

Capital funding for financial year 2021-22

Allocations and invitation to bid

Bids must be returned by 1700 on 10 September 2021

Reference OfS 2021.27

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Publication date 20 July 2021

Contents

Summary	3
Key terms and definitions	3
Action required	4
Introduction	5
Formula funding allocation	6
Calculation method	7
Bidding competition for capital funding	10
Guidance on bidding process	11
Proposed approach to scoring and prioritisation for capital funds distributed through this competition	16
Further guidance on bid content and eligible capital costs	18
Capital grant payments, conditions and monitoring	19
Annex A: Capital funding 2020-21 – Distribution of grant through a formula method	22
Descriptions of columns in the Annex A table	22
Annex B: Specimen bidding template for capital funding for 2021-22	23
Annex C: The OfS portal for capital funding for 2021-22	25
Assigning yourself to the capital funding for financial year 2021-22 survey area	25
Common issues with accessing the portal	25
Common issues while uploading the numerical data workbook	27

Summary

1. This document sets out the arrangements for the distribution by the Office for Students (OfS) of capital grant for the financial year (April to March) 2021-22.
2. In ‘Consultation on distribution of capital funding for financial year 2021-22 (OfS 2021.02)’¹, we sought views on a new approach to the distribution of capital funding to higher education providers. We proposed to do so through a bidding exercise rather than a formula-based allocation. In light of the consultation responses we received, we are modifying our approach, to include a small formula allocation. We will distribute:
 - a. £7.4 million through a formulaic allocation. This publication announces the distribution of this funding between providers, with the allocation for any individual provider capped at £30,000.
 - b. £123.6 million through a competition open to all providers that are registered (or have applied to register) with us in the Approved (fee cap) category. This publication invites bids from such providers and gives guidance on the content of bids and our approach to prioritising between them.
3. We are publishing separately a summary of the responses we received to our consultation and the decisions we have taken in light of them.

Key terms and definitions

4. ‘**Funding**’ and ‘**grants**’ are used synonymously in this document to mean financial support provided under section 39(1) of the Higher Education and Research Act 2017 by the OfS to the governing body of an eligible higher education provider – that is, one registered with us in the Approved (fee cap) category – in respect of expenditure incurred, or to be incurred, by the provider for the purposes of either or both of the following:
 - a. The provision of education by the provider.
 - b. The provision of facilities, and the carrying on of other activities, by the provider, which its governing body considers it is necessary or desirable to provide or carry on for the purposes of, or in connection with, education.
5. ‘**Capital funding**’ and ‘**capital grant**’ mean funding allocated in respect of capital expenditure incurred, or to be incurred, by the provider. Capital expenditure means money used to acquire or maintain fixed assets, such as land, buildings and equipment, which is normally capitalised in the provider’s audited annual accounts. It does not include expenditure on rent, or hiring or leasing of equipment and facilities. Capital grants for financial year 2021-22 must be used for the purposes set out in paragraphs 77-85.

¹ See www.officeforstudents.org.uk/publications/consultation-on-distribution-of-capital-funding-for-2021-22/.

6. **'HESES'** means the annual Higher Education Students Early Statistics survey,² returned by providers registered with the OfS in the Approved (fee cap) category. The data collected in this survey, along with data supplied to the Higher Education Statistics Agency and the Education and Skills Funding Agency, is used to inform the allocation of OfS funding. 'HESES20' is the survey for the 2020-21 academic year, used to inform formula funding for 2021-22.
7. **'Academic year'** means the 12-month period from 1 August to the following 31 July.
8. **'Financial year'** means the 12-month period from 1 April to the following 31 March.

Action required

9. Eligible providers are invited to submit a competitive bid, following the guidance in this document. Bidding templates will be available to providers through the OfS portal. A specimen copy of the bidding template is included for information in Annex B, and further details on how to access the portal and to upload the bidding template is provided in Annex C.
10. Bids from eligible providers for additional capital funding must be received by **1700 on 10 September 2021**. We expect to announce the outcomes of the bidding competition in October 2021.

