

Office for
Students

The logo for the Office for Students, featuring a dark blue square with a yellow square in the top right corner containing the letters 'OfS' in white.

OfS

HESES20 training

Submission and verification of the HESES20 workbook

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Funding Officer

7 October 2020

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Webinar housekeeping

- Who is presenting today:
 - Main presenter: Roger Lear
 - Backup presenter: Will Scott
 - Q&A: Claudia Stilliard
- How to ask a question:
 - Q&A versus chat
 - Opportunities throughout the webinar.
- Closed captions are available.

What we will cover today



- How to submit your HESES20 workbook.
- How the OfS will carry out data verification on your HESES return.
- How to get your HESES20 submission signed-off.

Content of the series of webinars and timetable

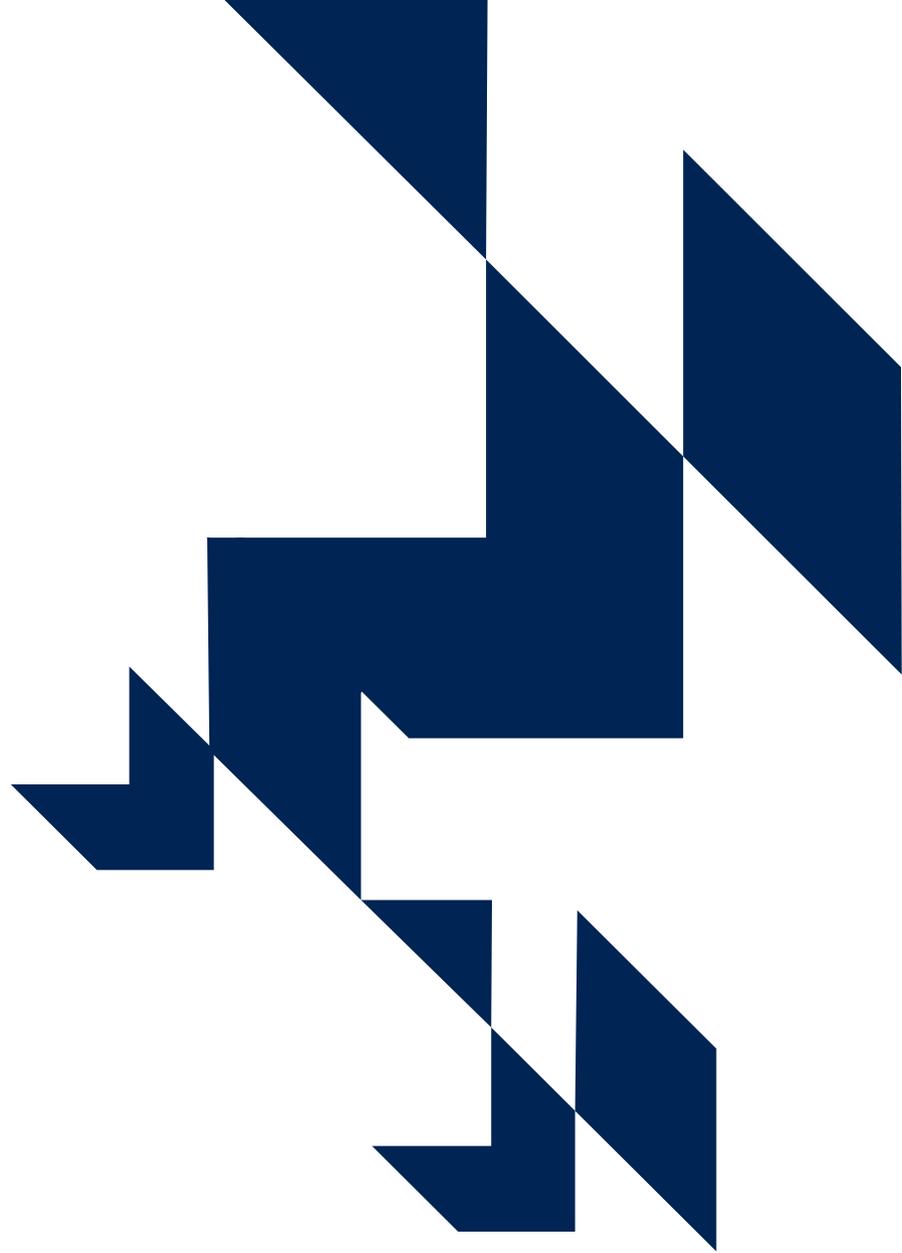
- Introduction to HESES20 and changes from HESES19:
1330 on Monday 28 September 2020.
- Categorising your students and important definitions:
1330 on Wednesday 30 September 2020.
- Counting your students:
1330 on Monday 5 October 2020.
- **Submission and verification of HESES20 data return:**
1330 on Wednesday 7 October 2020.
- Hands-on workbook exercises and breakout groups:
1330 on Monday 12 October 2020 (full) 1330 on Wednesday 14 October 2020 (full)
1330 on Tuesday 20 October 2020 1330 on Thursday 22 October 2020

