

## HESES15 Process and Notes

Higher Education Students Early Statistics Survey (HESES) is an annual statutory return that informs, together with the annual data submissions of the various Higher Education Statistics Agency (HESA <http://www.hesa.ac.uk/>), the government's distribution of funding and monitoring of Higher Education provision in England. HEFCE use HESES to provide an early indication of HE provision for planning purposes and distribution of teaching funding allocations for 2016/17.

The full HESES document is available from  
<http://www.hefce.ac.uk/pubs/year/2015/201519/>

This document aims to provide an overview of changes since HESES14 and outlines the procedures that the Planning Unit undertake in order to compile and submit the University's HESES15 return. Also included are details about some aspects of the return, where there is now a more detailed guidance and any new requirements. Please note that where information in the HEFCE full document is deemed to be of specific significance it is reproduced in its entirety here, to ensure clarity of meaning. Summarised details are used for much of the information in the HEFCE document which is over 100 pages in length but please use these notes in conjunction with the full document (see above for web address).

HESES remains an important exercise despite the changing nature of HE funding. HEFCE will use HESES to monitor HE activity across the sector as well as to inform the HEFCE grant allocation. Further information on how HEFCE uses HESES survey data to allocate funding is included in their 'Guide to funding 2015-16: How HEFCE allocates its Funds'  
<http://www.hefce.ac.uk/pubs/year/2015/201504/>

At the end of the academic year the University is required to submit an individual HESA record for all students studying in the UK, HEFCE will use Details of the HESA submission are available from HESA's web site at:  
[https://www.hesa.ac.uk/index.php?option=com\\_studrec&Itemid=232&mnl=14051](https://www.hesa.ac.uk/index.php?option=com_studrec&Itemid=232&mnl=14051)

The algorithms HEFCE use on that data are explained in technical documentation available at:  
<http://www.hefce.ac.uk/data/famd/>

HEFCE have a specific population described in the full HESES 15 document (see link at the top of this page) and use Completion Status as their main volume measure, in order to 'complete' the student must have completed their intended study for the year – this is defined as attempted the final assessment for all modules registered for the academic year unless the student did not need to take the final assessment in order to pass that module. This completion status is a field submitted in the HESA return for all students. HEFCE offer further details in their document <http://www.hefce.ac.uk/whatwedo/lt/howfund/>

### **Summary of changes since HESES14:**

- HEFCE Fundable students are no longer split between new and old fee regime.
- Co-funded students are no longer reported, students should be returned as Fundable or Non Fundable according to the fundability criteria
- Media Studies is no longer a separate price group and should be returned in Price Group C1
- Sports Science and Leisure Studies is no longer a separate price group, and should be returned in C2
- Table 5 no longer includes a Franchise subset, this data is now collected in table 6, previously used to collect the Student Number Control (SNC) monitoring data which is no longer required. The data previously called Franchised Out is now included in the sub group 'Students taught under sub contract arrangements by other providers'.
- Comparison tables in the HESES workbook have changed significantly and HEFCE advise that these should be used together with the indicative funding worksheets as part of the data quality checking processes prior to submission of the survey.
- The guidance includes extensive descriptions of validation failures and credibility warnings for each of the tables in the survey.

### **Changes and clarifications to/of definitions - those of particular importance to the University of Wolverhampton are in bold and underlined.**

Data is no longer collected on SNC or Old and New Regime students, annexes and guidance dealing with these groups of students have been removed from the document.

Guidance has been updated in Annex A of the full document regarding Institutions' responsibilities in **partnership arrangements, including contractual arrangements**.

Guidance on **NON –COMPLETIONS estimations** is updated in Annex D paragraphs 12-16. Clarification is included on retake modules in Annex D paragraphs 19-20 of the full document.

Guidance is introduced regarding FTE calculation for flexible part time study, including Distance Learning in Annex E paragraphs 10-13 of the full document.

Criteria for Home/EU non fundable determination is amended to remove criteria that only applied to old regime students. Annex F of the full document, paragraph 13 has more info. This Annex also includes updated guidance regarding students aiming for equivalent or lower qualifications (ELQ). **Where qualifications are not known – such students should be returned as if aiming for an ELQ.**

Annex F guidance has been updated to take account of the Framework of Qualifications for England, Wales and Northern Ireland now includes those for Scotland.

