandwich year out years of instance**

	Categories	Definitions and guidance
Level of study	<ul style="list-style-type: none"> <li>• UG: undergraduate</li> <li>• PGT (UG fee): postgraduate taught study on courses that are designated under the undergraduate student support arrangements</li> <li>• PGT (Masters' loan): postgraduate taught study on courses eligible under masters' loan arrangements that are not PGT (UG fee)</li> <li>• PGT (Other): postgraduate taught study not falling into the previous two categories</li> </ul>	Annex I
Fundability status	<ul style="list-style-type: none"> <li>• Home and EU: OfS-fundable</li> <li>• Home and EU: Non-fundable</li> <li>• Island and overseas</li> </ul>	Annex F

48. To complete Table 2:

a. For **Column 1**:

- i. **For further education and sixth form colleges and academies**, no entries are needed: this column is prepopulated with figures entered in the Courses table.
- ii. **For other providers**, enter the sandwich years out that started between 1 August 2020 and the census date inclusive.

b. Enter in **Column 2** sandwich years out that you forecast will start between the day after the census date and 31 July 2021 inclusive. This may include new entrants (very unlikely for a sandwich year out) or those on the second or subsequent years of an instance.

c. For full instructions on whether to record years in Column 1 or Column 2, see HESES20 Annex C.

d. In **Column 3** enter a forecast of the number of sandwich years out that will not be completed. **Non-completions must be recorded as a negative number.** Use the definitions and the



## HESES20 workbook tables - Table 2 Sandwich

methodology for calculating estimates described in HESES20 Annex D. You may be asked questions on your methodology during data verification.

- e. **Column 4** will be filled automatically with the numbers of completed years, as you enter data into Columns 1 to 3.
- f. The **Total** row will be filled automatically.

49. **Validation failure** messages will occur in Table 2 if:

- a. You enter values that are not whole numbers.
- b. You enter a positive number in Column 3, or a negative number in any other column.

**Figure 7: Partial screenshot of Table 2 Sandwich**

**Table 2: Sandwich year out counts of years of instance**

		Validation: OK			Validation: OK			Validation: OK			Validation: OK		
		Column 1			Column 2			Column 3			Column 4 <i>Automatically populated</i>		
		Years countable between 1 August 2020 and census date inclusive			Forecast of years countable after census date and before 1 August 2021			Forecast of years not completed (negative values)			Estimated completed years academic year 2020-21 (Columns 1 + 2 + 3)		
		Home and EU			Home and EU			Home and EU			Home and EU		
Price group	Level	OfS- fundable (a)	Non- fundable (b)	Island and overseas (c)	OfS- fundable (a)	Non- fundable (b)	Island and overseas (c)	OfS- fundable (a)	Non- fundable (b)	Island and overseas (c)	OfS- fundable (a)	Non- fundable (b)	Island and overseas (c)
C2	UG	0	0	0	0	0	0	0	0	0	0	0	0
	PGT (UG fee)	0	0	0	0	0	0	0	0	0	0	0	0
	PGT (Masters' loan)	0	0	0	0	0	0	0	0	0	0	0	0
	PGT (Other)	0	0	0	0	0	0	0	0	0	0	0	0
	Total	0	0	0	0	0	0	0	0	0	0	0	0

For further education and sixth form colleges and academies, Column 1 will be blue (protected) as the figures are taken from the Courses table.

Complete all relevant cells in Columns 1, 2 and 3 with counts of full-time years of instance

## Table 3 Part-time

50. Table 3 is used to return years of instance and FTE for all of the part-time students in your HESES20 population. (Refer to HESES20 Annex H for the definition of part-time). We will use this information when we calculate funding for 2021-22. A partial screenshot of Table 3 is shown in Figure 9.

51. Years of instance recorded in Table 3 should not be included in Tables 1 or 2.

52. In Columns 1, 2, 3 and 4a, record years of instance according to the categories shown in Figure 8.

53. The table can be filtered by price group to make it easier to complete.

### Figure 8: Categorisation of part-time years of instance

	Categories	Definitions and guidance
Price group	<ul style="list-style-type: none"> <li>• A</li> <li>• B</li> <li>• C1</li> <li>• C2</li> <li>• D</li> </ul> <p>Some years of instance are split across price groups. In these cases, up to two decimal places can be used but, except in Column 4a, the total must be a whole number.</p>	Annex G
Length (of year)	<ul style="list-style-type: none"> <li>• Standard-length</li> <li>• Long</li> </ul>	Annex J
Level (of study)	<ul style="list-style-type: none"> <li>• UG: undergraduate</li> <li>• PGT (UG fee): postgraduate taught study on courses that are designated under the undergraduate student support arrangements</li> <li>• PGT (Masters' loan): postgraduate taught study on courses eligible under masters' loan arrangements that are not PGT (UG fee)</li> <li>• PGT (Other): postgraduate taught study not falling into the previous two categories</li> <li>• PGR: postgraduate research</li> </ul>	Annex I
Fundability status	<ul style="list-style-type: none"> <li>• Home and EU: OfS-fundable</li> <li>• Home and EU: Non-fundable</li> <li>• Island and overseas</li> </ul>	Annex F

54. To complete Table 3:

a. For **Column 1**:

- i. **For further education and sixth form colleges and academies**, no entries are needed: this column is prepopulated with figures entered in the Courses table.

- ii. **For other providers**, enter the number of years of instance that started between 1 August 2020 and the census date inclusive.
  - b. Enter in **Column 2** years of instance that you forecast will start between the day after the census date and 31 July 2021 inclusive. This may include new entrants or those on the second or subsequent years of an instance.
  - c. For full instructions on whether to record years in Column 1 or Column 2, see HESES20 Annex C.
  - d. In **Column 3** enter a forecast of the number of years of instance that will not be completed. **Non-completions must be recorded as a negative number.** Use the definitions and the methodology for calculating estimates in HESES20 Annex D. You may be asked questions on your methodology during data verification.
  - e. **Column 4** will be filled automatically with the numbers of completed years, as you enter data into Columns 1 to 3.
  - f. Enter in **Column 4a** the FTE for the number of completed years of instance in Column 4. This should be the total full-time equivalent years of instance for that row, not the average FTE per year of instance. Refer to HESES20 Annex E for guidance on how to determine the FTE of part-time students.
  - g. The totals in the **final rows** will be completed automatically.
55. After completing the table make note of any credibility warnings (see paragraph 57). In a separate document, list the underlying reasons that make the data credible for your provider. This will help with your initial explanations and your responses to our queries.

