

September 2013/24

**Core operations**

**Request for data**

---

Returns must be uploaded to the HEFCE extranet by **noon on 1 November 2013**.

---

This document asks alternative providers of higher education to complete a survey of students on full-time courses that have been designated for student support purposes. The survey covers student numbers in the academic years 2012-13 and 2013-14.

# HEAPES13

## Higher Education in Alternative Providers Early Statistics survey

# Contents

Executive summary .....	2
Purpose .....	2
Key points .....	2
Action required .....	3
Note on terminology .....	3
Section 1: Introduction .....	4
Why are we requiring providers to complete the HEAPES survey? .....	4
HEAPES13 and the SNC: an overview .....	5
How will 2014-15 SNC allocations be set? .....	5
Provisional timetable .....	6
Queries and further information.....	6
Section 2: Definitions .....	6
The HEAPES population .....	6
Categories within the HEAPES population .....	13
Section 3: Completing and submitting the HEAPES13 survey.....	14
Downloading the HEAPES13 workbook .....	14
Completing the tables.....	14
Validation checks and credibility checks .....	15
Uploading the workbook to the extranet.....	18
Data verification .....	18
Data sign-off .....	18
Data assurance .....	19
Annex A: Sample tables.....	20
Annex B: List of abbreviations .....	22

# HEAPES13: Higher Education in Alternative Providers Early Statistics survey

To	Heads of alternative providers subject to the student number control
Of interest to those responsible for	Student data, Finance
Reference	HEFCE 2013/24
Publication date	23 September 2013
Enquiries to	<a href="mailto:heapes@hefce.ac.uk">heapes@hefce.ac.uk</a>

## Executive summary

### Purpose

1. This document asks alternative providers of higher education to complete a survey of students on full-time courses that have been designated for student support purposes. The survey covers student numbers in the academic years 2012-13 and 2013-14.

### Key points

2. The survey should be completed by all alternative providers subject to the student number control (SNC). These are:

- all alternative providers that had more than 50 full-time students claiming student support in 2012-13
- all other alternative providers that
  - have opted to complete the HEAPES13 survey, and therefore receive a student number control allocation
  - are linked to another alternative provider with designated full-time courses.

3. The data will:

- enable us to set the SNC allocations for 2014-15
- allow us to understand the number of students in the exempt population in 2012-13
- give an early indication, for purposes including government planning, of the number of students starting study on designated full-time courses in the academic year 2013-14.

4. This document provides:

- a. In Section 1, an introduction to the Higher Education in Alternative Providers Early Statistics (HEAPES) survey.
- b. In Section 2, the definitions used in the HEAPES survey.
- c. In Section 3, guidance on completing and submitting the HEAPES survey and an explanation of how the survey is finalised.

- d. In the Annexes, examples of the survey tables and a list of abbreviations.

### **Action required**

5. The HEAPES13 survey should be completed by all alternative providers subject to the SNC. Returns must be uploaded to the HEFCE extranet by **noon on 1 November 2013**. Workbooks will be available to providers in early October 2013.

### **Note on terminology**

6. All references to years are to academic years (1 August to 31 July) unless otherwise specified.

## Section 1: Introduction

### Why are we requiring providers to complete the HEAPES survey?

7. In June 2012, the Government announced its intention to extend the student number control (SNC) to alternative providers with courses designated for student support purposes<sup>1</sup>. In late 2012, the Government consulted on applying the SNC<sup>2</sup>. Through this consultation, and subsequent discussion with HEFCE, the following approach was agreed.
- a. The SNC policy will be developed by the Government and implemented by HEFCE.
  - b. Broadly speaking, the SNC will apply to students eligible for student support who are studying on designated full-time courses, and whose numbers are not controlled by other government organisations.
  - c. To make compliance easier for providers, the SNC will apply to students **starting** designated full-time courses, rather than to all students on designated full-time courses.
  - d. A lighter-touch approach will be available for 'small providers', which are defined as those with 50 or fewer full-time students accessing student support.
  - e. Broadly speaking, the same approach to controlling student numbers will apply to alternative providers as to publicly funded providers (although some differences are inevitable and reflect the higher education legislation).
8. The Higher Education in Alternative Providers Early Statistics (HEAPES) survey is a key part of the SNC. Most alternative providers with designated full-time courses are required to complete the HEAPES survey. The HEAPES13 survey has two purposes:
- to collect data on 2012-13 student numbers, which will be used to set the 2014-15 SNC allocations
  - to collect data on 2013-14 student numbers, which will be used to understand any changes in recruitment between 2012-13 and 2013-14.
9. From 2014 onwards, the HEAPES survey will be repeated each autumn. The data collected in these subsequent surveys will be used to monitor each provider's recruitment against its SNC allocation, and to set the SNC allocation for the coming academic year.
10. The HEAPES survey is a technical exercise that requires a detailed understanding of the population covered by the survey, and of the ways in which this population must be broken down. Those completing the HEAPES survey should familiarise themselves with this guidance. Those with questions should contact [heapes@hefce.ac.uk](mailto:heapes@hefce.ac.uk).

