Higher Education Students Early Statistics Survey 2014-15 (HEFCE 2014/23)

Appendix 2

Verification checks on HESES14 data

1. The data submitted in HESES14 will be used to determine adjusted grant allocations for 2014-15, grant allocations for 2015-16 and adjustments due to recruitment against the 2014-15 student number control allocation. As such it is important that the data submitted are accurate and suitable for these purposes.

2. The HESES14 workbook contains a series of credibility checks in the form of first-stage credibility warnings on Tables 1 to 6 and automatic check highlighting on comparison tables to help institutions check data credibility prior to submission to HEFCE. These checks are intended to highlight changes between years or data sources that would not commonly be expected. As well as the automatic check highlighting we may also query other significant changes in the data. Where first-stage credibility warnings or automatic check highlighting on the comparison tables are present in the submitted workbook institutions must inform us of the reason(s) why the data are credible by **e-mail to dataverification@hefce.ac.uk by 9 December 2014**. Such explanations will inform the subsequent data verification process.

3. Once the data have been submitted these checks and comparison tables will be used by HEFCE staff to check the data are reasonable. Institutions will be asked to explain any apparent anomalies, or to correct data, before verifying the data are correct. Annex E paragraphs 6 to 12 of the HESES14 publication (HEFCE 2014/23) contain more information on this data verification process.

4. This appendix describes in detail the credibility checks that are carried out within the HESES14 workbook, and describes the content of each comparison table in the 'Funding', 'Comparison1', 'Comparison2', 'Comparison3' and 'Comparison 4' worksheets. For information on how credibility checks are displayed in the workbook see paragraphs 14 to 20 of Annex E of the HESES14 publication (HEFCE 2014/23).

5. The HESES14 workbook also contains a series of validation checks which help to ensure that incorrect data are not submitted. The validation checks are described in Appendix 1.

Further information

6. If the source of a first-stage credibility warning in Tables 1 to 6 or automatic check highlighting in the comparison tables cannot be identified, institutions should e-mail us for advice at heses@hefce.ac.uk.

Credibility checks

7. A credibility warning is shown where any of the conditions in paragraphs 8 to 29 are met.

Tables 1 and 3

8. For each combination of price group, level, length and fundability status, where the sum of Columns 1 and 2 is at least 50 and no forecast non-completions are recorded in Column 3.

9. For each combination of price group, level, length and fundability status, the forecast non-completions recorded in Column 3 are equal to the total of Columns 1 and 2.

Table 3

10. The checks in paragraphs 11 to 12 are intended to ensure that the average FTEs are credible.

11. For PGT and PGR cells, Column 4a expressed as a percentage of Column 4 is at least 80%.

12. For UG and PGT (UG fees) cells, Column 4a expressed as a percentage of Column 4 is at least 67%.

Table 5

13. The checks in paragraphs 14 to 21 are intended to ensure that the ratios of new entrants to all students are credible.

14. For all levels, except PGT, of Home and EU full-time and sandwich year-out students, where Column 1 is at least 100, Column 2 expressed as a percentage of Column 1 is at least 70%.

15. For all levels of Home and EU full-time and sandwich year-out students, where Column 1 is at least 100, Column 2 expressed as a percentage of Column 1 is less than or equal to 33%.

16. For all levels of Home and EU part-time students, where Column 1 is at least 100, Column 2 expressed as a percentage of Column 1 is at least 70%.

17. For all levels of Home and EU part-time students, where Column 1 is at least 100, Column 2 expressed as a percentage of Column 1 is less than or equal to 10%.

18. Total of Column 2 is 0.

19. Total of Column 1 is equal to the total of Column 2.

20. For all levels of Island and overseas students, where Column 1 is at least 50, the total in Column 2 expressed as a percentage of the total in Column 1 is at least 70%.

21. For all levels of Island and overseas students, where Column 1 is at least 50, the total in Column 2 expressed as a percentage of the total in Column 1 is less than or equal to 33%.