56. **Validation failure** messages will occur in Table 3 if:

- a. The totals for Columns 1 to 3 do not add up to whole numbers. If you have courses that are split across price groups, the totals must still be whole numbers. Refer to HESES20 Annex G for how to record this.
- b. Column 3 contains a positive number, or any other column contains a negative number.
- c. The FTE recorded in Column 4a is greater than the completed years in Column 4.
- d. The FTE recorded in Column 4a is less than 3 per cent of the completed years in Column 4. (Years of instance that have an FTE of less than 0.03 are not included in HESES – see Annex C.)
- e. You record numbers to more than two decimal places.

57. **Credibility** warnings will occur in Table 3 if:

- a. No non-completions have been entered in a row where you have recorded at least 50 years of instance across Columns 1 and 2.

- b. You record all years of instance in Columns 1 and 2 for a row as non-completions.
- c. The total UG or PGT (UG fee) FTE recorded in Column 4a is greater than or equal to 67 per cent of the total in Column 4 (Completed years).
- d. The total PGT (Masters' loan), PGT (Other) or PGR FTE recorded in Column 4a is greater than or equal to 80 per cent of the total in Column 4 (Completed years).
- e. For further education and sixth form colleges and academies only, you record years of instance in price group A in Columns 1, 2 or 3.
- f. For further education and sixth form colleges and academies only, you record years of instance at PGR level.

HESES20 workbook tables - Table 3 Part-time

Figure 9: Partial screenshot of Table 3 Part-time

			Validation: OK First-stage credibility: OK			Validation: OK First-stage credibility: OK			Validation: OK First-stage credibility: OK			Validation: OK First-stage credibility: OK						
			Column 1 Years countable between 1 August 2020 and census date inclusive			Column 2 Forecast of years countable after census date and before 1 August 2021			Column 3 Forecast of years not completed (negative values)			Column 4 Automatically populated Estimated completed years academic year 2020-21 (Columns 1 + 2 + 3)			Column 4a Estimated FTE for completed years included in Column 4 for academic year 2020-21			
			Home and EU			Home and EU			Home and EU			Home and EU						
Price group	Length	Level	OfS-fundable	Non-fundable	Island and overseas	OfS-fundable (a)	Non-fundable (b)	Island and overseas (c)	OfS-fundable (a)	Non-fundable (b)	Island and overseas (c)	OfS-fundable (a)	Non-fundable (b)	Island and overseas (c)	OfS-fundable (a)	Non-fundable (b)	Island and overseas (c)	
A	Standard	UG	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	
		PGT (UG fee)																
		PGT (Masters' loan)	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
		PGT (Other)	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
		PGR		0.00	0.00		0.00	0.00	0.00		0.00	0.00		0.00	0.00		0.00	0.00
	Long	UG	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
		PGT (UG fee)																
		PGT (Masters' loan)	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
		PGT (Other)	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
		PGR		0.00	0.00		0.00	0.00	0.00		0.00	0.00		0.00	0.00		0.00	0.00
B	Standard	UG	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	
		PGT (UG fee)	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	
		PGT (Masters' loan)	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	
		PGT (Other)	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	
		PGR		0.00	0.00		0.00	0.00	0.00		0.00	0.00		0.00	0.00		0.00	0.00
	Long	UG	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	
		PGT (UG fee)	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	
		PGT (Masters' loan)	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	
		PGT (Other)	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	
		PGR		0.00	0.00		0.00	0.00	0.00		0.00	0.00		0.00	0.00		0.00	0.00
C1	Standard	UG	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00		
		PGT (UG fee)	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00		
		PGT (Masters' loan)	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00		
		PGT (Other)	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00		
		PGR		0.00	0.00		0.00	0.00	0.00		0.00	0.00		0.00	0.00		0.00	0.00

- 1) Complete all relevant cells in Columns 1, 2 and 3 with counts of part-time years of instance.
- 2) Complete all relevant cells in Column 4a with estimate of full-time equivalence.

For further education and sixth form colleges and academies, Column 1 will be blue (protected) as the figures are taken from the Courses table.

## Table 4 Year abroad

58. Table 4 records years of instance for undergraduates taking a year abroad in 2020-21 as part of their course. These students will already have been recorded on Table 1 (for full-time students) or Table 2 (for sandwich year out students). We use this information when we calculate funding provided under our 'Erasmus+ and overseas study programmes' targeted allocation.
59. Only Home and EU students can be recorded in Table 4. A partial screenshot of Table 4 is shown in Figure 11.
60. Record years of instance according to the categories shown in Figure 10.

### Figure 10: Categorisation of years abroad

	Categories	Definitions and guidance
Type of year abroad	<ul style="list-style-type: none"> <li>Outgoing Erasmus+ year abroad</li> <li>Outgoing year abroad outside the Erasmus+ programme</li> </ul>	Annex K
Mode of study	<ul style="list-style-type: none"> <li>Full-time</li> <li>Sandwich year out</li> </ul>	Annex H
Fundability status	<ul style="list-style-type: none"> <li>Home and EU: OfS-fundable</li> <li>Home and EU: Non-fundable</li> </ul>	Annex F

61. When completing Table 4:

- Enter in **Column 1** years abroad that started between 1 August 2020 and the census date inclusive.
- Enter in **Column 2** years abroad that you forecast will start between the day after the census date and 31 July 2021 inclusive.

62. **Validation failure** messages will occur in Table 4 if:

- You do enter values that are not whole numbers.
- You enter a negative number.
- You enter numbers that are greater in total than the equivalent undergraduate totals recorded in Table 1 and Table 2.

Figure 11: Partial screenshot of Table 4 Year abroad

Table 4: Home and EU undergraduate years abroad

	Validation: OK				Validation: OK			
	First-stage credibility: OK				First-stage credibility: OK			
	Column 1				Column 2			
	Years countable between 1 August 2020 and census date inclusive				Forecast of years countable after census date and before 1 August 2021			
	(a) Full-time		(b) Sandwich year out		(a) Full-time		(b) Sandwich year out	
	OfS- fundable	Non- fundable	OfS- fundable	Non- fundable	OfS- fundable	Non- fundable	OfS- fundable	Non- fundable
Type of year abroad	(i)	(ii)	(i)	(ii)	(i)	(ii)	(i)	(ii)
Outgoing Erasmus+ year abroad	0	0	0	0	0	0	0	0
Outgoing year abroad outside the Erasmus+ programme	0	0	0	0	0	0	0	0
<b>Total</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>

Complete all relevant cells in Columns 1 and 2 with counts of years of instance



## Table 5 Planning

63. Table 5 collects information about students recorded in Tables 1 to 3, summarised according to the categories shown in Figure 12. The table provides more detailed information on qualification level and the number of new entrants at your provider. This information is collected for planning and monitoring purposes. The data gives an early indication of the number of students starting higher education courses recognised for OfS funding purposes.