² HESES20 was the survey to be completed for the 2020-21 academic year. See www.officeforstudents.org.uk/publications/heses20/.

Introduction

11. In January 2021, the Secretary of State for Education issued a guidance letter, which announced capital funding of £150 million for the financial year 2021-22.³ Of the £150 million, £19 million is required to meet existing commitments and support for national facilities and regulatory initiatives.⁴ The January guidance letter set certain expectations around the distribution of capital funding to providers – primarily that this should take place through a bidding exercise to support specified priorities. In March 2021, we consulted on our approach to the distribution to providers of the available balance (£131 million) in ‘Consultation on distribution of capital funding for financial year 2021-22’ (OfS 2021.02).⁵
12. OfS 2021.02 set out our aim, in distributing capital funding for 2021-22, as being to enhance the learning experience of higher education students at providers, by helping raise the quality of their learning and teaching facilities; and to prioritise in particular:
 - a. Facilities for high-cost science, technology, engineering and maths (STEM) subjects, healthcare disciplines and other technical subjects that are designed to meet the specialist skills needs of industry and employers, including at Levels 4 and 5.
 - b. Facilities that will support the development of flexible provision and modes of delivery, including for part-time study, e-learning and blended learning.
 - c. Capital expenditure that will demonstrate value for money.
13. We believe these objectives will: promote choice and opportunities for students in relation to high-cost subject areas that require specialist teaching facilities; support access to higher education for those who need more flexibility in how they study; and help to meet the skills needs of students and employers.
14. The consultation set out our preferred approach as being to allocate funding through a bidding exercise, open to all providers registered (or that have applied to register) in the Approved (fee cap) category. The consultation closed on 23 April and we are publishing separately a summary of the responses we received, our commentary on aspects of those responses and the decisions we have taken in light of them. In summary, we are modifying our approach so that capital funding for eligible providers registered in the Approved (fee cap) category will be distributed through two mechanisms:
 - a. £7.4 million through a small formulaic allocation.

³ Available from: www.officeforstudents.org.uk/advice-and-guidance/regulation/guidance-from-government/.

⁴ £19 million is set aside as provision for Jisc (www.jisc.ac.uk/), Higher Education Statistics Agency Data Futures (www.hesa.ac.uk/innovation/data-futures) and previous commitments arising from the former Higher Education Funding Council for England’s catalyst fund. The figure is a reduction to the £20 million initially expected in our consultation on capital funding for 2021-22, as a result of further work on expected spending profiles for existing commitments. This reduction means that the sum available for distribution to providers has increased from £130 million to £131 million.

⁵ See www.officeforstudents.org.uk/publications/consultation-on-distribution-of-capital-funding-for-2021-22/.

- b. £123.6 million through a bidding competition.
15. Our approach also takes into account terms and conditions of grant⁶ issued by the Secretary of State for Education on 19 July 2021 under section 74 of the Higher Education and Research Act 2017 (HERA). These require that the OfS must not directly or indirectly vary any rates of grant on the basis of the region of the UK in which providers or students are located or courses offered. We are therefore not applying a London weighting in calculating the formulaic allocations. In addition, the terms and conditions identify archaeology as a priority subject and we will therefore consider it as eligible under category 1: 'high-cost subjects of strategic importance' when assessing bids from eligible providers. This is consistent with our approach to recurrent funding as set out in OfS 2021.26⁷.
16. This publication:
- a. Announces, in Annex A, the initial distribution of the formula funding element and the terms and conditions of grant that apply to it.
 - b. Provides guidance to providers on submitting bids to the competition, our approach to prioritising between them, and the terms and conditions applying to funding awarded to successful bidders. Bids must be received by **1700 on 10 September 2021**.

