

Annex E When the tables have been completed

1. Completed workbooks must be uploaded to the HEFCE extranet no later than **noon on Friday 9 December 2011**. We will not give extensions to this deadline.
2. This annex explains data checks that the institution must undertake before uploading the completed workbook to the HEFCE extranet, and also data checks that we will carry out as part of the data verification process once we have received the completed workbook.

Validation checks on Tables 1 to 7

3. Each worksheet contains a number of validation checks which ensure that incorrect data are not submitted. If an error or inconsistency is detected in a completed worksheet, a message reading **Validation: Failure (see below table)** will appear above the column in the table in which there is a validation failure, and the values in the cells which are causing the error will turn red. Below the table, the error will be described in more detail. These errors **must be corrected** before submitting the completed workbook: we will not accept workbooks containing validation failures. If the source of the error cannot be identified, institutions should e-mail us for advice at heses@hefce.ac.uk. The validation checks themselves are described in more detail in Appendix 2.

Credibility checks

4. The data submitted in HESES11 will be used to determine grant adjustments for 2011-12 and initial grant allocations for 2012-13. As such it is important that the data submitted are accurate and suitable for this purpose.
5. The automatic checks that are included in the workbook are not exhaustive. Institutions are expected to conduct their own credibility checks to ensure the data are reasonable prior to submission.
6. The HESES11 workbook contains a series of credibility checks in the form of first stage credibility warnings on Tables 1 to 7 and automatic check highlighting on the comparison tables to help institutions check data credibility prior to submission. Where first stage credibility warnings or automatic check highlighting are shown, institutions should check that the data they have entered are correct and meet the guidance and definitions set out in the relevant section of the HESES11 publication.
7. Once the data have been submitted, we will use these checks and tables to assess if the data are reasonable. Institutions will be asked to explain any apparent anomalies, or correct data, before verifying the data are correct. This data verification process is described in more detail in paragraphs 18 to 20 of this annex.

First stage credibility warnings on Tables 1 to 7

8. Each worksheet contains a number of first stage credibility warnings. These checks are intended to warn institutions that they have entered data which may be (but are not necessarily) erroneous. If potentially erroneous data are detected in a

completed worksheet, a message reading **First stage credibility: Warnings (see below table)** will appear above the column in the table in which there are potentially erroneous data. Below the table, the warning will be described in more detail. Completed workbooks that have first stage credibility warnings may be submitted; however, institutions must inform us of the reason(s) why the data are credible as described in paragraph 18 of this annex. If the source of the warning cannot be identified, institutions should e-mail us for advice at heses@hefce.ac.uk. The first stage credibility warnings are described in more detail in Appendix 4.

Automatic check highlighting on the comparison tables

9. The workbook also incorporates a series of comparison tables within the COM1, COM2 and COM3 worksheets. These tables contain comparisons of the data submitted in HESES11 with data submitted in HESES10 and other sources. This information is provided to allow identification of any material changes in data which may indicate errors in the submission.

10. Automatic check highlighting will highlight (in yellow) data which may be (but are not necessarily) anomalous or represent a significant year-on-year change. Completed workbooks that have automatic check highlighting present may be submitted; however, institutions must inform us of the reason(s) why the data are credible as described in paragraph 18 of this annex. If the source of the highlighting cannot be identified, institutions should e-mail us for advice at heses@hefce.ac.uk. The automatic check highlighting and the comparison tables themselves are described in more detail in Appendix 4.

Grant adjustment tables and related worksheets

11. In addition to the tables which must be completed in the HESES11 workbook (Tables 1 to 7, as described in Annex D), the following three worksheets relate to the estimated grant adjustment calculations for 2011-12:

| Name of worksheet | Content |
|--------------------------|---|
| HBK | Estimated grant adjustments for 2011-12 |
| STD | Recalculation of standard resource for 2011-12 |
| F11 | Recalculation of assumed fee income for 2011-12 |

12. Institutions should check the figures shown on these worksheets before uploading the completed workbook to the extranet to ensure that any estimated grant adjustments are not the result of data error. Any queries about estimated grant adjustments should be addressed to the relevant HEFCE higher education policy adviser (HEPA) in the first instance (contact details for HEPAs, searchable by institution, are at www.hefce.ac.uk/aboutus/cop/contact/). The three worksheets are described in more detail in Appendix 3.