64. In Table 5, record the years of instance that you included in Tables 1, 2 and 3 according to the categories shown in Figure 12. A partial screenshot of Table 5 is shown in Figure 13.

**Figure 12: Categorisation of years of instance for planning purposes**

	Categories	Definitions and guidance
Mode of study	<ul style="list-style-type: none"> <li>• Full-time and sandwich year out</li> <li>• Part-time</li> </ul>	Annex H
Level	<ul style="list-style-type: none"> <li>• UG: undergraduate</li> <li>• PGT (UG fee): postgraduate taught study on courses that are designated under the undergraduate student support arrangements</li> <li>• PGT (Masters' loan): postgraduate taught study on courses eligible under masters' loan arrangements that are not PGT (UG fee)</li> <li>• PGT (Other): postgraduate taught study not falling into the previous two categories</li> <li>• PGR: postgraduate research</li> </ul>	Annex I
Fundability status	<ul style="list-style-type: none"> <li>• OfS-fundable</li> <li>• Non-fundable</li> <li>• Island and overseas</li> </ul>	Annex F
Residential status	<ul style="list-style-type: none"> <li>• UK-domiciled</li> <li>• Other Home and EU</li> <li>• Island and overseas</li> </ul>	Annex F
Years countable	<ul style="list-style-type: none"> <li>• All years (Section A)</li> <li>• New entrants (Section B)</li> </ul>	Annex C

65. The information collected in Table 5 is divided in to two sections:

- Section A:** all years of instance in the HESES20 population.
- Section B:** all years of instance in section A that are new entrants.

## Section A: All years

66. For **Column 1**:

- a. **For further education and sixth form colleges and academies**, no entries are needed: this column is automatically populated with figures entered in the Courses table.
- b. **For other providers**, enter the number of years of instance that started between 1 August 2020 and the census date inclusive. The total for each combination of mode, level and fundability status in Column 1 must be the same as the equivalent total in Column 1 in Tables 1, 2 and 3.

67. Enter in **Column 2** years of instance that start between the day after the census date and 31 July 2021 inclusive. The total for each combination of mode, level and fundability status in Column 2 must be the same as the equivalent total in Column 2 in Tables 1, 2 and 3.

## Section B: New entrants

68. Enter in **Section B** the years of instance included in Section A of this table that are **new entrants**, as defined in HESES20 Annex C.

69. After completing the table make note of any credibility warnings (see paragraph 71). In a separate document, list the underlying reasons that make the data credible for your provider. This will help with your initial explanations and your responses to our queries.

70. **Validation failure** messages will occur in Table 5 if:

- a. You do not enter whole numbers.
- b. You enter a negative number.
- c. Values entered in 'Section A: All years' are not equal to the equivalent totals in Tables 1, 2 or 3.
- d. You record more new entrants in 'Section B: New entrants' than there are years of instance in Section A.

71. **Credibility** warnings will occur in Table 5 if you record:

- a. No new entrants in Section B.
- b. All of the students in 'Section A: All years' as new entrants in 'Section B: New entrants'.
- c. 70 per cent or more of your Home and EU, undergraduate, full-time and sandwich year out years of instance from 'Section A: All years' as new entrants in 'Section B: New entrants'.
- d. 25 per cent or less of your Home and EU, undergraduate, full-time and sandwich year out years of instance from 'Section A: All years' as new entrants in 'Section B: New entrants'.
- e. 50 per cent or less of your Home and EU, postgraduate, full-time and sandwich year out years of instance from 'Section A: All years' as new entrants in 'Section B: New entrants'.

- f. 70 per cent or more of your Home and EU, undergraduate, part-time years of instance from 'Section A: All years' as new entrants in 'Section B: New entrants'.
- g. 15 per cent or less of your Home and EU, undergraduate, part-time years of instance from 'Section A: All years' as new entrants in 'Section B: New entrants'.
- h. 70 per cent or more of your Home and EU, postgraduate, part-time years of instance from 'Section A: All years' as new entrants in 'Section B: New entrants'.
- i. 25 per cent or less of your Home and EU, postgraduate, part-time years of instance from 'Section A: All years' as new entrants in 'Section B: New entrants'.
- j. 70 per cent or more of your Island and overseas students from 'Section A: All years' as new entrants in 'Section B: New entrants'.
- k. 25 per cent or less of your Island and overseas students from 'Section A: All years' as new entrants in 'Section B: New entrants'.

Figure 13: Partial screenshot of Table 5 Planning

Table 5: Further student breakdowns for planning purposes

		Validation: OK First-stage credibility: OK					Validation: OK First-stage credibility: OK					Validation: OK First-stage credibility: OK				
		Section A: All years					Section B: New entrants									
		Column 1					Column 2					New entrants included in Section A of this table.				
		Years countable between 1 August 2020 and census date inclusive					Forecast of years countable after census date and before 1 August 2021 (as entered in Column 2 of Tables 1, 2 and 3)									
		Home and EU					Home and EU					Home and EU				
		(a) OfS-fundable		(b) Non-fundable		(c) Island and overseas	(a) OfS-fundable		(b) Non-fundable		(c) Island and overseas	(a) OfS-fundable		(b) Non-fundable		(c) Island and overseas
		UK-domiciled	Other Home and EU	UK-domiciled	Other Home and EU		UK-domiciled	Other Home and EU	UK-domiciled	Other Home and EU		UK-domiciled	Other Home and EU	UK-domiciled	Other Home and EU	
Mode	Level	(i)	(ii)	(i)	(ii)		(i)	(ii)	(i)	(ii)		(i)	(ii)	(i)	(ii)	
Full-time and sandwich year out	UG	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
	PGT (UG fee)	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
	PGT (Masters' loan)	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
	PGT (Other)	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
	PGR			0	0	0			0	0	0			0	0	0
Part-time	UG	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
	PGT (UG fee)	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
	PGT (Masters' loan)	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
	PGT (Other)	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
	PGR			0	0	0			0	0	0			0	0	0
All modes	UG	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
	All PG levels	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
	Total	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0

For further education and sixth form colleges and academies, Column 1 will be blue (protected) as the figures are taken from the Courses table.