Formula funding allocation

17. We are making a small formula-based allocation for financial year 2021-22 in light of responses to our consultation. Respondents expressed a concern that small providers would be disadvantaged if funding were allocated solely through a bidding mechanism, because they do not have as much staff resource available to prepare strong bids as larger multi-faculty providers. There was a related concern that small providers would be disproportionately affected by the administrative burden arising from a bidding exercise compared with a formula method.
18. By retaining a small formulaic allocation and addressing concerns raised primarily by smaller providers we are also taking note of our general duties set out in section 2(1) of HERA. We have given particular weight to the duties in sections:
- a. 2(1)(b) the need to promote quality, and greater choice and opportunities for students, in the provision of higher education by English higher education providers.
 - b. 2(1) (e) the need to promote equality of opportunity in connection with access to and participation in higher education provided by English higher education providers.
19. We have also considered Schedule 1, paragraph 21 of HERA, which extends the Equality Act 2010, and therefore the Public Sector Equality Duty, to the OfS. This requires the OfS to have due regard to the need to eliminate unlawful discrimination, foster good relations between different groups and take steps to advance equality of opportunity. In particular, we recognise

⁶ See www.officeforstudents.org.uk/advice-and-guidance/regulation/guidance-from-government/

⁷ See www.officeforstudents.org.uk/advice-and-guidance/funding-for-providers/annual-funding/recurrent-funding/

that providers offering performing and creative arts and, to a lesser extent, media studies attract high proportions of students declaring a disability (including mental health issues) and therefore the availability of these courses and means of supporting them is important.

20. We are addressing these concerns by providing a formula capital allocation that, for small providers, will represent funding on a broadly similar basis to previous years. Larger providers will also receive an allocation through this formula, but this will be capped so that no provider receives a formula capital allocation of more than £30,000. The cap of £30,000 broadly reflects what a provider with typically (depending on subject mix) a little over 300 full-time equivalent student numbers (FTEs) would receive if all capital funding was distributed by formula. It addresses the potential disadvantage that the smallest providers might face through adoption of a bidding competition, while applying equally to all eligible providers. In setting the cap at this level, we have sought to strike an appropriate balance in ensuring that all providers that meet the minimum threshold receive a meaningful sum, while also ensuring that the large majority of capital funding is distributed through the bidding competition.
21. The distribution of the formula funding between providers is shown at Annex A, and the allocations must still be used towards 'relevant expenditure' as defined in the capital bidding competition (see paragraph 40). Further information about terms and conditions of capital funding for 2021-22 are set out in paragraphs 77-85.
22. Providers eligible for financial support are those registered with the OfS in the Approved (fee cap) category. However, as in previous years, we will not provide a formula capital grant if a provider's allocation through the formula would be less than £10,000. Subject to providers meeting all eligibility criteria for capital funding and our having sufficient funding available, we will make further formula capital allocations to providers that become registered in the Approved (fee cap) category after 8 July 2021 and before the end of the financial year (31 March 2022). This figure will reflect the number of days that the provider has been registered within the financial year and be scaled back accordingly. This could result in some providers not being eligible for any funding as they could fall below the minimum allocation of £10,000.

Calculation method

23. Changes to the formula capital funding method compared with 2020-21 are to reflect the different overall budget available, remove London weighting (in response to terms and conditions issued by the Secretary of State in July 2021)⁸ and introduce a cap of £30,000 per provider.
24. Formula capital grants are calculated pro rata to weighted FTEs at each provider, but then subject to the minimum allocation threshold of £10,000 and a cap of £30,000. The FTEs used in this calculation are the same ones that will inform 2021-22 recurrent grants, plus those on initial teacher training courses leading to qualified teacher status fundable by the Department for Education. These are largely the fundable student FTEs reported by providers in HESES20

⁸ See www.officeforstudents.org.uk/advice-and-guidance/regulation/guidance-from-government/.

or the Higher Education Students Forecast survey 2021.⁹ They also incorporate a small number of adjustments to student numbers expected in academic year 2021-22, such as for expected increases on pre-registration courses in medicine and dentistry.

