

September 2015/28

Core operations

Request for data

Returns must be uploaded to the HEFCE extranet by **noon on 10 December 2015**.

This document asks alternative providers of higher education to complete a survey of 2015-16 students on those full-time, distance learning and part-time courses that have been designated for student support purposes.

HEAPES15

Higher Education in Alternative Providers Early Statistics Survey 2015-16

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HEAPES15: Higher Education in Alternative Providers Early Statistics Survey 2015-16

To	Accountable officers of alternative providers with degree-awarding powers and those subject to student number controls
Of interest to those responsible for	Student data, Finance
Reference	2015/28
Publication date	October 2015
Enquiries to	heapes@hefce.ac.uk

Executive summary

Purpose

1. This document asks alternative providers of higher education to complete a survey of 2015-16 students on those full-time, distance learning and part-time courses that have been designated for student support purposes.

Key points

2. The survey should be completed by any alternative provider that either:
 - has degree-awarding powers
 - is subject to a full-time student number control (SNC)
 - is subject to a distance learning and part-time SNC.
3. The data gives an early indication, for purposes including government planning, of the number of students starting designated full-time, distance learning and part-time courses in the academic year 2015-16. It will also allow us to monitor whether providers subject to an SNC are likely to exceed their allocations. The Department for Business, Innovation and Skills will use the data to inform SNCs for the 2016-17 academic year.
4. This document provides the following:
 - 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. Workbooks will be available to providers in November 2015 to download from the HEFCE extranet. Returns must be uploaded to the HEFCE extranet by **noon on 10 December 2015**.

Section 1: Introduction

Why are we requiring providers to complete the HEAPES survey?

6. Students at alternative providers with designated courses can access public funding in the form of student support. The Department for Business, Innovation and Skills (BIS) therefore has an interest in monitoring student numbers, and ensuring that they do not become unaffordable¹. BIS have therefore asked providers subject to a student number control (SNC) and those with degree-awarding powers to complete the HEAPES survey. BIS uses the data collected through the HEAPES survey to assess whether providers have exceeded their 2015-16 SNC allocations, set 2016-17 SNC allocations and to provide more general information about recruitment levels that can be used for planning purposes.

7. The HEAPES survey is a technical exercise that requires a detailed understanding of the populations it covers, and the ways in which these must be broken down. It is essential that those completing the survey familiarise themselves with this guidance, which has been updated from HEAPES14². Those with questions about the survey should contact heapes@hefce.ac.uk.

Note on terminology

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

9. We will refer to those courses that have been designated as distance learning or part-time by the Secretary of State as 'DLPT courses'. Only students on DLPT courses are in the DLPT HEAPES population.

HEAPES15 process

10. To complete the HEAPES survey, providers must complete up to four tables in a Microsoft Excel workbook, and submit it to HEFCE by **noon on 10 December 2015**. Further information on how the workbook should be downloaded, completed and submitted is provided in Section 3. Sample tables are provided in Annex A. In this document 'Table 1', 'Table 2', 'Table 3' and 'Table 4' refer to the tables in the workbook.

11. Once the HEAPES survey has been submitted to HEFCE, we will check the data for credibility and will contact providers with any questions. This verification process may lead to changes to the data. Once the data is verified and finalised, we require the 'accountable officer', normally the head of the organisation, to sign off the data as correct.

12. Once the data has been signed off, we will inform BIS of the final HEAPES numbers. BIS will use the numbers to inform its policies, and to apply sanctions to any providers who have over-recruited. The data will also be used to inform SNCs for 2016-17.

¹ Further information about the BIS's approach to student number controls at alternative providers can be found at <https://www.gov.uk/government/publications/alternative-providers-specific-course-designation-guidance-for-applicants>.

² 'HEAPES14: Higher Education in Alternative Providers Early Statistics survey' (HEFCE 2014/16), available online at www.hefce.ac.uk/pubs/year/2014/201416/.

13. We will work with providers to support them in completing the survey. However, if a provider is unable to complete the HEAPES15 survey, or to provide credible data, we will advise BIS. This could lead to BIS imposing sanctions as laid out in their guidance for alternative providers (<https://www.gov.uk/government/publications/alternative-higher-education-providers-designation-guidance>).