## Tables 6a Health full-time, 6b Health sandwich and 6c Health part-time

72. Only providers delivering pre-registration courses in nursing, midwifery and allied health professions in 2020-21 need to complete these tables.
73. These tables collect information about years of instance that lead to first registrable qualifications for the health professions listed in Figure 14. These years of instance will have already been included in Tables 1 Full-time, 2 Sandwich and 3 Part-time, respectively. The data will be used for planning purposes and to inform funding allocations for providers in 2021-22. Further guidance on definitions specific to these tables is provided in HESES20 Annex L.
74. The tables are mutually exclusive; for example, years of instance recorded in Table 6a should not be included in Tables 6b or 6c.
75. Tables 6a, 6b and 6c can be filtered by health profession, to make it easier to complete the tables. Panes can also be frozen. The listed professions show the relevant price group.

### Which information is collected and why

76. For Tables 6a, 6b and 6c we are collecting information on Home and EU years of instance in 2020-21 broken down between the following columns:
  - a. **OfS-fundable:** years of instance for all Home and EU OfS-fundable students in the relevant combination of profession, length of year and level.
  - b. **Non-fundable:** years of instance for all Home and EU non-fundable students in the relevant combination of profession, length of year and level.
  - c. **Starters in 2020-21 (for Tables 6a and 6c only):** years of instance for the relevant combination of profession, length of year and level, for Home and EU students that started study for the first time in 2020-21. These students will already have been recorded in either sub-column (a) (OfS-fundable) or sub-column (b) (iii) (non-fundable).
77. Further information on how to determine the fundability status of students in these health professions is given in HESES20 Annex F.
78. Years of instance for Starters in 2020-21 will be used for planning purposes and to determine if your provider is eligible to receive our 'Nursing, midwifery and allied health supplement' funding allocation. When completing Table 6, **please note that the concept of 'starters' is different from that of 'new entrants'** as collected in Table 5. Further guidance on the definition of 'starters' can be found in HESES20 Annex L.

79. Partial screenshots of Tables 6a, 6b and 6c are shown in Figure 15.

### Healthcare professions

80. For the professions listed in Figure 14, only pre-registration courses at English providers that are approved by the relevant regulatory body should be included. These bodies are:
  - for nursing and midwifery, the Nursing and Midwifery Council

- for dental hygiene and dental therapy, the General Dental Council
- for all other professions listed, the Health and Care Professions Council.

81. Further information on these courses is in HESES20 Annex L.

**Figure 14: Categorisation of Home and EU counts of years of instance on pre-registration courses in nursing, midwifery and allied health professions**

	Categories	Definitions and guidance
Mode of study	<ul style="list-style-type: none"> <li>• Table 6a Full-time</li> <li>• Table 6b Sandwich year out</li> <li>• Table 6c Part-time</li> </ul>	Annex H
Profession	<ul style="list-style-type: none"> <li>• Dental hygiene</li> <li>• Dental therapy</li> <li>• Dietetics</li> <li>• Midwifery</li> <li>• Nursing (adult)</li> <li>• Nursing (children)</li> <li>• Nursing (learning disability)</li> <li>• Nursing (mental health)</li> <li>• Nursing (unclassified)</li> <li>• Occupational therapy</li> <li>• Operating department practice</li> <li>• Orthoptics</li> <li>• Orthotics and prosthetics</li> <li>• Physiotherapy</li> <li>• Podiatry</li> <li>• Radiography (diagnostic)</li> <li>• Radiography (therapeutic)</li> <li>• Speech and language therapy</li> </ul>	Annex L
Length (of year)	<ul style="list-style-type: none"> <li>• Standard-length</li> <li>• Long</li> </ul>	Annex J
Level	<ul style="list-style-type: none"> <li>• UG: undergraduate</li> <li>• PGT (UG fee): postgraduate taught study on courses that are designated under the undergraduate student support arrangements</li> </ul>	Annex I
Years countable	<ul style="list-style-type: none"> <li>• OfS-fundable</li> <li>• Non-fundable</li> <li>• OfS fundable and non-fundable starters in 2020-21.</li> </ul>	Annex L
Fundability status	<ul style="list-style-type: none"> <li>• OfS-fundable</li> <li>• Non-fundable</li> </ul>	Annex F

### Entering data in Table 6

82. Data to enter in Tables 6a, 6b and 6c:

- Enter in **Column 1** years of instance that started between 1 August 2020 and the census date inclusive.
- Enter in **Column 2** years of instance that you forecast will start between the day after the census date and 31 July 2021 inclusive. See HESES20 Annex C for full instructions on whether to record years in Column 1 or Column 2.

- c. Enter in **Column 3** a forecast of the number of years of instance that will not be completed.
    - i. Non-completions must be recorded as a **negative** number.
    - ii. You should use the definitions and methodology for calculating estimates described in HESES20 Annex D. You may be asked questions on your methodology during data verification.
  - d. **Column 4** will be filled automatically with the numbers of completed years, as you enter data into Columns 1 to 3.
  - e. For **Table 6c Health part-time** only, enter in **Column 4a** the FTE for the number of completed part-time years of instance in Column 4. This should be the total FTE years of instance for that row, not the average FTE per year of instance. To determine the FTE of part-time students, refer to HESES20 Annex E for guidance.
83. After completing the tables make note of any credibility warnings (see paragraph 85). In a separate document, list the underlying reasons that make the data credible for your provider. This will help with your initial explanations and your responses to our queries.

84. **Validation failure** messages will occur in Tables 6a, 6b and 6c if:

- a. Column 3 contains a positive number, or any other column contains a negative number.
- b. You have entered a value that is not a multiple of 0.5 in Columns 1, 2 or 3 for the following professions:
  - i. Nursing – adult
  - ii. Nursing – child
  - iii. Nursing – learning disability
  - iv. Nursing – mental health.
- c. For the other professions (excluding Nursing (adult), Nursing (child), Nursing (mental health) and Nursing (learning disability)) you have entered a value that is not a whole number in Columns 1, 2 or 3.
- d. The number of OfS-fundable countable years recorded in a cell is greater than the equivalent value recorded on Tables 1, 2 or 3.
- e. The number of non-fundable countable years recorded in a cell is greater than the equivalent value recorded on Tables 1, 2 or 3.
- f. For Table 6c only, for any cell in Column 4a, the FTE is entered to more than two decimal places.

- g. For Table 6c only, the FTE recorded in Column 4a is greater than the years of instance in Column 4.
- h. For Table 6c only, the FTE recorded in Column 4a is less than 3 per cent of the total years recorded in Column 4. (Years of instance that have an FTE of less than 0.03 are not included in HESES – see HESES20 Annex C.)