Table 6

22. The checks in paragraphs 23 to 29 are intended to ensure consistency in recording full-time students between Tables 1 and 6, and new entrants in Table 5. The check in paragraph 29 is intended to ensure that any students who have withdrawn prior to the census date have been included.

23. Data have been entered into the table but nothing is recorded in Columns 1 or 2 of Table 1.

24. Data have been entered in Table 1, but nothing has been entered in Table 6.

25. The totals for UG and PG ITT in Column 1 of Table 6 are greater than or equal to the UG and PGT totals respectively in Column 1 of Table 1.

26. The totals for UG and PG ITT in Column 2 of Table 6 are greater than or equal to the UG and PGT totals respectively in Column 2 of Table 1.

27. The difference between the HEFCE-fundable UG students entered in Columns 1b and 2 and the total Home and EU UG students in Column 2a Table 5 is more than 5%.

28. There are no PG ITT students recorded in Table 6 but the institution had recorded PG ITT students on the 2012-13 HESA student record.

29. The total in Column 1a is equal to zero where the total in Column 3 is at least 100.

Comparison tables

Name of worksheet	Content
Funding	Tables 1 to 4
Comparison 1	Tables A to G
Comparison 2	Tables H to K
Comparison 3	Tables A* to C*
Comparison 4	Tables D* to E*

‘Funding’ worksheet

30. The comparison tables on the ‘Funding’ worksheet show the funding differences between different years and stages of the three-stage recalculation process, split by funding stream. These tables are filled from the indicative funding sheets. While every care has been taken to make the calculations as accurate as possible they are not intended to present our definitive statement on 2013-14, 2014-15 or 2015-16 funding. For further information on the indicative funding sheets please see Appendix 4.

31. There are four tables which compare the following:

- Table 1: Adjusted and indicative final 2013-14 funding
- Table 2: Indicative final 2013-14 and indicative adjusted 2014-15 funding
- Table 3: Initial and indicative adjusted 2014-15 funding
- Table 4: Indicative adjusted 2014-15 and indicative 2015-16 funding.

32. Automatic check highlighting is included on the first three tables. The checks on Tables 1 and 3 highlight where there are large or unexpected differences between stages of the three-stage process; these are where:

- the difference between stages is greater than £1,000,000 or 4%
- a funding stream changes to or from £0.

The checks on Table 2 highlight where there are large or unexpected differences between years; these are where:

- there are increases in old-regime (mainstream or co-funded) funding
- high-cost funding for new-regime students or the new-regime students attending courses in London targeted allocation changes to or from £0.

33. These tables will be used to spot unusual differences at a high level, the tables on the four comparison sheets will then be used to look at the differences in more detail.

'Comparison 1' worksheet

Tables A to E

34. These tables compare the number of old-regime (mainstream) and new-regime FTEs from:

- 2012-13 (from Tables G and I of the 2012-13 final grant tables)
- 2013-14 (from Column 4 or 4a of HESES13[1] Tables 1 to 3)
- 2014-15 initial (from Columns 1, 2 and 3a of HESES13 Table 7) and
- 2014-15 adjusted (from Column 4 or 4a of HESES14 Tables 1 to 3).

Percentage changes between these columns are then given.

Table A

35. Table A compares total FTEs. Automatic check highlighting is included in this table where:

- 'Percentage change between 2013-14 and adjusted 2014-15' > 5% and the change in FTE > 50.
- 'Percentage change between initial and adjusted 2014-15' > 5% and the change in FTE > 50.

[1] During data verification we will use 2013-14 data extracted from the XXXXX at the point where HESA closed the submission system.

Table B

36. Table B is disaggregated by fee regime (old-regime (mainstream) and new-regime). Automatic check highlighting is included in this table where:

- There is an increase in old-regime (mainstream) FTEs between 2013-14 and adjusted 2014-15.
- There is a decrease in new-regime FTEs between 2013-14 and adjusted 2014-15.
- 'Percentage change between initial and adjusted 2014-15' for old-regime (mainstream) > 3% and the change in FTE > 50.
- 'Percentage change between initial and adjusted 2014-15' for new-regime > 5% and the change in FTE > 50.