14. Table A sets out a provisional timetable for the process.

Table A: Provisional timetable

November 2015	HEFCE extranet keys issued to providers. HEAPES15 workbooks available to providers on the extranet.
Noon on 10 December 2015	Deadline for returning HEAPES15 data.
11 December to 15 January 2016	Data verification by HEFCE. We will contact providers, asking them to answer any questions about the data. Providers will have up to three working days to answer questions.
15 January 2016	Deadline for signing off HEAPES15 data as correct.
Summer 2016	Comparative outputs available.
Spring 2017	Reconciliation with 2015-16 Higher Education Statistics Agency (HESA) data.

Queries and further information

15. Queries about this survey should be emailed to heapes@hefce.ac.uk. Soon after the publication of this guidance, we will publish the answers to frequently asked questions about the HEAPES survey. These will be available at www.hefce.ac.uk/data/collect/heapes/HEAPES.2015-16/.

Section 2: Definitions

16. This section defines the terms that we use when explaining 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 populations

17. The HEAPES populations are the groups of students who are monitored through the HEAPES survey. There are two populations: one covering students on designated full-time courses and the other covering students on designated DLPT courses. Only students who are in a HEAPES population should be counted in the HEAPES survey.

18. The HEAPES populations consist, broadly, of all those students who are eligible for student support, are **starting** a specifically designated full-time, distance learning or part-time course, and are not subject to other controls. However, eligibility for student support is complex, and ultimately only to be determined by the Secretary of State. The definitions of the HEAPES populations therefore use conditions that are easier to apply. It is these conditions, and the accompanying explanations, that should be used to determine whether a student is in a HEAPES population.

19. Whether or not a student is in a HEAPES population does not generally depend on whether they are claiming or receiving student support. Students who meet the conditions below should be included in the relevant HEAPES population, even if they have not in fact claimed or received student support.

20. Paragraph 21 sets out in brief the conditions a student must meet to fall into any HEAPES population. Paragraphs 21 and 22 set out the further conditions which determine the population that the student is part of. All these conditions are expanded upon in paragraphs 24 to 60.

Definitions of the HEAPES populations

21. For HEAPES purposes, the academic year runs from 1 August to 31 July. A student is in the HEAPES population only if they meet conditions A to E below. In addition, students on designated full-time courses must meet conditions F1 and G1, and students on designated DLPT courses must meet conditions F2, G2 and H. The conditions are:

A. The student studies with the provider on a designated course for at least two weeks, or has their attendance on such a course positively confirmed by the provider to the Student Loans Company or the Students Awards Agency for Scotland.

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 is not being counted by any other organisation in relation to the same course.

D. 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.

E. The student is not studying on an initial teacher training course which leads towards Qualified Teacher Status.

22. In addition to conditions A to E, to be in the full-time HEAPES population a student must meet these further conditions:

F1. The student's course is a designated full-time course.

G1. The student has not studied in the previous two academic years with the provider on a course that was, at the time, designated as a full-time course.

23. In addition to conditions A to E, to be in the DLPT HEAPES population a student must meet these further conditions:

F2. The student's course is a designated distance learning or part-time course.

G2. The student has not studied in the previous two academic years with the provider on a course that was, at the time, designated as distance learning or part-time course.

H. The student is not counted in the full-time HEAPES population for the relevant academic year.

Definitions of the HEAPES populations: further explanation

A. The student studies with the provider on a designated course for at least two weeks, or has their attendance on such a course positively confirmed by the provider to the Student Loans Company or the Student Awards Agency for Scotland.

24. Students at alternative providers can access student support only if the course that they are studying is designated by the Secretary of State. Courses may only be designated as a full-time course, distance learning course, part-time course, or postgraduate course.

25. In the HEAPES survey we use the term 'designated courses' to refer to courses that have been designated for student support purposes. We treat a course as designated only if new 2015-16 students on that course can receive student support³. Only students on designated courses are in the HEAPES populations.

26. However, students on postgraduate courses only designated for Disabled Students' Allowance (DSA) are not in the HEAPES populations (see Conditions F1 and F2).