More information available at www.officeforstudents.org.uk/events

Supporting materials

- Recordings will be available from the Office for Students website on the events page.
- We will also publish the slides on the website and any supplementary materials.
- Providers should also refer to:
 - **Guide to funding 2020-21** publication
 - HESES20 – Higher Education Students Early Statistics survey 2020-21 publication aka the **HESES guidance** document
 - **How to complete the HESES20 workbook** publication and **its appendices**
 - HESES website: www.officeforstudents.org.uk/heses
 - HESES videos on the OfS YouTube page: <https://www.youtube.com/officeforstudents>

How to submit your HESES20 workbook



HESES timeline

| Date | Activity |
|----------------------------|--|
| Late October 2020 | HESES20 workbook available to download from the OfS portal |
| 1 Nov 2020 | (Further education and sixth form colleges and academies) HESES20 census date |
| 12 Nov 2020 | (Further education and sixth form colleges and academies) Noon deadline: submit HESES20 |
| 1 Dec 2020 | (All other providers) HESES20 census date |
| 10 Dec 2020 | (All other providers) Noon deadline: submit HESES20 |
| Census date – January 2020 | Data verification – we will ask you questions about your data based on validation and credibility checks, and comparisons with previous years' data. |
| 2 Feb 2021 | Deadline for HESES20 sign-off by provider's accountable officer. |

Submitting the workbook using the OfS portal

- Why use the OfS portal?
 - A secure means of sending and receiving workbooks.
- Please **do not** send HESES workbooks by email.
 - Courses table data could be used in a way that increases the risk of individual students being identified.
 - Generally better for all to use the most secure data transfer method.
 - To send any additional sensitive information, please contact us first.
- Further guidance on using the portal: see www.officeforstudents.org.uk/heses.
 - Video (also on our YouTube channel).
 - Appendix 1 of Completing the HESES20 workbook document:
 - **Downloading and submitting HESES20.**

The OfS portal - <https://extranet.officeforstudents.org.uk/data>



Welcome to the OfS portal

To access the portal, you will need an account. If you were previously a user of the HEFCE extranet, you will already have an account and can use your existing login details. If you were not, you will need to [create an account](#) using the access key which was sent to you by post or email.

For more information about how we treat the information provided to OfS, and to view the terms and conditions of use, please see our [privacy policy](#).

This site uses cookies, please see our [privacy policy](#) for more information.

Login

Email

Password

Login

[Forgotten password?](#)

Have an access key but don't have an account?

[Create an account](#)

Having problems? Contact portal@officeforstudents.org.uk providing details.

 [Guidance for User Administrators](#)

- User administrators:
 - maintain portal user-ids
 - assign access to portal **areas**:
 - HESES20_FEC, or
 - HESES20_OTH.
- See the resources on the last slide:
 - our video about the portal
 - Appendix 1 of **Completing the HESES20 workbook**.

HESES submissions

- Before the census date:
 - upload permitted but submissions are **not valid**.
- After the census date:
 - multiple submissions allowed before the submission deadline.
- After the submission deadline:
 - data verification begins - we use the **most recently submitted workbook**.
- Unlocked workbooks will **not** be accepted.

Submitting the workbook and getting the results package

- Navigate to the correct area for HESES20 on the portal and start the submission process by clicking on the **upload** button.
- Upload and processing may take some time – check the status messages.
 - Try to avoid the last-minute rush.
- When processing of the workbook is complete on the portal:
 - check **outcome** and **comments** boxes for errors
 - if none, click **result** to get the **results package** zip file
 - only the person that did the upload can download the results package so store it in a safe place that's **available to all that need access to it**.
- See www.officeforstudents.org.uk/heses for links to Appendix 1 of Completing the HESES20 workbook and to our video with a live 'demo'.