Table C

37. Table C is disaggregated by mode (full-time, sandwich year-out and part-time). Automatic check highlighting is included in this table where:

- 'Percentage change between 2013-14 and adjusted 2014-15' for full-time > 5% and the change in FTE > 50.
- 'Percentage change between 2013-14 and adjusted 2014-15' for sandwich year-out > 10% and the change in FTE > 50.
- 'Percentage change between 2013-14 and adjusted 2014-15' for part-time is an increase of at least 5% or a decrease of more than 20% and the change in FTE > 50.
- 'Percentage change between initial and adjusted 2014-15' for each mode > 5% and the change in FTE > 50.
- 2013-14 FTE = 0 and adjusted 2014-15 FTE > 0 or vice versa.
- Initial 2014-15 FTE = 0 and adjusted 2014-15 FTE > 0 or vice versa.

Table D

38. Table D is disaggregated by level (UG, PGT (UG fee) and PGT). Automatic check highlighting is included in this table where, for any level:

- 'Percentage change between 2013-14 and adjusted 2014-15' > 5% and the change in FTE > 50.
- 'Percentage change between initial and adjusted 2014-15' > 5% and the change in FTE > 50.

We may also query other significant changes in FTEs.

Table E

39. Table E is disaggregated by price group (A, B, C, C1, C2 and D). Table E (1) sums together the old-regime (mainstream) and new-regime FTEs, combining price groups C, C1 and

C2 into one row. Table E (2) shows only old-regime (mainstream) FTEs. Table E (3) shows only new-regime FTEs. The proportion of the total attributable to each price group is also shown.

40. Automatic check highlighting is included in this table where, for any price group:

- 'Percentage change between 2013-14 and adjusted 2014-15' > 5% and the change in FTE > 50 (Table E (1) only).
- 'Percentage change between initial and adjusted 2014-15' > 5% and the change in FTE > 50 (Table E (1) only).
- 2013-14 FTE = 0 and adjusted 2014-15 FTE > 0 or vice versa.
- Initial 2014-15 FTE = 0 and adjusted 2014-15 FTE > 0 or vice versa.
- Change between '2013-14 Proportion of total' and 'Adjusted 2014-15 proportion of total' >= 4 percentage points.
- Change between 'Initial 2014-15 proportion of total' and 'Adjusted 2014-15 proportion of total' >= 4 percentage points.

Table F

41. Table F compares the total FTEs by fundability status (HEFCE-fundable, Non-fundable, and Island and overseas) from:

- 2012-13 HESA data from Column 4 or 4a of Tables 1 to 3 of the 'HESA funding and monitoring data 2012-13: funding data reconciliation exercise' as at 8 August 2014
- 2013-14 (from Column 4 or 4a of HESES13[2] Tables 1 to 3) and
- 2014-15 adjusted (from Column 4 or 4a of HESES14 Tables 1 to 3).

Percentage changes between these columns are given together with the proportion of the total attributable to each fundability status.

42. Automatic check highlighting is included in this table where the change between '2013-14 Proportion of total' and 'Adjusted 2014-15 proportion of total' >= 4 percentage points. We may also query other significant changes in FTEs.

Table G

43. Table G compares the total number of old-regime (co-funded) FTEs from:

- 2012-13 (from Table H of the 2012-13 final grant tables)
- 2013-14 (from Column 5 or 5a of HESES13[2] Tables 1 to 3)
- 2014-15 initial (from Columns 1, 2 and 3a of HESES13 Table 7) and
- 2014-15 adjusted (from Column 5 or 5a of HESES14 Tables 1 to 3).

Percentage changes between these columns are also given.

[2] During data verification we will use 2013-14 data extracted from the XXXXX at the point where HESA closed the submission system.

44. Automatic check highlighting is included in this table where:

- There is an increase in FTEs between 2013-14 and adjusted 2014-15.
- 'Percentage change between initial and adjusted 2014-15' > 10% and the change in FTE > 50.