85. **Credibility warnings** will occur in Tables 6a, 6b and 6c if:

- a. No non-completions have been entered in a row where you have recorded at least 50 years of instance across Columns 1 and 2.
- b. You record all years of instance in Columns 1 and 2 for a row as non-completions.
- c. You have entered students for the Nursing (unclassified) profession.
- d. For Tables 6a and 6c, you have entered students with a long year of instance.
- e. For Table 6b only, you have entered students. While it is possible for students on pre-registration health courses to be on a sandwich year-out, we are not expecting any such students; if you believe you have such students, we will want to check how the students meet our definition of sandwich year out. (See HESES20 Annex H.)
- f. For Table 6c only, for part-time students, the total FTE entered in Column 4a is less than 25 per cent of the total years calculated in Column 4.



Figure 15: Partial screenshot of Table 6a Health full-time

Table 6a: Full-time counts of years of instance on pre-registration health courses														
			Validation: OK First-stage credibility: OK			Validation: OK First-stage credibility: OK			Validation: OK First-stage credibility: OK			Validation: OK First-stage credibility: OK		
			Column 1 Years countable between 1 August 2020 and census date inclusive			Column 2 Forecast of years countable after census date and before 1 August 2021			Column 3 Forecast of years not completed (negative values)			Column 4 Estimated completed years academic year 2020-21 (Columns 1 + 2 + 3)		
Profession (price group)	Length	Level	(a) OfS-fundable	(b) Non-fundable	Starters in 2020-21 included in (a) and (b)	(a) OfS-fundable	(b) Non-fundable	Starters in 2020-21 included in (a) and (b)	(a) OfS-fundable	(b) Non-fundable	Starters in 2020-21 included in (a) and (b)	(a) OfS-fundable	(b) Non-fundable	Starters in 2020-21 included in (a) and (b)
Dental hygiene (A)	Standard	UG	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
		PGT (UG fee)												
	Long	UG	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Dental therapy (A)	Standard	UG	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
		PGT (UG fee)												
	Long	UG	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Dietetics (B)	Standard	UG	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
		PGT (UG fee)												
	Long	UG	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Midwifery (B)	Standard	UG	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
		PGT (UG fee)												
	Long	UG	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Nursing - adult (C1)	Standard	UG	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
		PGT (UG fee)												
	Long	UG	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Nursing - children (C1)	Standard	UG	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
		PGT (UG fee)												
	Long	UG	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Nursing - learning disability (C1)	Standard	UG	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
		PGT (UG fee)												
	Long	UG	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Nursing - mental health (C1)	Standard	UG	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
		PGT (UG fee)												

Complete all relevant cells in Columns 1, 2 and 3 with counts of full-time years of instance for all combinations of fundability and starting year.

Note: Tables 6b and 6c have a similar structure to and use the same definitions as Table 6a

## Table 7 Locations

86. **Only providers that have not completed HESES or HESF previously will need to complete the locations table; for all other providers, the sheet will be hidden.** This table collects information about the locations at which you expect students to be taught in the 2020-21 academic year. Locations are always campuses or other premises of a provider, even though some students may be away from those locations during a year of instance (for example, because they are studying by distance learning, on a work placement or on a study year abroad). This information will be used to calculate any location-based funding allocations and allows us to identify whether any of your students will be taught by another organisation on your behalf (subcontracted out). **Only OfS-fundable students should be returned in this table.**
87. A partial screenshot of Table 7 is shown in Figure 16.
88. When completing Sections 1 and 2 of this table, you need to further break down the years of instance into:
- location type (which must be either a location of your provider, or of a subcontracted-out provider)
  - location identifiers (UK Provider Reference Number (UKPRN), name of location and campus postcode).
89. You need to complete one row for each of your provider's own locations, and one row for each location of a provider that teaches students on your behalf under a subcontractual arrangement. If a provider teaches in a number of separate buildings that all fall within a single local authority district or unitary authority<sup>2</sup>, these can all be treated as a single location. Hence we would not generally expect locations that are all part of a single campus to be identified separately. However, if teaching is provided at locations in different local authority districts or unitary authorities, those locations should be identified separately, using a new row on the table for each.
90. When completing the table you will need to:
- a. Start a new row for each new location. Leaving empty rows between filled rows will trigger a validation error. **Row number** will be automatically completed.
  - b. Select the **location type** from the dropdown list:
    - i. **Subcontracted out** – for years of instance where another provider teaches students on your behalf under a subcontractual arrangement. If the subcontracted provider has more than one campus, start a new row for each.
    - ii. **Other** – for all other years of instance.

If a student is taught at more than one location, for example if some, but not all, of their teaching is subcontracted out to another provider, their year of instance should be split according to the proportion of teaching activity that takes place at each location. Study by distance learning should be attributed to the main address of the provider that delivers it

(reflecting whether this is subcontracted out or not). The location type for learning in the workplace, work experience, or study abroad, should normally be recorded as 'other'. However, if delivery of a whole course is subcontracted out to another provider, then the location type for any learning in the workplace, work experience or study abroad that forms part of that course should be recorded as 'subcontracted out'.

- c. Enter the **UK Provider Reference Number (UKPRN)**:
- i. If 'Subcontracted out' is selected as the location type, enter the UKPRN for the subcontracted-out provider.
  - ii. If 'Other' is selected as the location type, the UKPRN column will be populated automatically with the UKPRN of your provider.

Where the UKPRN for a subcontracted-out provider is not known, values can be obtained from the UK Register of Learning Providers.<sup>5</sup> If a subcontracted-out provider does not have a UKPRN, you may use the following generic codes (as defined by the Higher Education Statistics Agency (HESA)) in the UKPRN column:

- 4002 Other Non-UK provider
  - 4003 Other public body in the UK
  - 4004 Other private body in the UK.
- d. The **Name of location** column will be automatically populated to show the provider name associated with the UKPRN. You should modify this to **additionally** record the location, if the provider has more than one location or campus. If you entered a generic code under UKPRN, enter the name of the provider in the Name of location column and, if it teaches your students at more than one location, a further name to identify each such location. Do not group different providers into a single row; list each provider (and each of their locations) in individual rows.
- e. Enter the **postcode** for each teaching location. This must be a location of the relevant provider, and will therefore not necessarily reflect where a student is undertaking their course-related activity. If you used the generic code 4002 (Other non-UK provider) in the UKPRN column, then enter 'NA' in the postcode column. For students studying by distance learning the postcode should be that of the main address of the provider that delivers the distance learning (reflecting whether this is subcontracted out or not). For students undertaking learning in the workplace, work experience or study abroad this should be the postcode of a location of the provider at which teaching for the whole instance primarily takes place.
- f. For each row, you need to complete Sections 1 and 2, broken down by price group. You may need to split years of instance across price groups. In these cases up to two decimal places can be used.

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<sup>5</sup> See <https://www.ukrlp.co.uk/>.