---

<sup>1</sup> In the Government response to the Higher Education White Paper 'Students at the Heart of the System' and associated Technical Consultation, available at [www.bis.gov.uk/assets/biscore/higher-education/docs/g/12-890-government-response-students-and-regulatory-framework-higher-education](http://www.bis.gov.uk/assets/biscore/higher-education/docs/g/12-890-government-response-students-and-regulatory-framework-higher-education)

<sup>2</sup>The consultation and response are available at [www.gov.uk/government/consultations/applying-student-number-controls-to-alternative-providers-with-designated-courses](http://www.gov.uk/government/consultations/applying-student-number-controls-to-alternative-providers-with-designated-courses)

## **HEAPES13 and the SNC: an overview**

11. In order to complete the HEAPES survey, providers will need to complete an Excel workbook, consisting of two tables, and submit it to HEFCE by **noon on 1 November 2013**. Further information on how the workbook should be downloaded, completed and submitted is provided in Section 3 of this guidance. A sample workbook is provided in Annex A.

12. Once the HEAPES survey has been submitted to HEFCE, we will check the data for credibility and will contact providers with any questions about their data. This verification process may lead to changes to the data. Once the data are verified and finalised, we require the head of the organisation to sign off the data as correct.

13. Once the data have been signed off, and we have received direction from the Government, we will calculate student number control allocations for 2014-15. These will be announced, in provisional form, in January 2014 and then finalised in March 2014, following an appeals process.

14. The completion of the annual HEAPES survey is a condition of full-time specific course designation for providers subject to the SNC. We will work with providers to support them in this. However, if a provider is unable to complete the HEAPES13 survey, or is unable to provide credible data, we will advise the Government that the provider is in breach of the terms and conditions of specific course designation. This could lead to the Government revoking the designation.

### **How will 2014-15 SNC allocations be set?**

15. The Government has asked us to set SNC allocations for 2014-15 using 2012-13 recruitment as a 'baseline'. The Government will ask us either to maintain the baseline or to adjust it upwards or downwards. We expect the Government to make this decision once it has reviewed student numbers across the higher education sector in late 2013. The decision is likely to be announced in our grant letter from the Government, which we expect to receive in early 2014.

16. The Government has indicated that where a provider has made financial commitments to growth (such as the purchase of a new campus) before March 2013, it will consider whether the provider's 2014-15 SNC allocation should be increased above the 2012-13 baseline. Such appeals will be considered by the Government and are not part of the HEAPES and SNC process outlined below. Further information on how to submit an appeal for growth on the basis of prior commitment can be found at [www.gov.uk/government/uploads/system/uploads/attachment\\_data/file/230113/13-1097-alternative-higher-education-providers-student-number-controls-draft-guidance-2014-15.pdf](http://www.gov.uk/government/uploads/system/uploads/attachment_data/file/230113/13-1097-alternative-higher-education-providers-student-number-controls-draft-guidance-2014-15.pdf).

17. Note that the 2014-15 SNC allocations are conditional on course designation being re-awarded following the review process. If designation for particular full-time courses is not re-awarded, we may be asked by the Government to reduce or entirely remove the provider's 2014-15 SNC allocation. Further information about the review process is available at [www.hefce.ac.uk/whatwedo/reg/desig/](http://www.hefce.ac.uk/whatwedo/reg/desig/).

## Provisional timetable

October 2013	Early October – HEFCE extranet keys issued to providers.. Early October – HEAPES13 workbooks available to providers on the extranet.
November 2013	Noon 1 November – deadline for returning HEAPES13 data. Early and mid-November – data verification by HEFCE. We will write to providers, asking them to answer any questions about the data. Providers will have <b>five working days</b> to answer questions. 22 November – deadline for signing off HEAPES13 data as correct.
January 2014	24 January – provisional 2014-15 SNC allocations announced.
February 2014	7 February – deadline for appeals to HEFCE for reasons other than growth. 7 February – deadline for appeals to Government relating to growth.
March 2014	6 March – final 2014-15 SNC allocations announced.

## Queries and further information

18. Queries about this survey should be e-mailed to [heapes@hefce.ac.uk](mailto:heapes@hefce.ac.uk). Soon after the publication of this guidance, we will also publish the answer to frequently asked questions about the HEAPES survey. These will be available at [www.hefce.ac.uk/faq/](http://www.hefce.ac.uk/faq/).

## Section 2: Definitions

19. This section defines the terms that we use when we explain how to fill in the HEAPES survey. These terms are technical and we recommend that providers familiarise themselves with the definitions before they attempt to complete the survey.