'Comparison 2' worksheet

Table H

45. Table H shows the calculation of non-completion rates i.e. Column 3 as a percentage of Column 1 + Column 2 of Tables 1 to 3 from:

- 2012-13 HESA data from the 'HESA funding and monitoring data 2012-13: funding data reconciliation exercise' as at 8 August 2014
- HESES13[3] and
- HESES14.

This table shows HEFCE-fundable students only, disaggregated by mode and level (PGT (UG fee) is summed with PGT in this table).

46. Automatic check highlighting is included in this table where, for any combination of mode and level:

- There is a difference of at least 3 percentage points between the 2012-13 and 2014-15 non-completion rates, where Column 1 + Column 2 for 2014-15 is at least 100.
- There is a difference of at least 3 percentage points between the 2013-14 and 2014-15 non-completion rates, where Column 1 + Column 2 for 2014-15 is at least 100.

47. Where non-completion rates vary from historical rates institutions will need to ensure that there is robust evidence to support the changed rates. We will ask institutions to provide details of how they have arrived at their estimated rates.

48. Further guidance on non-completions and the completion of Column 3 can be found in Annex I and paragraphs 17 to 19 of Annex D respectively.

Table I

49. Table I compares the proportions of students recorded as being on long courses in 2013-14 and 2014-15. The table shows the total headcount and long headcount taken from Column 4 of Tables 1 and 3 from:

- HESES13[3] and
- HESES14.

[3] During data verification we will use 2013-14 data extracted from the XXXXX at the point where HESA closed the submission system.

The proportion of total estimated countable years recorded as being long is then given for each year. The table includes HEFCE-fundable students only, disaggregated by price group, mode and level (PGT (UG fee) is summed with PGT in this table).

50. Automatic check highlighting is included in this table where, for any combination of price group, mode and level:

- There is a difference of at least 5 percentage points between the 2013-14 and 2014-15 proportions of Column 4 students recorded as long, where the change in the number of long students is at least 10.
- The proportion of Column 4 students recorded as long has changed to or from zero between years.

51. We may ask institutions for evidence that courses returned as long meet the criteria. Further guidance and the definition of a long year of study can be found in Annex O.

Table J

52. Table J compares full-time years of instance monitored for student number control purposes in Table 6 from:

- 2012-13 HESA data from the 'HESA funding and monitoring data 2012-13: funding data reconciliation exercise' as at 8 August 2014
- HESES13[4] and
- HESES14.

Proportions of the totals are given and the percentage change between 2013-14 and 2014-15 is also shown.

53. Automatic check highlighting is included where 'Percentage change between 2013-14 and 2014-15' > 10% and the change in student numbers > 5. We may also query any apparent shifts in the split of years of instance between Columns 1a, 1b and 2, and exempt and non-exempt students.

54. Guidance on the completion of Table 6 can be found in paragraphs 57 to 67 of Annex D and paragraphs 24 to 41 of Annex H.

Table K

55. Table K compares the Table 4 data from:

- 2012-13 HESA data from the 'HESA funding and monitoring data 2012-13: funding data reconciliation exercise' as at 8 August 2014
- HESES13[4] and
- HESES14.

[4] During data verification we will use 2013-14 data extracted from the XXXXX at the point where HESA closed the submission system.

56. Automatic check highlighting is included in this table where, for any combination of type of instance, fundability status and mode:

- The 'Maximum percentage difference' > 20% and the 'Maximum difference' > 15.
- HESES14 data = 0 and 2012-13 HESA data > 0 or vice versa.
- HESES14 data = 0 and HESES13[4] data > 0 or vice versa.

57. Further information on recording years abroad in Table 4 can be found in Annex P.

'Comparison 3' worksheet

58. The tables on this worksheet will not be routinely questioned by HEFCE; however, we may query any large differences. There is no automatic highlighting on these tables.