The results package workbook

- The workbook in the results package has:
 - your submitted data
 - version data inserted on **Information** sheet (see next slide)
 - date of submission
 - submission number
 - (if required) the latest updates to the workbook.
- The results package version of the workbook will be **used in data verification**.
 - Use a copy of this version for any revisions that you make.

HESES20 – ‘Information’ tab

HESES20

Higher Education Students Early Statistics Survey 2020-21

Provider: Beispiel College

UKPRN: 1000000X

Workbook information

Date workbook submitted:

10/11/2020

Submission number:

1

Deadline:

13/11/2020

HESES template version: 2.11

Template notes: All comparison table highlighting now correctly listed in cell F15 of the Information tab.

Validation check: Table 1 (Full-time); Please see Appendix 2 for details of validation checks (see below)

First-stage credibility check: Table 1 (Full-time); Table 5 (Planning); Please see Appendix 3 for details of credibility checks (see below)

Comparison table highlighting: Table A; Table B; Table D; Please see Appendix 4 for details of comparison tables (see below).

Validation errors - example

- Data entered on workbook is not feasible.
 - Example: negative number entered in a cell that cannot be negative.
 - Highlighted in red in the workbook.

Validation checks for Table 1 (see Appendix 2 for full definitions of the underlying formulae)

1. The following totals are not whole numbers:

2. The following cells in Column 3 contain positive values:

3. The following cells contain values entered to more than two decimal places:

4. The following cells in Columns 1, 2 and 4 contain negative values:

Column 1, OfS-fundable, Price group A, Standard length, Level UG; Column 1, OfS-fundable, Price group A, Standard length, Level UG;

Validation: Failure (see below table)

First-stage credibility: OK

| Column 1 | | |
|---|-------------------------|-------------------------------|
| Years countable between 1 August 2020 and census date inclusive | | |
| Home and EU | | |
| OfS- fundable (a) | Non- fundable (b) | Island and overseas (c) |
| -250.00 | 0.00 | 0.00 |
| n nn | n nn | n nn |