25. The formula for 2021-22 allocates funding based on student numbers weighted by price group, plus some additional weighting for postgraduates, disabled students and some specialist providers. Our consultation in OfS 2021.02 proposed that a formula approach might count only students in strategically important high-cost subjects (that is, subjects in price groups A and B, plus computing and pre-registration nursing within price group C1).¹⁰ However, we have instead counted students on the same basis as previously, so that providers are able to use funding to address, across all price groups, the capital funding priorities for the enhancement of graduate employability and skills, in particular in supporting technical provision at Levels 4 and 5, and for part-time and flexible modes of delivery.
26. The formula allocation for 2021-22 no longer includes a London weighting. This ensures that the prioritisation of funding is driven by the objectives set out in paragraph 12, rather than the region in which a provider is located.
27. The overall weighted FTEs for a provider are calculated as:
 - FTEs weighted by price group and level x specialist institution weighting + (FTEs x weighted disability proportion x 0.1).
28. Weightings are based on the following:
 - a. **Price group and level.** These recognise that, for example, clinical and laboratory-based subjects have higher capital costs than classroom-based subjects, and that postgraduates may use more specialist facilities and do so more intensively. Higher weightings are applied to FTEs in price groups A, B and C1. An additional 10 per cent of the weighting is added for postgraduates in price groups A to C2. This reflects that postgraduate students are often studying more intensively and may also make use of more specialist facilities. Table 1 shows the weighting factors that apply by price group and level.

Table 1: Formula-based capital funding weights for price group and level

Price group	Undergraduate weights	Postgraduate weights
A	2.7	2.97
B	1.9	2.09

⁹ Further information about these surveys is available at www.officeforstudents.org.uk/data-and-analysis/data-collection/.

¹⁰ See 'Guide to funding 2020-21; How the Office for Students allocates money to higher education providers' (OfS 2020.23), available at www.officeforstudents.org.uk/publications/guide-to-funding-2020-21/.

Price group	Undergraduate weights	Postgraduate weights
C1	1.1	1.21
C2	1	1.1
D	1	1

- b. **Weighted disability proportion.** The disabled students weighting is variable, reflecting the proportions of students at each provider in receipt of Disabled Students Allowances (DSA) or declaring a disability. This recognises costs as providers invest in inclusive models of support to meet the rapid rise in students reporting disabilities and mental health issues, and deliver on the commitments made to these students in their access and participation plans or statements. It is calculated in the disabled students premium (part of the recurrent grant method) to reflect the proportions of students at each provider receiving DSA (weighted 2) and others who declare a disability (weighted 1), using the latest individualised student data for academic year 2019-20. This part of the calculation therefore provides an additional weighting of 20 per cent for students receiving DSA and 10 per cent for other students declaring a disability.
- c. **Specialist institution weighting.** The specialist provider weighting is the same as in previous years and recognises the particular needs of world-leading specialist providers. It varies between providers to reflect the amount of recurrent funding allocated through the specialist provider targeted allocation.¹¹

29. The formula allocation initially distributes £131 million between providers pro rata to their weighted FTEs (this being the total capital budget available for distribution to providers). Where a provider's share of the total would be less than £10,000, it receives an allocation of zero. This is implemented through an iterative process, where the smallest allocation for a provider that is below £10,000 is set to zero, and the formula rerun to redistribute the total budget among all other providers. The iteration stops when all providers have an initial allocation of either zero or at least £10,000. Having determined this initial allocation, we apply a cap, so that no provider receives more than £30,000. This cap results in the total distributed by formula being reduced to £7.4 million.
30. For the initial calculation we use a budget of £131 million, because if we were to use a much smaller one, (reflecting, for example the £7.4 million we are actually distributing through the formula) the result would be that many more providers (particularly smaller ones) would not receive a share, because they would not meet the £10,000 minimum threshold. This would defeat the objective of providing a small formula allocation that can address concerns about potential disadvantage and burden to smaller providers relating to a bidding exercise.
31. All eligible providers (whether they have received a formula allocation or not) will be able to bid for larger sums in the full bidding exercise. Bids will have a minimum threshold of £50,000, to

¹¹ This weighting applies to the 16 providers that currently receive a share of the £43 million targeted allocation for specialist providers in 2020-21.

ensure funding is prioritised towards more significant capital proposals. Success (or otherwise) in the bidding competition will not affect the size of the formula capital allocation for a provider.