- g. Enter the estimated completed years of instance in section 1. The total for each price group should be equivalent to the total of each price group in Column 4 of Tables 1-3.
- h. Enter the estimated full-time equivalence (FTE) into section 2. A full-time year of instance should be assigned an FTE of 1. A sandwich year out should be assigned an FTE of 0.5. Calculation of FTE for part-time years of instance can be based on credit points studies or on the duration of the course. For further details please see HESES20 Annex E. The total for each price group should be equivalent to the total of each price group in Column 4 in Table 1 and Column 4a in Tables 2-3.

91. **Validation failure** messages will occur in Table 7 if:

- a. A row has been left blank and data has been entered below it.
- b. The location type has not been set as 'Other' or 'Subcontracted'.
- c. You enter an invalid UKPRN or generic code, or no UKPRN or generic code in a row.
- d. The UKPRN is not the provider's own, where the location type has been set as 'Other'.
- e. The UKPRN is the provider's own, where the location type has been set as 'Subcontracted'.
- f. The name of the location has not been entered.
- g. An invalid postcode or no postcode has been entered.
- h. You enter a negative number.
- i. You record numbers to more than two decimal places.
- j. No completed years have been entered in Section 1.
- k. The FTE has not been entered in Section 2.
- l. The FTE entered in Section 2 is greater than the completed years in Section 1.
- m. You have entered data which does not equal the equivalent total in Tables 1, 2 and 3.



## Other worksheets

92. A number of other worksheets may be included in your HESES workbook:

- comparison sheets 1 to 3
- other comparisons
- funding comparison tables (A to G).

93. These worksheets compare the data you have entered in Tables 1 to 6c for 2020-21 with data for previous years, where this is available. They are provided for information and allow us to identify where your higher education provision has changed over time.

94. You do not have to enter any data directly into these tables: the relevant information will be automatically drawn from Tables 1 to 6c. However, we will use several of these tables to inform our data verification queries and we expect you to review them when completing your workbook.

95. Further detail on these worksheets can be found in the appendices to this document. Specifically:

- appendix 4 describes comparison sheets
- appendix 5 describes funding comparison tables (A to G).

96. Paragraphs 97 to 103 explain how the comparison tables summarise data for those completing HESES20.

## Comparison sheets

97. These worksheets contain tables that summarise your HESES20 data and compare it with data for 2018-19 and 2019-20 (where available). These tables break down your data in different ways. For example, one comparison table looks at how your non-completion rates have changed between years.

98. These tables will show automatic highlighting where the changes between years are greater than expected, according to pre-set thresholds. You should make notes on any highlighting on these tables and determine the underlying changes to your provision that this reflects.

99. During the data verification phase of the HESES process (see paragraphs 116 to 128), our questions will take account of any highlighting in the comparison tables. We strongly recommend that you email us with explanations based on your notes when you submit your workbook.

## Other comparisons

100. This worksheet also contains tables that summarise your HESES20 data and compare it with previous years (where available). We will not routinely ask questions on these tables during the data verification process.

## Submitting your survey - How to submit your survey

### Funding comparison tables

101. The funding comparison tables will be visible only to providers registered in the Approved (fee cap) category. The tables show modelled funding allocations using your HESES20 data and the funding methods used for 2020-21. The allocations in the funding comparison tables are shown only as a comparison tool. They are illustrative calculations using the 2020-21 funding method and parameters and should not be considered as any kind of funding commitment.
102. If we have announced funding for 2020-21 to your provider, we will compare the modelled allocations with the 2020-21 funding allocations in your provider's latest grant tables.
103. You will not routinely be asked about funding changes during the HESES20 data verification phase. However, we would encourage you to look at these comparisons as they can be used to check your data and to identify large errors.

## Submitting your survey

104. This is an outline of the process for submitting your completed survey. Further details can be found in Appendix 1 ('Downloading and submitting HESES20').

### How to submit your survey

105. You must submit your survey using the OfS portal, which is located at this address:  
<https://extranet.officeforstudents.org.uk/data/>.
106. Each provider has one or more portal user administrators. They manage the provider's staff access to the portal itself and to the relevant areas within it. If you are having difficulty accessing the portal, in the first instance please refer to your portal user administrator.
107. We strongly recommend that you liaise with your portal user administrator(s) as early as possible to ensure that the relevant staff have timely access to the portal area required for HESES20.
108. If you have difficulties that cannot be resolved by your portal user administrator, please contact [portal@officeforstudents.org.uk](mailto:portal@officeforstudents.org.uk).
109. In order not to breach data protection, **you must not email the HESES workbook**. Please use the OfS portal as described here and in Appendix 1.

## Self-check questions

110. Please ensure that you can answer 'Yes' to all of these questions before submitting the completed HESES20 return.

Q1. Is your student records system recording student information in accordance with the OfS funding rules? Have you complied with the OfS funding rules and definitions, as set out in the main HESES20 guidance?

Q2. Have you kept an effective audit trail?

Q3. Have you passed all validation checks on each table? (See Appendix 2 'Validation checks on HESES20 data' for further information.)

Q4. Where the workbook shows credibility warnings or automatic check highlighting on the comparison tables, have you:

- checked the data to make sure that it is correct?
- checked that you are using the correct OfS definitions?
- emailed [dataverification@officeforstudents.org.uk](mailto:dataverification@officeforstudents.org.uk) to explain why the data is credible?

(See Appendices 3 and 4 of this document and the main HESES20 document for further information.)

Q5. When assessing non-completion status, have you:

- checked that you are using the correct definition of non-completion?
- based your non-completion estimates on appropriate historical data (where available)?
- taken into account variations between courses, years of instance and modes of study?

Q6. If you have included any forecast years of instance in Column 2 of the tables in the HESES20 workbook, do they meet the criteria to be included? (See HESES20 Annex C and the guidance above for further information on what activity may be recorded in Column 2).

Q7. Where you have made forecasts and estimates for the HESES return, are they made from robust and accurate past performance data? Have you kept an audit trail for these decisions? Have you discounted the effects of the coronavirus pandemic when making these estimates?

Q8. Have all contracted-out years of instance been included only on your provider's return, and not on the teaching provider's return? (See HESES20 Annex A for more information).

Q9. Have you excluded years of instance which are contracted in?



## HESES submission deadline

111. When you are satisfied that the survey is complete, valid and accurate, you have until the submission deadline to upload the workbook to the OfS portal. The deadline dates are:

- a. **For further education and sixth form colleges and academies:** noon on 12 November 2020.
- b. **For all other providers:** noon on 10 December 2020.

We will not give extensions to these deadlines. Please note that the portal usually sees heavy traffic on the days leading up to the deadline and this can cause the upload process to take longer than usual.