### The HEAPES population

20. The HEAPES population is the group of students that we will monitor in order to control student numbers. Only students who are in the HEAPES population should be counted in the HEAPES survey.

21. The HEAPES population consists, broadly, of all those students who are eligible for full-time student support, who are **starting** a specifically designated course, and who are not subject to other controls. However, eligibility for student support is complex, and ultimately only to be determined by the Secretary of State. Our definition of the HEAPES population therefore uses conditions that are easier to apply. It is these conditions, and the accompanying explanation, which should be used to determine whether a student is in the HEAPES population.

22. Whether or not a student is part of the HEAPES population does not depend on whether the student is claiming or receiving, student support. Students who meet the conditions below should be included in the HEAPES population, regardless of whether or not they have in fact claimed or received student support.

23. Paragraph 24 gives a brief definition of the HEAPES population. Paragraphs 25 to 52 expand on this.

## **Definition of the HEAPES population**

24. For HEAPES purposes, the academic year runs from 1 August to 31 July. A student is in the HEAPES population of a provider in a given academic year if and only if, in that academic year, they meet all the following conditions.

- A. The student studies with the provider on a designated full-time course for at least two weeks.
- B. On the date they start their course, the student is in one of the categories set out in Schedule 1, Part 2 of The Education (Student Support) Regulations 2011 (as amended).
- C. The student has not studied in the previous two academic years with the provider on a course that is, or has been, designated as a full-time course.
- D. The student is not being counted by any other organisation in relation to the same course.
- E. The student is not studying for an equivalent or lower qualification, unless they are on a course that is treated as an exception in the Student Support Regulations.
- F. The student is not eligible for an NHS bursary (whether or not this is means-tested).
- G. The student is not studying on an initial teacher training course which leads towards Qualified Teacher Status.

## **Definition of the HEAPES population: further explanation**

### **A. The student studies with the provider on a designated full-time course for at least two weeks.**

25. Students at alternative providers can access student support only if the course that they are studying on is designated by the Secretary of State. Courses may be designated as full-time courses, distance learning courses, part-time courses or postgraduate courses. Only students on courses that are designated as full-time can access both full-time maintenance loans and grants, and full-time fee loans.

26. We will refer to courses that have been designated as full-time by the Secretary of State as 'designated full-time courses'. Only students on designated full-time courses are in the HEAPES population. Students on other courses, whether or not they are full-time, are not in the HEAPES population. Most designated full-time courses are undergraduate, although designated full-time postgraduate initial teacher training (ITT) courses are also included.

27. To be in the HEAPES population, a student must study with the provider on a designated full-time course for at least two weeks. Students who withdraw (or transfer to a course that is not a designated full-time course) before they have completed two weeks of study would not therefore be in the HEAPES population.



**B. On the date they start their course, the student is in one of the categories set out in Schedule 1, Part 2 of The Education (Student Support) Regulations 2011 (as amended).**

28. This condition relates to the residency and nationality of the student.

29. The Education (Student Support) Regulations 2011 are available at [www.legislation.gov.uk/ukxi/2011/1986/contents/made](http://www.legislation.gov.uk/ukxi/2011/1986/contents/made). They prescribe that a student may receive student support only if they fall into one of the categories given in Schedule 1 of the Regulations. These categories are currently:

- persons who are settled in the United Kingdom
- refugees and their family members
- persons granted humanitarian protection and their family members
- workers, employed persons, self-employed persons and their family members
- persons who are settled in the United Kingdom and have exercised a right of residence elsewhere
- EU nationals
- children of Swiss Nationals
- children of Turkish workers.

Each category is strictly defined in the schedule, and these definitions should be used when determining whether a student is in the HEAPES population.

30. To assist with interpreting the Student Support Regulations, HEFCE will provide a list of home and EU countries in the HEAPES frequently asked questions, available at [www.hefce.ac.uk/faq/](http://www.hefce.ac.uk/faq/). Student Finance England advises that, when determining eligibility, students from Gibraltar should be treated as EU nationals. Nationals of countries which are in the European Economic Area but not the EU (Iceland, Liechtenstein and Norway) should not be treated as EU nationals (although they may fall under one of the other categories in schedule 1). Students from Cyprus, including Turkish Cypriots, should be treated as EU nationals only if they are recognised as Cypriot nationals by the Government of the Republic of Cyprus. A student is not eligible solely by virtue of being from a UK or EU overseas territory, although some students from overseas territories may fall into one of the other categories in schedule 1, for instance by being settled in the UK.

31. A student is in the HEAPES population only if they are in one of the categories on the date they start their course. When a country accedes to the EU during the academic year, students from that country are in the HEAPES population only if they began studying the course on or after the date of accession. If they begin studying before this date they are not in the HEAPES population. For 2012-13 this applies to the accession of Croatia on 1 July 2013.