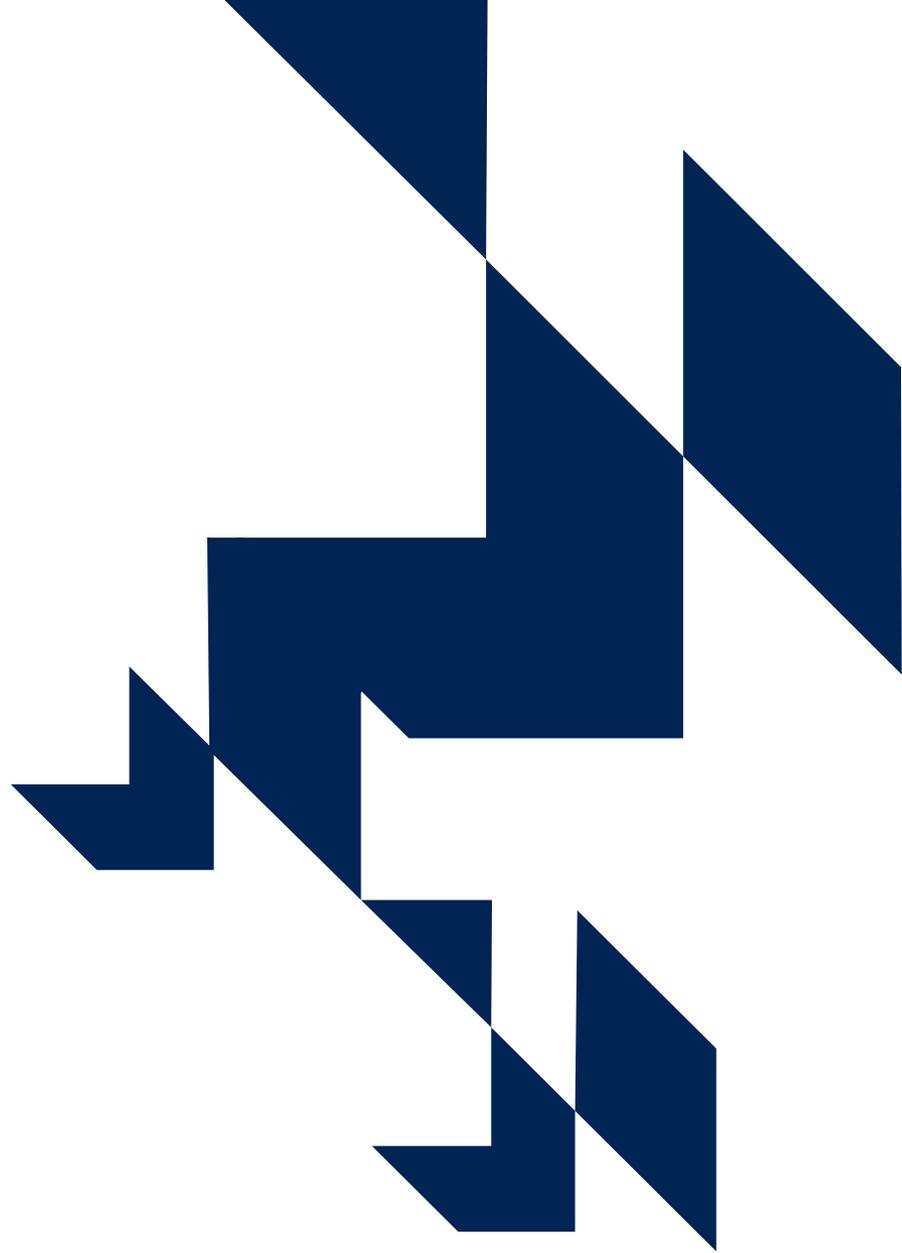
Validation sheet

- If validation errors are present, results package workbook will contain an additional **Validation** sheet
- Details the specific validation errors.
- These **must** be resolved before workbook will be accepted as a valid submission.

Any questions?



**How the OfS will carry
out data verification
on your HESES return**



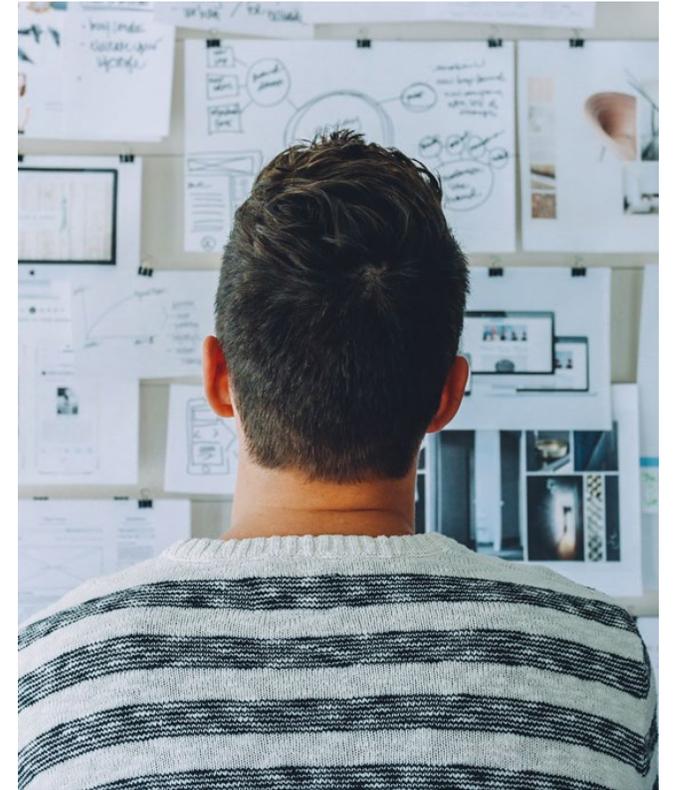
Data verification - introduction

- The importance of good practice.
- Data assurance process:
 - starts with **data verification (DV)**: is data fit for purpose?
 - audits and/or reconciliation of data may take place later.
- **Note:** where a provider fails to submit data on time or returns data that is not credible after verification, we may allocate funds based on our own estimates of student activity.
- We reserve the right to use our own estimates of data where we believe provider data is not fit for purpose.
- We reserve the right to review funding allocations for the most recent seven-year period.