27. To be in a HEAPES population, a student must study with the provider on a designated course for at least two weeks, or have their attendance on such a course confirmed positively to the Student Loans Company (SLC) or the Students Awards Agency for Scotland (SAAS). Students who withdraw (or transfer to a course that is not designated) before they have completed two weeks of study would not therefore be in a HEAPES population, unless the provider confirmed their positive attendance. If, through the SLC's or SAAS's systems for confirming attendance, a provider has only ever reported a student as absent, that student's attendance should not be treated as positively confirmed.

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 original version of the Education (Student Support) Regulations 2011 is available at www.legislation.gov.uk/ukxi/2011/1986/contents/made. It prescribes 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

³ Some courses are designated in 2015-16 for 'teach out' only. The HEAPES populations do not include students on these courses as they are only open to continuing students.

- 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
- European Union (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 a HEAPES population.

30. To assist with interpreting the Student Support Regulations, HEFCE will provide a list of EU countries in the HEAPES Frequently Asked Questions available at www.hefce.ac.uk/data/collect/heapes/HEAPES,2015-16/.

31. Student Finance England advises that, when determining eligibility, students from Gibraltar should be treated as EU nationals. 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.

32. 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).

33. 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.

34. A student is in a 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 a 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 a HEAPES population.

35. The 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 (tel 0300 100 0618).

C. 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 (HESES) survey for higher education institutions (HEIs), and the Higher Education in Further Education: Students (HEIFES) survey for further education colleges.

37. It may be the case, unusually, that a student on a particular course is part of a 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 organisation.

Treatment of franchises

38. A franchised course, for purposes relating to specific course designation, HEAPES and SNCs, is a course subject to an agreement by one organisation (the franchiser) that another (the franchisee) may deliver all or part of a course approved and owned by the first. The franchiser retains overall control of the course's content, delivery, assessment and quality assurance arrangements. To qualify as franchised for the purpose of specific course designation and HEAPES, all the following conditions must be met:

- a. A written legally binding agreement is in place between the franchiser and the franchisee which sets out the terms of the franchising agreement.
- b. The course is registered on the SLC's HEI course database in the name of the franchiser, and the fee loan is paid to the franchiser.
- c. The student is a student of the franchiser, is included within their HESA or Individualised Learner Record and other data returns and, when appropriate, counts against their SNC.
- d. The student has a contractual relationship with the franchiser for delivering the course.
- e. The terms of the franchise agreement meet the expectations set out in the UK Quality Code for Higher Education in respect of managing higher education provision with others.

39. Students who are franchised from a HEFCE-funded HEI or further education college are not in a HEAPES population, as their data must be returned in the HESSES or HEIFES survey of the franchiser.

40. Alternative providers are not generally permitted, under the conditions of specific course designation, to franchise courses to other providers. However, BIS may exceptionally permit this. Where the provider has such written consent from BIS, students should be treated as meeting condition C for the franchiser, and not the franchisee. This means that, where the student also meets the other HEAPES conditions, they should be included in the HEAPES return of the franchiser.

D. 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.

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

42. 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.

43. 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.

44. Student Finance England provides guidance on how to determine whether a student is studying for an ELQ in 'Assessing Eligibility Guidance' for 2015-16, which is available at www.practitioners.slc.co.uk/policy-information/guidance-chapters.aspx (paragraphs 140-145). This guidance includes the table reproduced here as Table B, which shows academic levels. Providers may wish to use this when determining whether a student is progressing to a higher level of study.

Table B: Table showing academic levels (from SFE 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

45. 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 on 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 whether the study was full-time, part-time or through distance learning.

Exceptions

46. The Student Support Regulations make exceptions for students taking courses that lead to a qualification as a social worker, medical doctor, dentist, veterinary surgeon, or architect, and for initial teacher training courses. This means that students on such courses can receive some student support even if they are studying for an ELQ. Condition D does not therefore exclude such students from the HEAPES populations: they will be in a HEAPES population provided they meet the other conditions.

47. In addition, a 2014 amendment to the Student Support Regulations prescribes that part-time students are not subject to the ELQ rules, and can therefore access student support, if they are studying for an honours degree in engineering, technology, or computer science. Such students will therefore be in the DLPT HEAPES population provided they meet the other conditions⁴.