32. The Student Loan Company (SLC) provides a practitioner helpline to give advice and guidance on the Student Support Regulations (including eligibility). When providers

are unsure whether an individual student is in one of the categories, they should contact the practitioner helpline on 0845 602 0583.

**C. The student has not studied in the previous two academic years with the provider on a course that is, or has been, designated as a full-time course.**

33. If the student has studied for at least two weeks with the provider on a full-time designated course in the previous two years, they are not in the HEAPES population. Many of the students in the HEAPES population will therefore be 'entrants' – that is, students who are beginning a full-time course without having previously studied with the provider. However, the HEAPES population will also include other students, such as those who have previously studied with the provider but not on a full-time designated course. The HEAPES population will also include some students who are returning to a designated full-time course after an absence of more than two years.

34. The year of the course is not directly relevant to determining whether a student is in the HEAPES population: some students in the HEAPES population may be in the second or subsequent years of a course. This might happen, for instance, if they have transferred from a course that is not designated as full-time, or if they have been permitted to enter the course after the first year because of their prior educational attainments or experience.

35. Condition C applies regardless of when designation took place, or for how long it endured. For example, a student who is in their second year of study on a full-time course which is currently designated, but which was not designated in the previous two years (because designation has only recently been achieved), would **not** be in the HEAPES population as they would not meet condition C.

**D. The student is not being counted by any other organisation in relation to the same course.**

36. In general, a student counted in the HEAPES survey will not be counted on any other organisation's early statistics return to HEFCE. The early statistics returns are the HEAPES survey, the Higher Education Students Early Statistics survey for higher education institutions, and the Higher Education in Further Education: Students survey for further education colleges.

37. It may be the case, unusually, that a student on a particular course is part of the HEAPES population at one provider, but is simultaneously studying a different course at a different organisation. If so, it may be appropriate for the student to be counted in more than one survey, with the activity relating to each distinct course counted by the appropriate provider.

Treatment of franchises

38. Students who are franchised from a HEFCE-funded higher education institution or further education college are not in the HEAPES population, as they must be returned in the Higher Education Students Early Statistics or Higher Education in Further Education: Students survey of the franchising institution.

39. A student is franchised when one provider (the franchiser) arranges for another institution (the teaching institution) to teach them on its behalf. The student is included in

the data returns of the franchiser, and counts, when appropriate, against the franchiser's student number control.

40. We typically expect the franchiser to collect the fee for teaching the student, either from the student or from the SLC, and to pay the teaching institution for carrying out this teaching on its behalf. However, we acknowledge that in 2012-13 there may be other financial arrangements in place: for instance, the teaching institution may receive the fee and transfer it to the franchiser, less its own agreed share for teaching the student. For the purpose of the HEAPES13 survey therefore, we do not insist that in all franchise arrangements, the fee must be paid to the franchiser. We would, however, expect there to be a contractual arrangement that makes it clear that the franchiser is paying the teaching institution for teaching the student on its behalf.

41. The Government has indicated that in the new course designation process (for courses designated for 2013-14 and 2014-15) it will only recognise a relationship between providers as a franchise when the course is registered on the SLC database in the name of the franchising institution, meaning that the franchising institution will receive the fee loan<sup>3</sup>. Providers involved in franchise arrangements which do not meet this stricter condition may wish to reconsider their financial arrangements.

42. We do not generally expect alternative providers to franchise courses to other providers. However, where this is the case, students should be treated as meeting condition D for the provider in whose name the course is designated and to whom, at least from 2014-15, any tuition fee loan from the SLC will be paid.

**E. The student is not studying for an equivalent or lower qualification, unless they are on a course that is treated as an exception in the Student Support Regulations.**

43. Most students studying for an equivalent or lower qualification (ELQ) are not entitled to tuition fee loans or to maintenance grants or loans, and are excluded from the HEAPES population.

44. A student is studying for an ELQ if either of the following applies:

- they are studying for a qualification which is equivalent to or lower than a qualification they already hold
- they hold an honours degree from a UK institution.

45. In most cases, whether or not a student is studying for an ELQ will be clear. For instance, a student who has an honours degree and is studying for a second honours degree is studying for an ELQ, as is a student who has an honours degree and is studying for an HND. In contrast, a student who has an HND and is studying for an honours degree would not be studying for an ELQ, as they are progressing from a lower qualification to a higher one.

46. The SLC provides guidance on how to determine whether a student is studying for an ELQ in 'Assessing Eligibility Guidance' for 2013-14, which is available at

---

<sup>3</sup> See 'Alternative Higher Education Providers: Student Number Controls: Draft Guidance for 2013/15', page 15, available at <https://www.gov.uk/government/publications/alternative-providers-specific-course-designation-guidance-for-applicants>

[www.practitioners.slc.co.uk/policy-information/guidance-chapters.aspx](http://www.practitioners.slc.co.uk/policy-information/guidance-chapters.aspx) (paragraphs 151 to 156). This guidance includes the following table which shows academic levels. Providers may wish to use this when determining whether a student is progressing to a higher level of study.