**Annex G** includes clarification on Price Groups applicable to Post Graduate Clinical Veterinary Science students, also guidance **on assigning modules or parts of a course to correct Price Groups**

**Annex H includes simplified guidance on the return of part time students in receipt of full time support paragraph 3 has more information**

**Annex J** has information following the removal of the criteria that allowed some summer school courses attached to years of instance to be returned as long courses.

#### **Other changes**

HEFCE have restructured the guidance document. They now include labels and screen shots on table descriptions which are very helpful. They include boxed guidance of associated **HESA notes** throughout section 2 of the full document together with additional examples and

flowcharts. The HESA notes are collected into a separate document, which we will share with Student Records colleagues. If you would like a copy please e-mail [Planning@wlv.ac.uk](mailto:Planning@wlv.ac.uk)

The full document is divided into sections:

### **Section 1**

Instruction on accessing and completing the tables, submission of the survey and descriptions of funding tables, data verification, data assurance and good practice.

**Note that HEFCE will ask questions on large differences in funding that show in the funding tables to check for accuracy**, and note that the tables should not be used to show a commitment from HEFCE for the indicative funding within the tables. Institutions will be asked to check differences in the data comparison tables 1 and 2 (but not table 3) and provide explanation for such differences as part of their data verification exercise.

**Credibility checks and warnings require e-mailed explanations to be submitted alongside the HESES survey.**

Institutions are required to keep an audit trail of activities, particularly of derived data used, for audit purposes, which HEFCE will undertake on a risk basis.

Data reconciliation occurs at the end of the academic year. HEFCE use HESA data to recreate the HESES tables and where significant differences occur between the recreation and the original HESES submission, Institutions will be selected to undertake a Funding and Monitoring data reconciliation exercise (FAMD). If selected we have to explain differences, and if necessary resubmit amended HESA data - this will then be used by HEFCE in any consequential funding and student number monitoring exercises. HEFCE also compare the HESA data with other data including FE colleges, ILR's the National Pupil database and the Student Loans Company.

**The terms and conditions for payment of grant part of the memorandum of assurance and accountability between HEFCE and Institutions, (HEFCE2014/12) require that the Institutions audit committee's annual report must include their conclusions on the**

**adequacy and effectiveness of the arrangements for the management and quality assurance of data submitted to HESA, HEFCE and other funding bodies.** They require this to ensure adequate governance oversight of system used to generate data. Further guidance for audit committees is available at [www.hefce.ac.uk/reg/guidance](http://www.hefce.ac.uk/reg/guidance)

**PREVIOUS AUDIT ISSUES IDENTIFIED INCLUDE:**

- Inadequate recording of entry qualifications
- 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)
- Inadequate recording of submission dates of final assessments, for the purpose of determining completion status
- 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 full-time equivalence and incorrect assignment of multiple instances to part-time students following modular programmes
- Incorrect assignment of activity to price groups
- Incorrect identification of mode of study
- Poor communication in 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 analytical review of figures in the return to identify anomalies and ensure that the data makes sense
- Lack of reconciliation between HESES and HESA returns before submission to HESA

**Section 2**

Funding rules and definitions describes in detail, the HESES population including useful flow diagrams and examples, including where less than half the activity is studies abroad and where the student may be part of a connected undertaking arrangement. This section also describes rules for 'Recognised Higher Education' qualifications, student activity including non- standard

years and assigning modules to years of instance. Section 2 includes advice on estimating student load and non-completion rates, residential and fundability status, ELQ identification and Price Groups. Guidance on mode, level and long versus standard years of instance and year abroad is included in this section together with a list of abbreviations (page 111) and an index (page 112).

We have collated the Good practice guidance into a separate document for ease of use.

**The provisional timetable for HESES15 and the 2016-17 funding round is summarised below.**

By 30 October 2015	Extranet keys issued to institutions (heads of institution and HESES contacts). HESES workbooks available to institutions via the extranet.
10 December 2015	12 noon deadline to return HESES data.
Mid-December 2015	Validation and credibility checks by HEFCE. HESES contacts asked to verify, and answer any questions about, the data. Contacts will have up to <b>five working days</b> to respond. Institutions notified of provisional formulaic grant adjustments arising from recruitment against their medical and dental intake targets, and invited to submit appeals.
15 January 2016	Each institution's accountable officer must have signed off its HESES data as being correct as at 1 December 2015. Deadline for submission of appeals against medical and dental intake targets
22 January 2016	Institutions notified of final grant adjustments arising from recruitment against medical and dental intake targets, including the outcome of appeals.
22 March 2016	Recurrent teaching grant: Institutions notified of allocations for 2016-17 and final allocations for 2014-15.
24 March 2016	Recurrent teaching grant: Publication for all institutions of final

## HESES15

	allocations for 2014-15, and allocations for 2016-17.
Late July 2016	Institutions receive their funding agreements for 2016-17.
29 July 2016	Deadline for institutions to request transfers of provision and other amendments which affect funding allocations.
Late October 2016	Recurrent teaching grant: Institutions notified of any amendments to allocations for 2016-17 and final allocations for 2014-15.