48. 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 exception by the Student Support Regulations, they should contact the SLC using the practitioner helpline (tel 0300 100 0618).

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

49. Student numbers on initial teacher training (ITT) courses leading to Qualified Teacher Status are separately controlled by the National College for Teaching and Leadership, which is why we do not include them in either HEAPES population. The HEAPES survey includes students on ITT courses only when these do not lead to Qualified Teacher Status. Such courses include:

- Postgraduate or Professional Graduate Certificates in Education (PGCEs) for the post-compulsory education sector
- Level 5 Diplomas in Education and Training.

F1. The student's course is a designated full-time course.

50. 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 full-time HEAPES population. Students on courses designated as part-time or distance learning are not in the full-time HEAPES population. Neither are students on postgraduate courses designated for DSA only, regardless of whether or not they are delivered full-time. Providers should refer to the HEFCE Register of Higher Education Providers for detailed information on the designation status of individual courses (www.hefce.ac.uk/reg/register/)

G1. The student has not studied in the previous two academic years with the provider on a course that was, at the time, designated as a full-time course.

51. If in either of the previous two years the student has studied for at least two weeks with the provider on a full-time designated course, they are not in the full-time HEAPES population⁵. Many of the students in the full-time HEAPES population will therefore be 'entrants' – students who are beginning a full-time course without having previously studied with the provider. However, the full-time HEAPES population will also include other students, such as those who have previously studied with the provider but not on a

⁴ The relevant statutory instrument is SI 2014 no 2765. Further interpretation is provided by the Student Loans Company in the helpful information notice on part-time ELQ exceptions available here: <http://www.practitioners.slc.co.uk/policy-information/student-support-information-notices.aspx>.

⁵ This excludes any course franchised from another organisation. For the definition of a franchised course, see paragraph 378.

full-time designated course. The full-time HEAPES population will also include some students who are returning to a designated full-time course after an absence of more than two years.

52. The year of the course is not directly relevant to determining whether a student is in the full-time HEAPES population: some students in this population may be in the second or subsequent years of a course. This might happen, for instance, if a course gains full-time designation after a student's first year; if a student has 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.

53. Condition G1 means that if a student has studied in the previous two years on a course that was not designated, but which has since gained designation for the current academic year, they will be in the full-time HEAPES population provided the other conditions are met.

F2. The student's course is a designated distance learning or part-time course.

54. Only students on DLPT courses are in the DLPT HEAPES population. Students on courses designated as full-time are not in the DLPT HEAPES population. Neither are students on postgraduate courses designated for DSA only, regardless of whether or not these are delivered on a distance learning or part-time basis.

G2. The student has not studied in the previous two academic years with the provider on a course that was, at the time, designated as a distance learning or part-time course.

55. If in either of the previous two years the student has studied for at least two weeks with the provider on a distance learning or part-time designated course, they are not in the DLPT HEAPES population⁶. Many of the students in the DLPT HEAPES population will therefore be 'entrants' – students who are beginning a distance learning or part-time course without having previously studied with the provider. However, the DLPT HEAPES population will also include other students, such as those who have previously studied with the provider but not on a distance learning or part-time designated course. The DLPT HEAPES population will also include some students who are returning to a designated distance learning or part-time course after an absence of more than two years.

56. The year of the course is not directly relevant to determining whether a student is in the DLPT HEAPES population: some students in this population may be in the second or subsequent years of a course. This might happen, for instance, if a course gains distance learning or part-time designation after a student's first year; if a student has transferred from a course that is not designated as distance learning or part-time; or if they have been permitted to enter the course after the first year because of their prior educational attainments or experience.

57. Condition G2 means that if a student has studied in the previous two years on a course that was not designated, but which has since gained designation for the current

⁶ See paragraph 38.

academic year, they will be in the DLPT HEAPES population, provided the other conditions are met.

H. The student is not counted in the full-time HEAPES population for the relevant academic year.

58. If, unusually, on the census date a student would meet both the conditions to be in the full-time HEAPES population and the conditions (excepting condition H) to be in the DLPT HEAPES population, they should be included in the full-time HEAPES population only. For example, if a student begins a full-time designated course and transfers to a distance learning or part-time designated course before the census date, they should be included only in the full-time HEAPES population (provided they meet the full-time HEAPES conditions).