**Table showing academic levels (from SLC guidance)**

Level	Qualification
E	Masters MBAs PGCEs
D	Honours Degrees LLB Integrated Masters Medicine, Dentistry and Veterinary Courses Scottish MAs Oxford and Cambridge MAs
C	Ordinary Degree
B	HNDs DipHE Foundation Degree
A	HNCs Cert HE

47. Whether or not a student is studying for an ELQ depends solely on their previous qualifications and the qualification they are aiming for. It does not in general depend upon where the previous qualification was studied (although, as noted above, students who already hold an honours degree from a UK institution always count as studying for an ELQ), and it never depends on whether the previous qualification was publicly funded or self-funded, or on whether study for the previous qualification was full-time, part-time or through distance learning.

#### Exceptions

48. The Student Support Regulations make an exception for students taking courses that lead to a qualification as a social worker, medical doctor, dentist, veterinary surgeon, or architect, and for ITT courses. This means that students on such courses can receive some student support even if they are studying for an ELQ. Condition E does not therefore exclude such students from the HEAPES population: they will be in the HEAPES population provided they meet the other conditions<sup>4</sup>.

49. The final decision as to whether a student is studying for an ELQ falls to the Secretary of State, with the SLC acting on their behalf. If a provider is unsure whether a student is studying for an ELQ, or whether a student studying for an ELQ is treated as an

<sup>4</sup> The exceptions are slightly different from those that HEFCE uses when allocating funding and controlling numbers for HEFCE-funded institutions. For the purpose of the HEAPES survey, only the exceptions given in the Student Support Regulations should be applied.

exception by the Student Support Regulations, they should contact the SLC using the practitioner helpline (0845 602 0583).

**F. The student is not eligible for a NHS bursary (whether or not this is means-tested).**

50. NHS Bursaries are available to students on courses leading to professional registration in:

- Audiology (for courses recognised by the British Association of Audiological Technicians, the British Association of Scientists and the British Society of Hearing Therapists)
- Chiropody
- Dental hygiene
- Dental therapy
- Dietetics
- Nursing (including courses to convert from second- to first-level registration)
- Midwifery
- Occupational therapy
- Operating department practice (DipHE only)
- Orthoptics
- Physiotherapy
- Prosthetics and orthotics
- Radiography
- Speech and language therapy<sup>5</sup>.

51. These students are eligible for very little student support from the SLC, and the Government has indicated that it does not expect them to fall within the SNC for alternative providers. Students who are eligible for a NHS bursary are not therefore in the HEAPES population, regardless of whether they in fact apply for, or receive, such a bursary.

52. Students in receipt of a social work bursary from the NHS should not, for the purpose of completing the HEAPES, be treated as eligible for a NHS bursary.

**G. The student is not studying on an initial teacher training course which leads to Qualified Teacher Status.**

53. Student numbers on ITT courses leading to Qualified Teacher Status (QTS) are separately controlled by the National College for Teaching and Leadership, which is why we do not include them in the HEAPES population. The HEAPES survey includes

---

<sup>5</sup> This list of courses comes from the 'Assessing Eligibility Guidance' for 2012-13, Annex 1, available at [www.practitioners.slc.co.uk/policy-information/guidance-chapters.aspx](http://www.practitioners.slc.co.uk/policy-information/guidance-chapters.aspx)

students on ITT courses only when these do not lead to QTS. ITT courses that do not lead to QTS include:

- a. Postgraduate/Professional Graduate Certificates in Education (PGCEs) for the post-compulsory education sector.
- b. Diplomas for Teaching in the Lifelong Learning Sector and their successor, the Level 5 Diploma in Education and Training.

### **Categories within the HEAPES population**

54. All and only students in the HEAPES population should be included in the HEAPES survey. The survey requires such students to be disaggregated according to level of study, whether or not they are exempt, and whether they are receiving student support. This section defines the terms used for the disaggregation.

#### **Level of study**

55. The HEAPES survey requires providers to disaggregate undergraduate (UG) students and students on postgraduate (PG) ITT courses. All students in the HEAPES population will be either UG or PG ITT, as only such students will be studying on full-time designated courses. We require this separation because PG ITT students are treated differently in relation to the exemptions.

#### **Undergraduate**

56. A student in the HEAPES population is UG if they are studying any full-time designated course that is not a PG ITT course. Such courses will include first degree courses, and other higher education courses of a lower level, such as foundation degrees, HNDs and HNCs.