112. Please note the following about the submission of HESES workbooks:

- a. Although it is possible to upload your survey to the portal at any time, your final submission must be uploaded **after** the census date.
- b. It is possible to submit the workbook several times, but we will only keep and use the most recently uploaded version.

## Submitting initial explanations

113. After uploading the HESES workbook, you should email [dataverification@officeforstudents.org.uk](mailto:dataverification@officeforstudents.org.uk) with explanations for any highlighted credibility checks or comparison table entries (see paragraph 24). This highlighting will form the basis of any questions you are asked as part of the data verification phase of the HESES process.

114. Explanations should include sufficient detail to allow us to understand fully the cause for any highlighting (see Appendices 3 and 4). Providing explanations with your submission will considerably shorten the data verification phase. For data protection reasons, your explanations must **not** contain any information that could potentially allow identification of individual students.

## The results package

115. After the HESES 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 HESES workbook, which will have an updated 'Information' worksheet that will show the submission date and number. You should always download the results package, as we will refer to the most recent version of your workbook during the rest of the HESES process.

116. It is important you download your results package before the deadline as once the deadline has passed the portal process will change to an amendments process, which is used during data verification. There will no longer be a 'results' button and the latest submitted workbook can be obtained by using the download button.

## The data verification phase

117. The data verification phase of the HESES process allows us to:

- have greater confidence in the accuracy of your data
- understand any context to the data and how this relates to changes highlighted
- identify any large or unexpected changes from previous years.

118. The data verification phase starts after the submission deadline and ends on the sign-off deadline (**Tuesday 2 February 2021** for all providers). By this point any queries we have will need to be answered and your data will need to be signed off as correct. The timescale for data verification takes account of the holiday period. It is advisable to have more than one member of staff involved with completing the HESES survey.

119. After the submission deadline, we will email your provider's student data contact with our initial queries. This email will come from a member of our data verification team who will have reviewed your HESES workbook, along with the initial explanations that you have sent us. This initial email will contain a letter with full instructions, along with our specific queries set out in a separate Microsoft Word document.

120. We expect your response to our initial queries to be returned within five working days to [dataverification@officeforstudents.org.uk](mailto:dataverification@officeforstudents.org.uk). We will then review your response and, if necessary, raise further queries. Several rounds of queries are often necessary before your data is ready to be signed off. In later rounds of queries, response deadlines may be shorter because of the timescales of the data verification phase.

121. During data verification, it may become apparent that part of your workbook needs to be amended. If so, directions for resubmitting the survey will be provided.

### Data queries

122. When generating initial queries, we will look at:

- credibility warnings on the Courses table (if applicable) and Tables 1 to 6c
- highlighting in the comparison tables
- other relevant issues.

These queries do not necessarily indicate that we believe that your data is incorrect. Instead, they indicate areas where your data differs from what we would expect, based on the data we have available. In such cases we are looking for assurance that this reflects actual changes in your provision, and to understand the underlying causes.

123. The credibility warnings, and many of the changes in the comparison tables, will be automatically highlighted in your survey workbook as you complete it. They are triggered when your data exceeds certain thresholds – more information on this is given in Appendices 3 and 4.

## Signing off your data - The results package

124. Generally, queries are raised:
- a. Where your data differs from our usual expectations; for example, when you have a particularly low percentage of new entrants.
  - b. Where your data shows a significant change from previous years; for example, when your total number of students has increased or decreased more than a pre-set threshold.
125. In your initial explanations, and when you respond to our queries, we require responses that directly relate to the query raised, provide an appropriate level of detail, and show an understanding of HESES definitions.
126. If you are addressing queries raised from the comparison tables, you should describe how your higher education provision has changed compared with the previous year. You may wish to reference specific changes in provision at a department or course level. You should also describe changes to any provider arrangements, for example if your subcontractual arrangements with other providers have changed.
127. We recognise that a single underlying issue can relate to several queries. In this case we do not expect you to repeat your answers – it is acceptable to answer once and refer to this answer later. However, you should also check to see whether there are any other issues that may have contributed to the query.
128. You should review responses your provider has given to data verification queries in previous years to see whether these refer to ongoing issues. We do not want to assume that these answers still apply to your provider, so may ask similar questions; it can be useful to pre-empt these questions by providing any relevant answers in your initial explanations.

## Signing off your data

129. When our queries have been resolved and any amendments to your data have been processed, we will ask for your data to be signed off by your provider's accountable officer, who is usually the head of provider.
130. We will send you a verification form by email. Please check that the date and version number match those in your most recent HESES workbook. Your accountable officer will need to sign this form, which should then be emailed to [dataverification@officeforstudents.org.uk](mailto:dataverification@officeforstudents.org.uk). The final deadline for us to have received the sign-off form is **noon on Tuesday 2 February 2021**.
131. Under condition of registration F3 a provider must provide the OfS with such information as the OfS specifies at the time and in the manner and form specified. All providers registered in the Approved (fee cap) category that have students registered with them in 2020-21 on courses recognised for OfS funding purposes must submit a HESES20 return, the deadlines for which are not flexible. Where a provider fails to submit data on time, or returned data is not credible after verification, we may allocate funds based on our own estimates of student

## Data assurance - What happens after the data is signed off

activity.<sup>6</sup> Providers that do not submit or sign off credible data on time are more likely to be audited.

### What happens after the data is signed off

132. Straight after the sign-off deadline, we will start to prepare HESES data for various uses, including the calculation of recurrent grant for 2021-22. Grant payments will be made only while, and in respect of periods during which, a provider meets all eligibility requirements for them, including that it is in the Approved (fee cap) category on the OfS's Register.
133. Shortly after the data verification phase has ended, we will contact you for feedback on the HESES process, through an online survey. This feedback is extremely valuable to us; it will allow us to evaluate the effectiveness of the HESES process and will guide any improvements that we may consider for future data collection.

## Data assurance

134. Data assurance is an essential part of how we can ensure that our approach to regulation is appropriate and effective. The requirement to permit verification of information is a condition of registration F3, which applies to all registered providers. More information on condition F3 is set out on pages 127-131 of the Regulatory Framework.<sup>7</sup>
135. It is essential to keep an audit trail when filling out your HESES return, recording how your decisions have been made and the data used to support them. As part of our regulatory responsibilities, examples of areas we may look at include:
  - whether there is sufficient data for any estimates, forecasts or judgements
  - evidence of enrolment and engagement
  - any relevant internal audit work carried out on your student record system or HESES return.
136. Our data audits test the systems and processes used by a provider to prepare specific aspects of their data. This can involve desk-based audit work, as well as visits to providers to:
  - a. Review systems used to manage student data
  - b. Review supporting audit trail documents that show how the return was produced
  - c. Test the values reported on the return and the assumptions underpinning it. This involves selecting samples (or whole populations) of students and testing how they have been reported in the return.