59. More generally, if a student meets conditions A to E, F1, F2, G1 and G2 before the census date, then condition H determines that for HEAPES purposes they will be treated as a full-time student, rather than a part-time student. This approach avoids any double counting of students.

60. It is possible that a student who is in the DLPT HEAPES population may transfer to a full-time designated course after the census date. We do not expect this to be taken into account in the forecasts of numbers who fall into the full-time HEAPES population. However, providers should be aware that students who transfer to a full-time course after the census date will be noted through analysis of data from the SLC and HESA, and may count against their full-time SNC.

Categories within the HEAPES populations

61. All and only students in the HEAPES populations should be included in the HEAPES survey. This section defines the terms used to break down these populations. A full understanding of these terms is required to complete this survey.

Qualification type

62. The HEAPES survey requires providers to categorise students by the following qualification types:

- a. HNC/HND
- b. UG ITT (Undergraduate ITT)
- c. First degree (bachelors or integrated masters degree)
- d. Other UG (Other Undergraduate)
- e. PG ITT (Postgraduate ITT).

63. We have assigned qualification types to courses to reflect their designation from BIS. This is illustrated in the Annex A samples for Tables 1 and 3.

Students receiving student support

64. The HEAPES survey requires providers to categorise students based on whether or not they receive student support. This information is required so that HEFCE can compare the data submitted in the HEAPES survey with that held by the SLC. It is not relevant to monitoring the student number controls: whether or not a student counts

against a provider's SNCs does not depend on whether they are receiving student support.

65. A student in a HEAPES population should be treated as receiving student support if the provider has positively confirmed the student's attendance or registration for 2015-16 to the SLC or the SAAS on or before the census date. If the provider has not positively confirmed the attendance or registration of a particular student for 2015-16, 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 2015-16, or is likely to do so in the future.

Section 3: Completing and submitting the HEAPES15 survey

Downloading the HEAPES15 workbook

66. An Excel workbook containing the four tables to be completed will be available on the HEFCE extranet (<https://data.hefce.ac.uk>) in mid-November 2015. In early November, we will send the accountable officer and the HEAPES contact of each provider a letter containing a unique key for accessing the workbook and instructions on how to use the extranet.

Completing the tables

67. The HEAPES15 workbook contains five worksheets as detailed in Table C below. Providers required to participate in the HEAPES survey need to complete all tables relevant to them, regardless of whether the relevant population is subject to an SNC. For instance, a provider with designated full-time and part-time courses should complete Tables 1, 2, 3, and 4, even if only their full-time courses are subject to an SNC. However, a provider with only designated distance learning or part-time courses need only complete Tables 3 and 4.

Table C: Description of HEAPES15 tables

Name of worksheet	HEAPES15 tables
FT_1	Table 1: Students in the full-time HEAPES population present on or before 1 December 2015
FT_2	Table 2: Students in the full-time HEAPES population
DLPT_1	Table 3: Students in the DLPT HEAPES population present on or before 1 December 2015
DLPT_2	Table 4: Students in the DLPT HEAPES population
SNC	Recruitment against the 2015-16 student number controls

Completing Tables 1 and 3

68. Providers only need complete Tables 1 and 3 when course information is pre-filled in these tables.

69. Tables 1 and 3 should contain all and only students who are in the HEAPES populations between 1 August 2015 and 1 December 2015.

70. Table 1 contains a list of all courses designated as full-time for 2015-16 at the organisation, broken down by location. The first six columns of this table are pre-filled with course identifier, qualification type, course name, awarding body, location identifier and location name. Table 3 contains equivalent information for distance learning and part-time courses along with a designation type indicator. These reflect the designations granted by BIS. If you believe this list is incomplete or inaccurate, please contact us as soon as possible by email at heapes@hefce.ac.uk.

71. The other columns of Tables 1 and 3 should be completed as follows (for the relevant HEAPES population).

SLC course code: Course identifier generated by the SLC when registering the course on their system. When a course taught at a particular location is associated with more than one SLC course code (for instance, because it has multiple start-dates), all relevant SLC course codes should be entered, separated by a comma.