#### **Postgraduate initial teacher training**

57. A student in the HEAPES population is PG ITT if they are if they are studying on a postgraduate initial teacher training course, such as a course leading to a PGCE or a Postgraduate Diploma in Education (PGDE or PGDipEd).

58. As explained in the definition of the HEAPES population, students studying ITT courses that lead to QTS, whether PG or UG, are not in the HEAPES population. Students on postgraduate courses other than PG ITT courses are likewise not in the HEAPES population.

#### **The exempt population**

59. As part of the Government's policy to increase student choice, students with certain entry qualifications and/or qualification aims are exempt from the student number control. These students need to be identified in the HEAPES survey as being in the exempt population.

60. We provide a list of the qualifications and qualification aims that exempt students from the student number control, which is reviewed each year. When completing both tables in HEAPES13, providers should refer to the list for 2013-14, which is available at [www.hefce.ac.uk/whatwedo/lt/howfund/studentgrades/](http://www.hefce.ac.uk/whatwedo/lt/howfund/studentgrades/). Only students with qualifications

and/or qualification aims which appear on this list should be treated as in the exempt population.

61. Although exempt students will be counted when setting SNC allocations for 2014-15, they will not be counted when monitoring recruitment against SNC allocations, meaning that they can be recruited without restriction. However, exempt students can draw on student support, which is why we need to continue to monitor this population. Many exempt students will be part of the HEAPES population, and will need to be returned in the HEAPES survey.

### **Students receiving student support**

62. Table 1 of the HEAPES survey requires providers to disaggregate students who do and do not receive student support. This information is required so that HEFCE can compare the data submitted in the HEAPES survey with the data held by the SLC. It is not relevant to setting or monitoring the student number control: whether or not a student counts against a provider's SNC allocation does not depend on whether they are receiving student support.

63. A student in the HEAPES population should be treated as receiving student support if the provider has confirmed the student's attendance to the SLC for 2012-13, thereby allowing the release of student support. If the provider has not confirmed the attendance of a particular student for 2012-13, the student should be treated as not receiving student support, even if the provider believes that the student is in the process of claiming student support for 2012-13, or is likely to do so in the future.

## **Section 3: Completing and submitting the HEAPES13 survey**

### **Downloading the HEAPES13 workbook**

64. An Excel workbook containing the tables to be completed will be available on the HEFCE extranet (<https://data.hefce.ac.uk>) in early October 2013. Also in early October, we will send heads of organisations a letter containing a unique key for accessing the workbook and instructions on how to use the extranet.

### **Completing the tables**

65. The HEAPES13 workbook contains three worksheets, of which only the first two are for completion.

<b>Name of worksheet</b>	<b>HEAPES13 tables</b>
2012-13	Table 1: Students in the HEAPES population in the academic year 1 August 2012 to 31 July 2013
2013-14	Table 2: Students in the HEAPES population in the academic year 1 August 2013 to 31 July 2014
Comparison	Table A: Students receiving student support for 2012-13 (for comparison purposes only)

## Completing Table 1

66. Table 1 should contain all and only students who are in the HEAPES population between 1 August 2012 and 31 July 2013.
67. Undergraduate students in the exempt population should be recorded in the row 'UG in the exempt population'. Students studying on PG ITT courses should be recorded in the 'PG ITT' row and all other students should be recorded in the 'UG not in the exempt population' row.
68. The columns of Table 1 should be completed as follows:
- Column 1:** Number of students in the HEAPES population receiving student support for the academic year 1 August 2012 to 31 July 2013.
- Column 2:** Number of students in the HEAPES population not receiving student support for the academic year 1 August 2012 to 31 July 2013.

Column 3 is the total of Column 1 and Column 2 and will be calculated automatically.

## Completing Table 2

69. Table 2 should contain all and only students who are in the HEAPES population between 1 August 2013 and 31 July 2014.
70. Undergraduate students in the exempt population should be recorded in the row 'UG in the exempt population'. Students studying on PG ITT courses should be recorded in the 'PG ITT' row and all other students should be recorded in the 'UG not in the exempt population' row.
71. The columns of Table 2 should be completed as follows:
- Column 1:** Number of students in the HEAPES population who commenced between 1 August 2013 and 15 October 2013 inclusive. The number reported should be reduced where necessary to take account of an estimate of the number of students who, though active on 15 October 2013, will withdraw within two weeks of starting, and who therefore do not fall into the HEAPES population.
- Column 2:** Number of students in the HEAPES population forecast to start after 15 October 2013 and before 1 August 2014. These will typically be students studying on courses with start dates after 15 October. Providers should ensure that these forecasts are made on a reasonable basis, and that any evidence used (for instance, of numbers recruited to courses starting after 15 October) is kept for audit purposes. This forecast should also take into account an estimate of the number of students starting after 15 October who withdraw within two weeks of starting, and therefore do not fall into the HEAPES population. Again, we would expect this estimate to be based on evidence (for instance, of previous withdrawal rates) which is kept for audit purposes.