- ❖ Deadlines for the HESES15 return are not flexible. Where an institution fails to return credible data on time, we may base the allocation of funds on our own estimate of student activity. Institutions that do not submit credible data on time are more likely to be audited.
- ❖ If we find, either through reconciliations with HESA data or through any data audit, that erroneous data has resulted in institutions receiving incorrect funding, we will adjust their allocations accordingly for all relevant years (subject to any appeals process and the availability of our funds).

Your completed HESES15 survey must be uploaded to the HEFCE extranet no later than **noon on Thursday 10 December 2015**. **We will not give extensions to this deadline.**

### **The Planning Unit timetable and processes to achieve this is:**

Current enrolment and other data, as required in HESES specification, will be extracted from SITS and formatted for each Faculty ahead of scheduled meetings (November 25<sup>th</sup>,) with Planning staff, Deans of Faculty and OVC members to agree current student numbers and identify any courses/cohorts expected to enrol after December 1<sup>st</sup> and a meeting to confirm international numbers with IC will take place on 3<sup>rd</sup> December.

Data updates will follow immediately after meetings with Faculties

Week beginning Monday 30<sup>th</sup> November we will prepare draft return from collected and exported data into HESES:

- Disaggregate student data into Price groups (note Price Group C is split into C1 and C2 for ALL students) the two new Media and Sports science & Leisure studies added in HESES14 are now included in Price Groups C1 and C2 respectively. ITT and INSET to C2.based on module composition of courses aggregated to mode, based on modules returned in previous years HESA submission.
- Identify SWYO students for **table 2**, all are now Price Group C2
- Calculate Non Completion rates from HESA submission
- Calculate part time load for **table 3** from HESA submission
- Complete FT, SWYO and part time tables with data identified as above
- Identifying Full Year abroad Erasmus and non-Erasmus students for **table 4**
- Complete **table 5** 'Further Student breakdowns for Planning, a subset of tables 1,2,3, by level of study, (HND, Sub degree excluding HND, FD, Other UG, PGT, PGR)/ Mode (Ft & SWYO and PT)/ Fundability (HEFCE Fundable, Non-Fundable and Island & Overseas)/Residential status (UK Domiciled, Other Home and EU and Island& Overseas) New entrants to courses of study as a subset of the population for column 2
- Complete **table 6** 'Students taught under sub contractual arrangements by providers requires UKPRN for sub contractual arrangements – if we sub contract to an institution without UKPRN we can use generis codes (para 43 on page 28) List of UKPRN's is available via link on HEFCE doc page 29 'UK REGISTER OF LEARNING PROVIDERS'
- Check validation errors and warnings in tables 1 to 6 and compile explanatory email to be sent to [dataverification@hefce.ac.uk](mailto:dataverification@hefce.ac.uk)
- Check comparison tables to ensure accuracy of data
- Complete self check from HEFCE 's list of self-check questions on p37 of full document.



## HESES15

- Draft HESES will be sent to Anthea Gregory for discussion, review of funding position and agreement of any changes required prior to final agreement by OVC
- 7<sup>th</sup> December draft submitted via HEFCE web facility to test for technical issues upon submission
- 9<sup>th</sup> December final version submission to HEFCE
- 10<sup>th</sup> December final review, HEFCE seek assurances that data submitted to HEFCE and also to HESA are accurate, and fit for purpose. They carry out a number of validation and credibility checks including a reconciliation at year end with HESA data.
- Submit e-mail explanation fro credibility checks and warnings
- Respond to any HEFCE's verification queries
- Following verification VC will be asked to sign off the data by Friday 15<sup>th</sup> January

**If you would like more details about the Planning Units compilation of the HESES return or about HEFCE's guidance please e-mail [Planning@wlv.ac.uk](mailto:Planning@wlv.ac.uk)**