Column 1 (a): Number of students in the HEAPES population between 1 August 2015 and 1 December 2015 who are receiving student support.

Column 1 (b): Number of students in the HEAPES population between 1 August 2015 and 1 December 2015 who are not receiving student support.

Column 2 is the total of columns 1 (a) and (b), and will be calculated automatically.

Completing Tables 2 and 4

72. Providers only need complete Tables 2 and 4 when course information is pre-filled in the preceding table (Table 1 or 3, respectively), or when they have institutional designation. Providers with institutional designation should complete column 1 of both tables as well as column 2.

73. Tables 2 and 4, when complete, provide summaries of all students who are in the HEAPES populations in the 2015-16 academic year. For most providers (those without institutional designation), column 1 of Table 2 will be pre-filled from the data entered into Table 1 and column 1 of Table 4 from the data entered into Table 3.

74. Providers are required to complete column 2 with a forecast of students who will enter the relevant HEAPES population between 2 December 2015 and 31 July 2016. Columns 1 and 2 are mutually exclusive.

75. Students returned in column 2 will typically be studying on courses with start dates after 1 December. Providers should ensure that these forecasts are made on a reasonable basis. Typically they should be based on past recruitment patterns allowing for known changes in the current academic year. Forecasts should not be based on aspirations, ambitions or targets unless there is strong evidence that these will be achieved. Forecasts should exclude the number of students starting after 1 December who are estimated to withdraw within two weeks of starting (without having had their attendance positively confirmed to the SLC or the SAAS), and therefore do not fall into a HEAPES population. Again, we would expect these estimates to be based on evidence

(for instance, of previous withdrawal rates). In all cases, evidence should be kept for audit purposes for five years.

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

Validation checks and credibility checks

77. The HEAPES15 workbook includes a number of validation and credibility checks. The validation checks identify data that is clearly incorrect. Workbooks which contain validation errors will not be accepted. The credibility checks are for data which may be correct, but which appears 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 is in fact correct.

Validation checks

78. Validation checks for each table are listed within each worksheet. The following errors are possible in Tables 1 and 3:

- cells contain values that are not whole numbers
- cells contain negative values
- the SLC course codes contain letters
- courses have a missing SLC course code.

79. The following errors are possible in Tables 2 and 4:

- cells contain values that are not whole numbers
- cells contain negative values
- students reported against qualification types for which the organisation has no designated courses.

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

81. 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 email us for advice at heapes@hefce.ac.uk.

Credibility checks

82. Credibility checks for each table are shown within each worksheet. There are no credibility checks for Tables 2 and 4. Credibility warnings on Tables 1 and 3 apply if:

- the total number of students is greater than 50, and 10 per cent or fewer are not receiving student support.

83. If the data entered generates a credibility warning, a message reading '**First stage credibility: Warnings**' will appear above the column in the table which contains the issue. The issue will be described in more detail under the description of each credibility check.

84. When a credibility warning appears, providers should check that the data they have entered is correct and meets the guidance and definitions set out in the relevant section of this publication. If the provider is satisfied that the data is correct, they may submit it but should accompany the submission with an email to heapes@hefce.ac.uk explaining why it is correct. We will consider these explanations as part of our data verification process (see paragraphs 89 to 93).

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

Recruitment against the 2015-16 student number controls

86. The HEAPES15 workbook also contains a worksheet relating to recruitment against the 2015-16 SNCs. BIS guidance states that any provider recruiting above an SNC will be given the option of making a repayment to BIS. The current guidance states that this payment may be £5,000 for each full-time student, reducing pro rata for each excess part-time student, depending on the intensity of study. BIS has advised us that this should be calculated at a rate of £3,750 for each distance learning or part-time student. This worksheet shows an indicative repayment which BIS may request for any over-recruitment at these rates. BIS retains the right to make decisions about over-recruitment and may amend the calculations. If, on completion of the tables, this worksheet shows an indicative repayment, you should check that this does not result from data error. Providers should take no action in relation to repayment until they are instructed to do so by BIS.