Column 3 is the total of columns 1 and 2 and will be calculated automatically.

## Validation checks and credibility checks

72. The HEAPES13 workbook includes a number of validation and credibility checks. The validation checks are for data that are clearly incorrect. Workbooks which contain



validation errors will not be accepted. The credibility checks are for data which may be correct, but which appear surprising or implausible. Although providers may submit workbooks which generate a credibility warning, they should accompany their submission with an explanation of why the data are in fact correct.

### **Validation checks**

73. The validation checks for each table are listed below the table. There are two validation checks for each of Table 1 and Table 2:

- all cells must contain whole numbers
- all cells must contain positive values or zero.

74. If an error is detected in a completed worksheet, a message reading '**Validation: Failure (see below table)**' will appear above the column in the table which contains the validation failure, and the figures in the cells which are causing the error will turn red. Below the table, the error will be described in more detail under the description of each validation check.

75. Validation 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, providers should e-mail us for advice at [heapes@hefce.ac.uk](mailto:heapes@hefce.ac.uk).

### **Credibility checks**

76. The credibility checks for each table are shown beneath each table. There are three credibility checks for Table 1, and one for Table 2.

- a. For Table 1:
  - i. Where the total number of students not receiving student support is at least 30 per cent of the total number in 2012-13.
  - ii. Where there is an absolute change in total student numbers from 2012-13 to 2013-14 of at least 30 per cent and 30 students.
  - iii. Where the total number of students receiving student support differs from that identified from SLC data by at least 20 per cent and 20 students. (For further information on this check, see paragraphs 79-82.)
- b. For Table 2:
  - i. Where there is an absolute change in total student numbers from 2012-13 to 2013-14 of at least 30 per cent and 30 students.

77. If the data entered generate a credibility warning, a message reading '**First stage credibility: Warnings (see below table)**' will appear above the column in the table which contains the credibility issue. Below the table, the credibility issue will be described in more detail under the description of each credibility check.

78. When a credibility warning appears, providers should check that the data they have entered are correct and meet the guidance and definitions set out in the relevant section of this publication. If the provider is satisfied that the data are correct, it may submit the data but should accompany the submission with an e-mail to [heapes@hefce.ac.uk](mailto:heapes@hefce.ac.uk)

explaining why the data are correct. We will consider these explanations as part of our data verification process (see paragraphs 85 to 87).

79. Our credibility checks are not exhaustive, and passing them should not be taken as confirmation that the data are accurate. We expect providers to carry out their own checks which will be specific to their own circumstances.

### **Comparing HEAPES13 Table 1 data with SLC data**

80. Credibility check iii for Table 1 generates a credibility warning when there is a significant difference (greater than 20 per cent and 20 students) between the following.

- a. The total number of students returned as receiving student support (Column 1, Total).
- b. Our estimate, from 2012-13 SLC data, of the total number of students in the HEAPES population receiving student support. This estimate is shown in the 'Comparison' worksheet.

81. We have arrived at our estimate through counting those students appearing in the 2012-13 SLC data extract (with a cut-off date of 31 May) who:

- are full-time
- are receiving a maintenance grant, a maintenance loan, or a tuition fee loan
- appear as 2012 cohort students (which means that they fall under the student support regime which applies to students starting a course on or after 1 September 2012).

82. This allows us to arrive at an estimate which is useful for comparison purposes, although imperfect. In particular, our estimate may be significantly greater than the total if any of the following apply.

- a. The provider is in a franchise arrangement. In making our estimate, we have not attempted to remove students who are franchised in, although franchised-in students are not in the HEAPES population.
- b. The provider offers designated distance-learning courses. We have not attempted to remove full-time students on such courses when making our estimate, even though students on these courses are not in the HEAPES population.
- c. The provider offers ITT courses leading to QTS. Students on these courses are included in our estimate. They should not be included in the total, as students on ITT courses leading to QTS are not in the HEAPES population.
- d. The provider has 2012 cohort students who have studied with it on a designated full-time course in at least one of the two previous academic years. Such cases are unusual, but may arise if, for instance, a student formally withdraws from a designated full-time course with the provider in 2010-11 or 2011-12 and then begins another full-time designated course with the same provider in 2012-13. Such students will be included in our estimate, although they will not be in the HEAPES population.

Our estimate may be significantly smaller than the total if the following apply.

e. The provider has students who do not receive student support until after 31 May 2013 (typically because they are studying on courses that start late in the academic year). These students will not be included in our estimate, although they may be in the HEAPES population.

f. The provider has students who are not 2012 cohort students, despite not having studied with the provider on a designated full-time course in the two previous academic years. Such cases are unusual, but may arise if, for instance, a student has formally transferred from another institution, thereby maintaining their status as a pre-2012 student for student support purposes. Such a student may be in the HEAPES population, as they have not studied with the provider during the past two academic years, but would not be included in our estimate.