Table A*

59. Table A* compares old-regime (mainstream) FTEs from:

- 2011-12 (from the 'MST' worksheet in the latest workbook which can be found in the 'HESA FAMD 2011-12 (incl. funding summaries and data reconciliation outputs)' download only file group on the HEFCE extranet)
- 2012-13 (from Table G of the 2012-13 final grant tables)
- 2013-14 (from Column 4 or 4a of HESES13[5] Tables 1 to 3) and
- 2014-15 (from Column 4 or 4a of HESES14 Tables 1 to 3).

2012-13, 2013-14 and 2014-15 FTEs are then given as a percentage of 2011-12 FTEs. '2011-12 Rate of funding' is taken from column K of Table G of the 2012-13 final grant tables.

Table B*

60. Table B* compares the total FTEs from:

- 2011-12 (which is the sum of the 2011-12 FTEs on the 'MST' and 'COF' worksheets in the latest workbook which can be found in the 'HESA FAMD 2011-12 (incl. funding summaries and data reconciliation outputs)' download only file group on the HEFCE extranet)
- 2012-13 new-regime FTEs (from Table I of the 2012-13 final grant tables)
- 2013-14 new-regime FTEs (from Column 4 or 4a of HESES13[5] Tables 1 to 3) and
- 2014-15 new-regime FTEs (from Column 4 or 4a of HESES14 Tables 1 to 3).

2012-13, 2013-14 and 2014-15 FTEs are then given as a percentage of 2011-12 total FTEs.

Table C*

61. Table C* compares HEFCE-fundable FTEs disaggregated by price group, mode and level from:

[5] During data verification we will use 2013-14 data extracted from the XXXXX at the point where HESA closed the submission system.

- HESES14 (from Column 4 or 4a of Tables 1 to 3) and
- 2014-15 grant Table D ('2014-15 Mainstream base FTEs').

62. Further information on the assignment of activity to price groups can be found in Annex L.

'Comparison 4' worksheet

63. The tables on this worksheet will not be routinely questioned by HEFCE; however, we may query any large differences.

Table D*

64. Table D* compares the number of HEFCE-fundable new entrants, disaggregated by mode and level (PGT (UG fee) is summed with PGT in this table) from Column 2 of Table 5 from:

- HESES13[6] and
- HESES14.

For comparison purposes, the percentage change in the total number of HEFCE-fundable students between 2013-14 and 2014-15 is also shown.

65. The definition of new entrant can be found in paragraph 20 of Annex H.

Table E*

66. Table E* compares the average FTE for HEFCE-fundable part-time students disaggregated by price group and level (PGT (UG fee) is summed with PGT in this table), calculated as Column 4a divided by Column 4 of Table 3 from:

- 2012-13 HESA data from the 'HESA funding and monitoring data 2012-13: funding data reconciliation exercise' as at 8 August 2014
- HESES13[6] and
- HESES14.

Column 4 of HESES14 is also shown and the 'Maximum difference' calculates the larger of the absolute differences between the 2012-13 and 2014-15 data, and 2013-14 and 2014-15 data.

67. Automatic check highlighting is included in this table where, for each combination of price group and level of study, 'Maximum difference' >= 0.05 and 'HESES14 Column 4 headcount' >= 100. This will not be routinely questioned during data verification.

Table F*

[6] During data verification we will use 2013-14 data extracted from the XXXXX at the point where HESA closed the submission system.

68. Table F* compares the number of HEFCE-fundable students recorded as franchised-out to either an HEI, FEC or another institution from Column 3 of Table 5, disaggregated by mode and level from:

- HESES13[6] and
- HESES14.

69. Automatic check highlighting is included in this table where, for any combination of mode, level and type of institution franchised to:

- The difference between the 2013-14 and 2014-15 franchised-out numbers >= 10% and the 2014-15 franchised-out numbers >= 100.
- The 2013-14 franchised-out numbers = 0 and 2014-15 franchised-out numbers > 5 or vice versa.

These will not be routinely questioned during data verification.

70. Further guidance on which activity should be counted as franchised-out can be found in paragraphs 9 to 18 of Annex F.