Uploading the workbook to the extranet

87. Completed workbooks for the HEAPES15 survey must be uploaded to the HEFCE extranet no later than **noon on Thursday 10 December 2015**. We will not give extensions to this deadline. A key for accessing the extranet for the purposes of HEAPES15 will only be sent to each provider's accountable officer and named HEAPES contact in early November 2015.

88. The data does not need to be formally signed off by the accountable officer at this stage. However, we recommend that a senior member of the organisation reviews the HEAPES return for accuracy, prior to submission.

Data verification

89. A small team of data verification specialists at HEFCE will verify the data for HEAPES15 from 11 December 2015 to 15 January 2016. The specialist responsible for checking a provider's HEAPES15 return will liaise with the provider's HEAPES contact.

90. During data verification, we check the data and the explanations that have been given for any credibility warnings. We will also check the data submitted against other data sources, including the SLC, Pearson Education Limited and HESA. 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.

91. If corrections to the data are required then these will need to be made by uploading an amended workbook to the HEFCE extranet. For this to happen, you will need to inform your data verification specialist, who will open the extranet for you to allow you to upload the revised workbook. Workbooks must **not** be emailed under any circumstances.

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

93. During the verification process, we will sometimes ask providers to send us additional information about student numbers. In providing such information, providers should respect the confidentiality of their students. In particular, providers should not send to us individual student data – such as data from the SLC – which could allow HEFCE, or a third party, to identify students.

Data sign-off

94. By **noon on Friday 15 January 2016**, each provider must have signed off its HEAPES data as having been correct as of 1 December 2015. The data must be signed off by the accountable officer by completing the form that we provide. The accountable officer is expected to have enough understanding of the HEAPES survey to confirm that the provider's systems are capable of producing an accurate, complete return and that it has been compiled competently.

95. If it is anticipated that the accountable officer will be unavailable to sign off the data because they are absent during the data verification period, providers should email heapes@hefce.ac.uk as soon as possible to agree interim arrangements. We expect the accountable officer to sign off the data when they return.

96. It is BIS' expectation that providers completing the HEAPES survey do so to an appropriate standard. If a provider fails to submit the survey on time, to provide credible data, or to sign off their data on time, we will inform BIS. This could ultimately lead to BIS imposing sanctions.

Data assurance

97. In addition to the data verification process described above, we may audit the HEAPES15 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 has been derived. This is 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 Tables 2 and 4.

We will compare the HEAPES15 survey with further data provided by the SLC and Pearson Education Limited and with data returned to HESA for 2015-16.

Higher Education Statistics Agency

98. All providers with 2015-16 specific course designation (including at institutional level) are required to submit an alternative provider student record 2015-16 to HESA.

Further information about this is provided by HESA at https://www.hesa.ac.uk/index.php?option=com_studrec&Itemid=232&menu=15054.

99. During the submission process, to help providers return accurate data to HESA, we will provide comparative outputs comparing their HEAPES15 return with a re-creation of their HEAPES15 from their HESA data, allowing providers to identify and correct potential errors in their HESA data before final submission. Where differences between the two returns occur above set thresholds, we will discuss the data with the provider as part of the data assurance process.

100. In spring 2017, once the final data has been submitted to HESA, we will produce a final re-creation of the HEAPES15 workbook using this data. This will be used to determine whether providers have recruited above their 2015-16 SNCs.

Annex A: Sample HEAPES15 tables

HEAPES15: Higher Education in Alternative Providers Early Statistics (HEFCE 2015/XX)

Provider:
UKPRN:

Contact:
Phone:
E-Mail:
Date loaded:

Table 1: Students in the full-time HEAPES population (present on or before 1 December 2015)

							Validation: OK First stage credibility: OK	Validation: OK First stage credibility: OK	Validation: OK First stage credibility: OK
Course identifier	Qualification type	Course name	Awarding body	Location identifier	Location name	SLC course code	1	2	
							Students present on or before 1 December 2015	Students receiving student support (a)	Students not receiving student support (b)
NXXXX1	HND	Business Management	Pearson Education Limited	L1	London				
NXXXX2	Other UG	BA Business	Avonbridge University	K1	Kent				
NXXXX3	Other UG	BFin Finance	Avonbridge University	L1	London				
NXXXX4	HND	Event Management	Pearson Education Limited	L1	London				