83. As with all credibility checks, providers should explain any credibility warning arising from a significant difference between the Table 1 Column 1 Total and our estimate. In doing so, providers may wish to refer to the possible reasons for discrepancies listed in paragraph 82.

### **Uploading the workbook to the extranet**

84. Completed workbooks for the HEAPES13 survey must be uploaded to the HEFCE extranet no later than **noon on 1 November 2013**. We will not give extensions to this deadline. A key for accessing the extranet will be sent to heads of organisations in early October 2013.

85. The data do not need to be formally signed off by the head of organisation at this stage. However, we recommend that a senior member of the organisation reviews the HEAPES return prior to submission.

### **Data verification**

86. Data verification for HEAPES13 will take place in November 2013. It will be carried out by a small team of data verification specialists at HEFCE. The specialist responsible for checking your HEAPES13 return will contact you once the survey has been submitted and the November 1 deadline has passed.

87. During data verification, we check the data and the explanations that have been given for any credibility warnings. We will contact providers asking them to:

- answer any questions we may have about the data and the explanations already provided
- make corrections to the data if necessary.

88. The timetable for this is tight, and we therefore expect providers to answer any questions about data within five working days.

### **Data sign-off**

89. By **noon 22 November 2013**, all providers must have signed off their HEAPES data as having been correct as of 15 October 2013. The data must be signed off by the head of organisation by completing the form that we provide. The head of organisation is expected to have enough understanding of the HEAPES survey to be able to agree that

the provider has systems capable of producing an accurate, complete return and that the preparer of the return has compiled it competently.

90. If it is anticipated that the head of organisation will be unavailable to sign off the data because they are absent during the data verification period, providers should e-mail [heapes@hefce.ac.uk](mailto:heapes@hefce.ac.uk) as soon as possible to agree interim arrangements. We expect the head of organisation to sign off the data when they return.

91. For providers subject to the SNC, completing the HEAPES survey to an appropriate standard is a condition of full-time course designation. If a provider fails to submit the survey on time, to provide credible data, or to sign off their data on time, we will advise the Government that the provider is in breach of the terms and conditions of course designation. This could ultimately lead to the Government revoking this designation, or to other sanctions.

### **Data assurance**

92. In addition to the data verification process described above, we may audit the HEAPES13 return. The audits may involve desk-based work and visits to providers to review how the return was produced. Providers should therefore keep an adequate audit trail recording how the data have been derived. This will be likely to include records of:

- attendance, enrolments and withdrawals
- engagement with the SLC (to determine which students should be returned as receiving student support)
- any assumptions underpinning the forecasts required in Table 2.

93. We may also compare the HEAPES13 survey with further data provided by the SLC and, where relevant, with data returned to the Higher Education Statistics Agency for 2012-13 or 2013-14.

## Annex A: HEAPES13 sample tables

Table 1: Students in the HEAPES population in the academic year 1 August 2012 to 31 July 2013

	Validation: OK	Validation: OK	Validation: OK
	First-stage credibility: OK	First-stage credibility: OK	First-stage credibility: OK
	<b>1</b> Students receiving student support	<b>2</b> Students not receiving student support	<b>3</b> Total
UG in the exempt population	0	0	0
UG not in the exempt population	0	0	0
PG ITT	0	0	0
Total	0	0	0

**Table 2: Students in the HEAPES population in the academic year 1 August 2013 to 31 July 2014**

**Validation: OK**                      **Validation: OK**                      **Validation: OK**  
**First-stage credibility: OK**      **First-stage credibility: OK**      **First-stage credibility: OK**

	<b>1</b> Students present on or before 15 October 2013	<b>2</b> Forecast of students starting after 15 October 2013 and before 1 August 2014	<b>3</b> Total
UG in the exempt population	0	0	0
UG not in the exempt population	0	0	0
PG ITT	0	0	0
Total	0	0	0

## **Annex B: List of abbreviations**

<b>ELQ</b>	Equivalent or lower qualification
<b>EU</b>	European Union
<b>HEAPES</b>	Higher Education in Alternative Providers Early Statistics
<b>HEFCE</b>	Higher Education Funding Council for England
<b>HNC</b>	Higher National Certificate
<b>HND</b>	Higher National Diploma
<b>ITT</b>	Initial teacher training
<b>LLB</b>	Bachelor of Laws degree
<b>PG ITT</b>	Postgraduate initial teacher training
<b>QTS</b>	Qualified teacher status
<b>SLC</b>	Student Loans Company
<b>SNC</b>	Student number control
<b>UG</b>	Undergraduate