Bidding competition for capital funding

32. OfS 2021.02 set out our proposed approach to a bidding exercise for capital funding for financial year 2021-22. We recognise that there is additional administrative burden for providers in preparing bids and the OfS in assessing them. However, a bidding process will provide more assurance that capital funding provided by the government is achieving value for money in supporting projects that meet the priorities set out in the consultation. We have also taken note of our general duties and had particular regard to:
- a. 2(1)(d) the need to promote value for money in the provision of higher education by English higher education providers.
 - b. 2(1)(f) the need to use the OfS's resources in an efficient, effective and economic way.
33. In light of responses received to our consultation, we have made some clarifications to the bidding guidance, to ensure all providers are clear about information they need to provide and how to deliver a 'good' bid and meet the priorities as set out in the consultation. We have changed the title of the second criterion (originally 'value for money') to 'value for money, project and risk management', so that it better reflects what we are looking to assess, and have provided some more guidance on it. We are looking to keep the information we require in the bidding template as low-burden as possible, so that it is focused on how a project will deliver against the criteria set out in the consultation. In this respect, we are no longer collecting information on student numbers in a structured way as part of the bidding template. However, providers should still specify and quantify in the narrative part of their bids how their proposed capital project will support particular student populations relevant to the priority categories of capital expenditure for which they are bidding.
34. Given that we are now providing a small formula allocation of up to £30,000 per provider, we are increasing the minimum threshold for funding through the bidding competition to £50,000, to ensure funding is prioritised towards more significant capital proposals. We will not fund bids if the total that would be allocated is less than this amount.
35. We are also specifying an initial maximum cap of £3 million on the amount that we will allocate in financial year 2021-22 in support of any single bid. This is to provide clarity for providers as they prepare their bids and is intended to ensure that we are able to support a reasonably wide range of bids. However, in the event that the funds available are oversubscribed, we may reduce this initial maximum cap below £3 million, to ensure that funding for the bids to be supported comes within budget. Between the limits of the cap and the minimum threshold, we will fund successful bids at the level of the OfS funding sought for the financial year 2021-22 in the provider's bid. In taking this approach, we are looking to provide as much certainty as we can about the level at which bids might be supported, while also mitigating the risk that funds awarded might not be fully used within the 2021-22 financial year.
36. We are unable to make any commitments on the availability of funding beyond financial year 2021-22.

Guidance on bidding process

37. To be eligible to bid, a provider must be registered, or have applied to register, with the OfS in the Approved (fee cap) category. For a bid to be supported, a provider must be registered in the Approved (fee cap) category by the time OfS decisions on which bids to support are taken.
38. We will prioritise bids that we consider overall best meet the objectives for capital funding for financial year 2021-22, as set out in paragraph 12. The criteria in paragraph 39 are designed to achieve this and, to be successful, a bid must explain how it meets these criteria through the appropriate use of evidence.
39. The OfS will assess each bid against the following two criteria:
- a. It is for 'relevant expenditure'.
 - b. The project and associated risks will be well managed and the project will provide value for money.

Criterion 1: Relevant expenditure

40. To meet this criterion, a bid must demonstrate that it will directly support relevant facilities in relation to one or more eligible projects.
- a. Relevant facilities are:
 - i. The purchase of equipment (including IT equipment) used for learning, teaching or assessment. This does not include renting or hiring of equipment.¹²
 - ii. The acquisition, replacement or construction of premises or infrastructure (including IT infrastructure) used for learning, teaching or assessment. Acquisition may include the purchase of leaseholds, but this category does not include the making of payments outside of the purchase price, such as for rental or service charges.
 - iii. The refurbishment, expansion or adaptation of existing premises or infrastructure (including IT infrastructure) that are to be used for learning, teaching or assessment.
 - b. Eligible projects are capital expenditure projects that address **one or more** of three priority categories:
 - i. Category 1: High-cost subjects of strategic importance. These are subjects in price groups A and B, and computing and IT, nursing and archaeology within price group C1. These subjects include laboratory-based subjects in science, technology and engineering, and healthcare disciplines in medicine, dentistry, nursing, midwifery and allied health professions, veterinary science and archaeology.