What are we looking for from your HESES data?

- The best possible representation of your higher education provision.
 - This allows us to make accurate grant allocations.
- Data verification allows us to:
 - be confident in the accuracy of your data
 - be confident in the robustness of your data processes
 - identify any large or unexpected changes (compared to previous years)
 - understand the context of your data - how HESES relates to what's happening with your provision.



What are DV queries based on?

We base our queries on:

- **first-stage credibility warnings on workbook tables:** these indicate where data is possible but appears unusual
- **comparison table highlighting:** these tables compare your HESES20 data with previous years and other sources and highlight any unexpected changes
- **other relevant issues** e.g. where providers have merged.

Validation check: No validation errors

First-stage credibility check: Table 1 (Full-time); Table 5 (Planning); Please see Appendix 3 for details of credibility checks (see below)

Comparison table highlighting: Table A; Table B; Table D; Table H; Please see Appendix 4 for details of comparison tables (see below)

First-stage credibility warnings - example

- Data is possible but appears unusual.
- Example: all students recorded as new entrants.
- Error shown:
 - above the column
 - below the table.
- Will be queried during data verification process.
 - Investigate for the underlying causes
 - Submitting 'initial explanations' will help.

| First-stage credibility: Warnings (see below table) | | | | | |
|---|-------------------|------------------|-------------------|-------------------------|---|
| Section B: New entrants | | | | | |
| New entrants included in Section A of this table. | | | | | |
| Home and EU | | | | | |
| (a) OfS-fundable | | (b) Non-fundable | | (c) Island and overseas | |
| UK-domiciled | Other Home and EU | UK-domiciled | Other Home and EU | | |
| (i) | (ii) | (i) | (ii) | | |
| 250 | 0 | 0 | 0 | 0 | 0 |
| 0 | 0 | 0 | 0 | 0 | 0 |

First-stage credibility checks for Table 5 (see Appendix 3 for full definitions of the underlying formulae)

1. Students have not been entered in Section B: New entrants:

2. All of the students in Section A: All years have been returned as new entrants in Section B: New entrants:

Column 1: All students have been recorded as new entrants;

Comparison tables – example highlighting

- Contents automatically generated from workbook data and from other data sources e.g. Individualised Learner Record (ILR) and Higher Education Statistics Agency (HESA) student record.
- Highlighting shows fields where comparisons exceed threshold parameters - see appendices on the OfS website for full details.
- Highlighted fields may be queried during data verification process.
 - Investigate for the underlying causes.
 - Submitting 'initial explanations' will help.

| | 2019-20 | |
|---------|----------|---------|
| HESES19 | HESA/ILR | HESES20 |
| 100.00 | 98.00 | -250.00 |
| 0.00 | 0.00 | 0.00 |
| 0.00 | 0.00 | 0.00 |
| 100.00 | 98.00 | -250.00 |
| 90.00 | | -250.00 |
| 0.00 | | 0.00 |
| 0.00 | | 0.00 |
| 90.00 | | -250.00 |
| 0.00 | | -250.00 |
| 0.00 | | 0.00 |
| 0.00 | | 0.00 |
| 0.00 | | -250.00 |

Initial explanations

- Send once you have submitted your workbook.
- Example: a provider has an extra intake of students in January.
 - Table 5 section B (new entrants) highlights increased proportion of new entrants.
 - Various comparison tables may have highlighting for comparisons with other data.
- Not mandatory but speed up the data verification process.
- Send **as soon as possible** to **dataverification@officeforstudents.org.uk**.
- No prescribed format, but please refer to:
 - first-stage credibility checks
 - comparison table highlighting
 - other relevant information.

After workbook submission deadline – the start of data verification

- All providers are assigned a data verification (DV) specialist.
- After the submission deadline we will email each provider's student data contact, usually within five working days of the deadline. Attached to the email will be:
 - a letter with full instructions on the DV process
 - a data verification queries (DVQ) document listing specific queries
 - a deadline for receiving your responses (usually five working days away).