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<sup>6</sup> See paragraph 22 of 'Terms and Conditions of Funding for 2020-21' (OfS 2020.22), available at [www.officeforstudents.org.uk/publications/terms-and-conditions-of-funding-for-2020-21/](http://www.officeforstudents.org.uk/publications/terms-and-conditions-of-funding-for-2020-21/).

<sup>7</sup> See [www.officeforstudents.org.uk/publications/securing-student-success-regulatory-framework-for-higher-education-in-england/](http://www.officeforstudents.org.uk/publications/securing-student-success-regulatory-framework-for-higher-education-in-england/).

## **Data assurance - Audit recommendations**

137. Audits will often include a review of the final (outturn) position of students at the end of an academic year. This will allow us to assess the reasonableness of any assumptions made when they were included in the HESES return, for example in non-completion estimates.
138. We will compare your HESES submission with data submitted to HESA or to the ILR (whichever is appropriate for the provider) for the same year. We will use this comparison to assess the risk that HESES, HESA or ILR data is incorrect. This could lead to assurance work and will be considered as part of ongoing registration.

### **Audit recommendations**

139. Previous audits of student data have identified a number of areas where some providers were incorrectly interpreting the relevant definitions, or where internal provider systems and practices complicated the production of the relevant return. These have included:
- incorrect assignment of activity to price groups
  - incorrect identification of mode of study
  - inadequate recording of entry qualifications
  - weaknesses in processing student withdrawals and transfers
  - inadequate recording of submission dates of final assessments, for the purpose of determining completion status
  - incorrect application of the rules on student completion (particularly those around the requirement for submission of the final assessment in all modules intended to be studied in the year)
  - failure to identify students' study intentions for the year for the purpose of determining completion status
  - lack of robustness in estimating non-completions and forecasting countable years
  - incorrect calculation of FTE and incorrect assignment of multiple instances to part-time students following modular programmes
  - poor communication and lack of oversight within partnership arrangements
  - inadequate audit trail between the student record system and the HESES return
  - lack of systems notes for recording data on student activity and for the HESES preparation process
  - lack of rigorous checking including analytical review of figures in the return to identify anomalies and ensure that the data makes sense
  - lack of reconciliation between HESES and HESA or ILR returns.

## Good practice - Audit trail

140. We strongly recommend that providers review their arrangements regularly, taking into account the above, as well as the 'Good practice' section of this document (paragraphs 144 to 150). Providers should give particular attention to any changes introduced in HESES20, and ensure they have assurance over all aspects of the return in case of audit.

### Audit trail

141. You should keep an adequate audit trail between student record systems and the HESES return for **at least five years**. This should include a record of the basis for estimating non-completions and forecast countable years, along with any relevant electronically stored data, printouts and working papers used in completing the return. Source documents such as registration forms should also be retained, including information on students' detailed study intentions for the academic year and their qualifications on entry.
142. There should be an audit trail to individual figures in the return. In the case of figures based on activity up to the census date, a clear trail from individual students to the figures should be retained. During audit we may ask for a sample of these figures to be rebuilt. In the case of estimates and forecasts, there must be a clear rationale for the figures, and backup data justifying what is being returned.
143. Where your provider is involved in subcontractual or other partnership arrangements, your audit trail must contain evidence for the inclusion or exclusion of students (including details of the partnership arrangements between providers), and forecasts relating to such students. In particular, providers should ensure that evidence of completion status of students taught by partner providers is held.

## Good practice

### Knowledge management and staff training

144. It is advisable to have **at least two people** who know how to prepare the HESES data return. At many providers, the knowledge required to prepare the HESES return is undocumented and sometimes lies with only one person. This creates a risk that in that person's absence, particularly at crucial times of the year, the provider may not be able to prepare the return on time and to the appropriate standard. A good audit trail helps to reduce this risk, but we also consider it good practice for all providers to manage this risk by ensuring that at least two people can produce the information for the return and prepare the return itself.
145. All relevant staff, including experienced staff, should consider the HESES guidance each year and make any necessary changes to their systems. Providers should also ensure that the relevant processes are adequately documented and that this documentation is kept up to date.
146. Staff should prepare data returns using **OfS funding rules** set out in the HESES guidance, **not** their own academic regulations. There are, quite reasonably, differences between providers' academic regulations and the rules relating to the counting of students for funding purposes. It is essential that individuals involved in completing student data fields used for funding purposes fully understand the fields they are completing in the student record. For

## Good practice - Analytical reviews and data reconciliations

these fields, student activity should be reported with regard to funding rules and not in accordance with the provider's own academic regulations and progression rules.

147. Your data collection and recording procedures should be **applied consistently** across the provider. Although providers have academic regulations and procedures for managing student data in their student record systems, practice within providers can be inconsistent. In general, provider practices for collecting and recording data should be applied consistently across all departments and faculties with the same data requirements. However, some departments may have additional requirements to meet. For example, faculties of health studies often have requirements beyond those of the rest of the provider.

## Analytical reviews and data reconciliations

148. You should **check your 2020-21 HESA student record** or **2020-21 ILR record** against your HESES20 data **before** your HESA or ILR data is submitted. Differences should be examined as part of the process for identifying possible data errors and amendments made to the HESA or ILR data if necessary. It should also help to eliminate inconsistencies in students' treatment in future data returns, and reduce systems problems with the way students are returned in HESA or ILR data before submission. In summer 2021 we expect to give providers access to a data checking tool that will be able to recreate a provider's HESES20 data from its 2020-21 HESA or ILR return.

## Management information

149. In gaining assurance, we do not ask for any reports that could not reasonably be expected to be used in everyday activity. However, some providers have great difficulty in extracting this standard data from the student record system, and many do not even hold the required data. Data that cannot be extracted and reported on is of limited value.
150. Developing exception reporting (and using it to highlight data issues for review and subsequent amendment) will help to ensure that high-quality data is returned. Data quality is also enhanced by data management reviews by those with a good understanding of the data.

## Abbreviations used in this document

Abbreviation	Explanation
EU	European Union
FTE	Full-time equivalence
HESA	Higher Education Statistics Agency
HESES	Higher Education Students Early Statistics survey
LDCS	Learn Direct Classification System
OfS	Office for Students
PGR	Postgraduate research
PGT	Postgraduate taught
UG	Undergraduate
UKPRN	UK Provider Reference Number





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