Calculation of 2011-12 grant rates and notional funding worksheets

13. A further two worksheets show the rates of funding that will be used to calculate the phase-out of:

- mainstream teaching funding (MST worksheet)
- funding for employer co-funded provision (COF worksheet).

These worksheets also show some initial funding allocations for 2012-13 for the phase-out before any scaling factor is incorporated, and can be used for modelling once the scaling factor has been confirmed in early 2012. These two worksheets are described in more detail in Appendix 5.

Check list

14. In November 2011, heads of institutions and HESES contacts will be sent a check list for use before submission of the completed workbook. This check list will contain a series of self-check questions to which an institution must be able to answer 'yes' before uploading the completed workbook to the extranet.

Uploading the workbook to the extranet

15. Heads of institutions and HESES contacts will be issued with an organisation key (unique to their institution) and a HESES11 group key (unique to the HESES11 survey) in November 2011 to enable access to the HESES11 workbook via the HEFCE extranet. Institutions will need to upload the completed workbook to the same web-site no later than **noon on Friday 9 December 2011**. In addition to the organisation and group keys, heads of institutions and HESES contacts will be issued with guidance on how to use the extranet.

16. The data do not need to be formally signed off by the vice-chancellor or principal at this stage. However, it is good practice for a senior member of the institution to agree the return prior to submission.

17. Where an institution fails to return data on time, or the returned data are not credible, 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.

Data verification

18. Where credibility warnings are present in the submitted workbook (either in the form of first stage credibility warnings on Tables 1 to 7 or automatic check highlighting on the comparison tables as described in paragraphs 9 to 10 of this annex) institutions must inform us of the reason(s) why the data are credible. An e-mail detailing why the data are credible should be sent to dataverification@hefce.ac.uk by 9 December 2011. Such explanations will inform the subsequent data verification process as detailed below.

19. When we receive the HESES11 returns, we will review the data and e-mailed explanations for outstanding credibility warnings. During December, we will e-mail institutions, attaching their HESES data and the comparison and grant adjustment reports generated from them. Institutions will be asked to:

- verify that the data are accurate, or make corrections
- answer any questions we may have about the data and the explanations already provided
- submit any appeals against formulaic grant adjustments, such as holdback.

The timetable for this is tight: if corrections to data are made, we then reissue the data for re-verification by institutions and may ask further questions as appropriate. We expect institutions to answer any questions about data within five working days. We may refuse to revise allocations once data have been verified.

20. Verification checks will be carried out by a small team of data verification specialists at HEFCE. Any questions throughout the data verification process should be e-mailed to dataverification@hefce.ac.uk. This e-mail box will be checked by the data verification team, so e-mailing this address will ensure queries are dealt with as quickly as possible. To discuss the queries we raise, or the institution's data, please ring the contact named in the initial e-mail we will send that details our queries.

Sign-off of data

21. By 13 January 2012, all institutions must have signed off their HESES data as being correct as at 1 December 2011. The data must be signed off by the head of the institution: they should have an understanding of our data collection requirements, to ensure that the institution has systems capable of producing an accurate, complete return and that the preparer of the return has compiled it competently. If it is anticipated that the head of the institution will be unavailable to sign off the data during the data verification period, institutions should e-mail dataverification@hefce.ac.uk to agree interim arrangements. We will expect the head of the institution to sign off the data on their return. If an institution fails to meet the deadline for signing off data, or we believe the data to be inaccurate, we reserve the right to use our own estimates of data to inform funding allocations (see paragraph 18 of 'Model Financial Memorandum between HEFCE and institutions', HEFCE 2010/19). We cannot guarantee to increase grant allocations to reflect any amendments to data after 13 January 2012.