Data verification - mechanics

- Data verification queries (DVQs) template:
 - Microsoft Word document
 - contains DVQs and provider responses
 - exchanged by email between the data verifier and the provider's student data contact
- Good idea to have more than one student data contact to avoid single point of dependence.
 - Please write to heses@officeforstudents.org.uk to nominate others.
 - Set them up on the portal.
- Save workbooks and correspondence where colleagues can access them if required.

Data verification queries (DVQs)

HESES20: Higher Education Students Early Statistics survey 2020-21 data verification template

Provider: East Filton College (00000000)

Comparison table queries

| Query number | Table row | Query | Provider response |
|--|--|---|--|
| Table H: proportion of new entrants | | | |
| 5 | H (New entrants): Full-time and sandwich year out, UG, Home and EU | <p>For Full-time and sandwich year out, UG, Home and EU new entrants, there is a change of 52.9% between 2019-20 ILR and HESES20 (with a change of 58 new entrants).</p> <p>20 November 2020 - Please describe the reasons for this change. If your response is related to earlier queries, feel free to cross-reference your responses.</p> <p>---</p> <p>27 November 2020 – thanks for your response. Please confirm the course(s) that this extra intake relates to (quoting the learning aim reference to allow cross reference with the Courses table). Thanks.</p> <p>---</p> <p>3 December 2020 – thanks. No further queries on this topic at this time.</p> | <p>25 November 2020 – this increase relates to an additional intake of students in January 2021.</p> <p>---</p> <p>1 December 2020 – the new intake are all students on the HND in HESES Studies, learning aim reference 000000.</p> |

Top data verification queries

- We often ask queries about:
 - changes in the proportions of students by:
 - price group
 - mode of study
 - fundability status
 - changes in non-completion rates.
- A single underlying issue can relate to several queries.



Responses to data verification queries (DVQs)

- We are looking for responses that:
 - directly relate to the query raised
 - provide an appropriate level of detail
 - show an understanding of HESES definitions.
- How has your provision changed?
- Is this query related to another? Cross-reference your responses if appropriate.
- Review your responses from previous years – they may still apply.
- Please date your responses and match any colour-coding in the queries.

Returning your responses

- Check that your responses answer all points in the DVQs.
 - If you need to amend your workbook data, contact your data verifier.
- Email your responses to dataverification@officeforstudents.org.uk.
- Please respond within the deadline set when the DVQs were sent to you.
 - Initially, this will be five working days.
- Data verification usually needs several rounds of queries before the data is ready for sign off.
 - As the sign-off deadline approaches, tighter deadlines may be applied.