HEAPES15: Higher Education in Alternative Providers Early Statistics (HEFCE 2015/XX)

Provider:

UKPRN:

Contact:

Phone:

E-Mail:

Date loaded:

Table 2: Students in the full-time HEAPES population

Validation: OK

Validation: OK

Validation: OK

First stage credibility: OK

First stage credibility: OK

First stage credibility: OK

	1 Students present on or before 1 December 2015	2 Forecast of students starting after 1 December 2015 and before 1 August 2016	3 Total
Qualification type			
HNC/HND	0	0	0
UG ITT	0	0	0
First degree	0	0	0
Other UG	0	0	0
PG ITT	0	0	0
Total	0	0	0

HEAPES15: Higher Education in Alternative Providers Early Statistics (HEFCE 2015/XX)

Provider:
UKPRN:

Contact:
Phone:
E-Mail:
Date loaded:

Table 3: Students in the DLPT HEAPES population (present on or before 1 December 2015)

								Validation: OK	Validation: OK	Validation: OK
								First stage credibility: OK	First stage credibility: OK	First stage credibility: OK
Course identifier	Qualification type	Designation type	Course name	Awarding body	Location		SLC course code	1	2	
					identifier	Location		Students present on or before 1 December 2015	Students receiving student support	Students not receiving student support
								(a)	(b)	
NXXXX1	HND	Part-time	Business Management	Pearson Education Limited	L1	London				
NXXXX2	Other UG	Part-time	BA Business	Avonbridge University	K1	Kent				
NXXXX3	Other UG	Part-time	BFin Finance	Avonbridge University	L1	London				
NXXXX4	HND	Distance learning	Event Management	Pearson Education Limited	L1	London				

HEAPES15: Higher Education in Alternative Providers Early Statistics (HEFCE 2015/XX)

Provider:
UKPRN:

Contact:
Phone:
E-Mail:
Date loaded:

Table 4: Students in the DLPT HEAPES population

Validation: OK

Validation: OK

Validation: OK

First stage credibility: OK

First stage credibility: OK

First stage credibility: OK

	1 Students present on or before 1 December 2015	2 Forecast of students starting after 1 December 2015 and before 1 August 2016	3 Total
Qualification type			
HNC/HND	0	0	0
UG ITT	0	0	0
First degree	0	0	0
Other UG	0	0	0
PG ITT	0	0	0
Total	0	0	0

Recruitment against the 2015-16 student number controls

This worksheet is not applicable for providers with degree awarding powers.

Provider:

UKPRN:

Queries to:

heapes@hefce.ac.uk

Full-time student number control for 2015-16

2015-16 Full-time student number control	0
Under-recruitment threshold	0
Recruited numbers	N/A
Places not filled below the under-recruitment threshold	0
Students in excess of the full-time student number control	0
Indicative payment to BIS for over-recruitment*	£0

Distance learning/part-time student number control for 2015-16

2015-16 Distance learning/part-time student number control	0
Under-recruitment threshold	0
Recruited numbers	N/A
Places not filled below the under-recruitment threshold	0
Students in excess of the distance learning/part-time student number control	0
Indicative payment to BIS for over-recruitment*	£0

*Rate of repayment is subject to confirmation by BIS

Annex B: List of abbreviations

BIS	Department for Business, Innovation and Skills
DLPT	Distance learning part-time
DSA	Disabled Students' Allowance
ELQ	Equivalent or lower qualification
EU	European Union
HEAPES	Higher Education in Alternative Providers Early Statistics
HEFCE	Higher Education Funding Council for England
HEI	Higher education institution
HEIFES	Higher Education in Further Education: Students
HESES	Higher Education Students Early Statistics
HESA	Higher Education Statistics Agency
ITT	Initial teacher training
LLB	Bachelor of Laws degree
MBA	Master of Business Administration
PG	Postgraduate
PGCE	Postgraduate Certificate of Education or Professional Graduate Certificate of Education
SAAS	Student Awards Agency for Scotland
SLC	Student Loans Company
SNC	Student number control
UG	Undergraduate