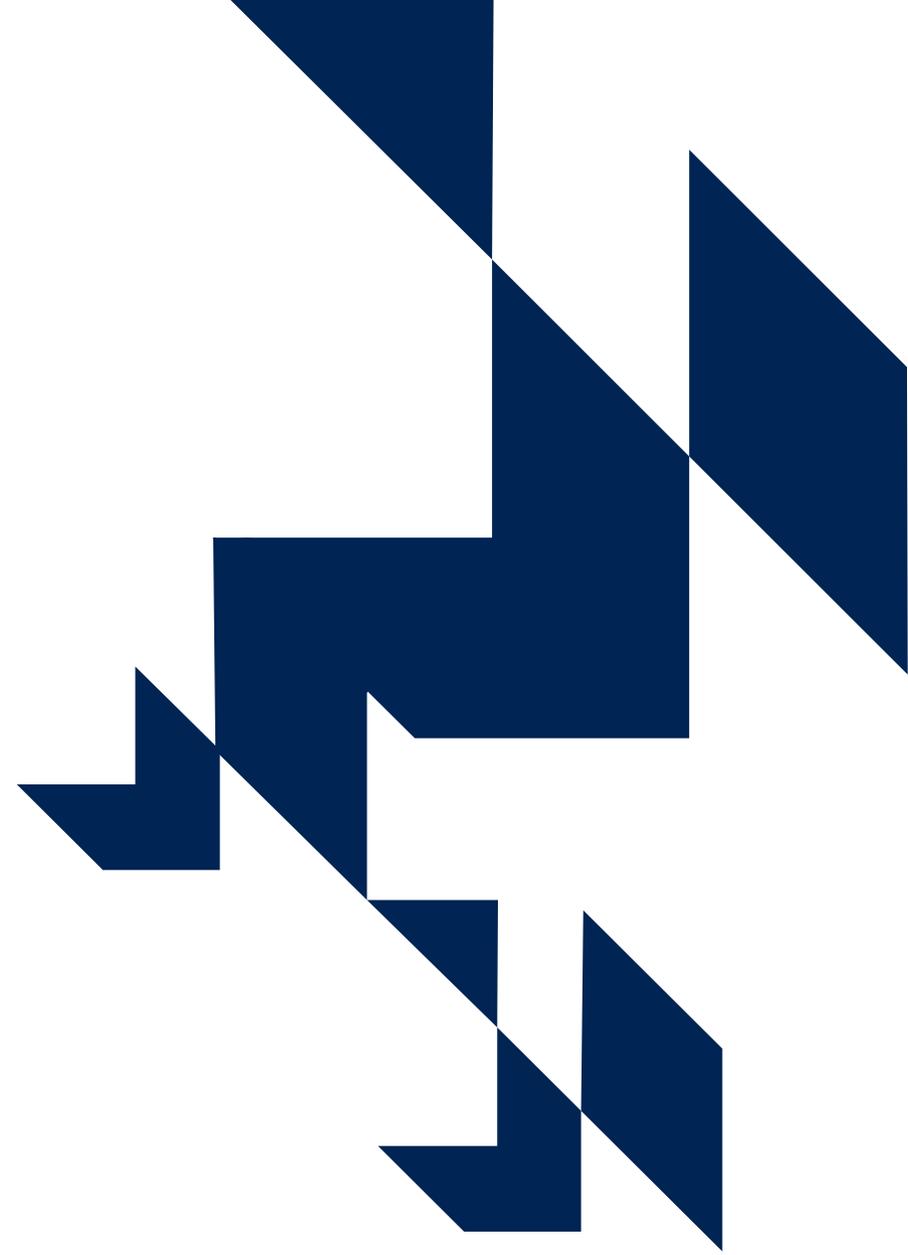
Data verification - amending your HESES workbook before sign-off

- Data verification may show that your workbook needs amendment.
- Liaise with your data verifier to upload your amended workbook to the OfS portal.
- Workbook upload process is slightly differently after the submission deadline:
 - watch the video on using the OfS portal in our YouTube playlist
 - your data verifier will assist.

Any questions?



How to get your HESES20 submission signed-off



Signing off HESES

- Sign off form:
 - sent once all queries have been resolved and any amendments processed.
- Shows submission date and number.
 - Please check that these match the date and version number of your most recently submitted HESES workbook: see the Information sheet.
- **Must** be returned by the sign-off deadline: 2 February 2021.
- Sign-off must be made by the provider's **accountable officer**.
 - If likely to be unavailable, please let us know urgently.

Data amendments after sign-off

- We use the final signed-off version of your data submission.
- Amendments are only accepted in exceptional circumstances.
- Criteria for data amendment - errors must:
 - be widespread and significant
 - relate to clear evidence of data error (not re-interpretation)
 - be likely to have a material impact on one or more of our uses of the data.
- Assessed by a data amendments panel.
 - www.officeforstudents.org.uk/data-and-analysis/amendments-to-data/.

HESES top tips

- Have another member of staff review the HESES workbook before submitting.
- Complete the self-check questionnaire in **Completing the HESES20 workbook** (see www.officeforstudents.org.uk/heses).
- Look for any automatic highlighting in the workbook.
 - Investigate the reasons - these will be queried in data verification process.
- Send **initial explanations** to speed up the data verification process.
- Nominate alternative student data contacts in case of holidays or unexpected absences.

Any questions?



Next webinar

1330 on Monday 12 October 2020 - HESES20 workbook exercises (fully booked)

- This webinar will cover:
 - what the HESES workbook is and how it works
 - how the HESES definitions apply to the workbook
 - how to determine student and course characteristics from given data
 - how to categorise student data and input it accurately into the workbook.
- Further workbook exercise webinars:
 - 1330 on Wednesday 14 October 2020 (fully booked)
 - 1330 on Tuesday 20 October 2020
 - 1330 on Thursday 22 October 2020.
- Please see **www.officeforstudents.org.uk/events**.

How to find out more

Website: www.officeforstudents.org.uk/heses

Email: heses@officeforstudents.org.uk

YouTube: <https://www.youtube.com/officeforstudents>

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