¹² Permissible capital expenditure on software includes the purchase of operating systems and/or substantial applications packages, including where licence, update and maintenance charges are rolled up into the up-front cost and not separately charged over the expected life of the product – that is, where the product has been purchased outright. However, software licences and maintenance expenditure incurred on a periodic basis (even if the period between payments is more than a year) are not allowable as capital expenditure and should instead be treated as recurrent.

- ii. Category 2: Enhancement of graduate employability and skills needs of employers and industry and therefore local and regional economies, in particular in supporting technical provision at Levels 4 and 5.
- iii. Category 3: Part-time and other forms of flexible provision.

Further explanation of the OfS's proposed consideration of eligible projects

- 41. The rationale behind a project and its impact is as crucial as the way it is communicated to the OfS. Even the best project ideas will be let down by a poorly drafted bid. Likewise, even the most sophisticated communication will fall short if it has not been well considered and evidenced.
- 42. Bids should demonstrate (by reference to evidence, such as written plans, governing body decisions or stakeholder views) that there is a need for the proposal, that the provider has realistic plans in place to address this, and that the provider is ready for the funding sought. Purely aspirational or unrealistic bids (for example, plans relying on future events or circumstances that cannot be predicted with certainty) will likely score poorly.
- 43. Providers should be prepared to submit evidence cited in their bids if asked to do so by the OfS. However, it is not necessary to provide this evidence at the time of submitting the bid. Rather, in substantiating their bids, providers should refer to evidence that demonstrates plans are realistic, and that the provider is ready for the funding sought.
- 44. Funding allocated through this process is for use in financial year 2021-22, and therefore bids should demonstrate how the funding sought will be used within that period. This does not exclude projects that will continue beyond this financial year. However, bids related to longer-term projects should also set out full details of the financing for the whole project across all years and identify the benefits of the eligible project for students and employers over time. Bids can also include projects previously planned or already started.

Category 1: High-cost subjects of strategic importance

- 45. This category is to support the capital needs of high-cost subjects of strategic importance. Such support could, for example, relate to the acquisition or use of expensive, specialist facilities and equipment.
- 46. Bids should clearly explain how the funding sought will be used to directly support relevant facilities in relation to high-cost subjects of strategic importance offered (or to be offered) by the provider. Providers should specify and quantify in their responses to the narrative questions in the bidding template, clearly and unambiguously, how their particular capital project proposal will support relevant categories of students, reflecting recent or planned student number growth. While it is not a requirement for these student numbers to increase over time, significant recent or planned increases will score more highly. We will check the numerical information provided in any bid for consistency with other data that we hold, such as individualised student data returns to the Higher Education Statistics Agency or the Education and Skills Funding Agency, and HESES and annual finance return forecasts submitted to us.
- 47. Bids seeking funding for relevant facilities that will be, or are already, focused on high-cost subjects of strategic importance, rather than more general facilities that can be used across a provider's higher education provision, are likely to score more highly for this category.

Proposals that clearly prioritise higher education teaching of subjects in price groups A and B, and intermediate-cost subjects in price group C1 identified as strategically important (that is, computing and IT, nursing and archaeology), will therefore receive a higher score. Bids that focus less on these subjects, for example on general facilities or assets that support higher education teaching across a wider range of subjects, will receive lower scores for this category. Bids that do not demonstrate benefits for the teaching of higher education courses in laboratory-based subjects, healthcare disciplines or archaeology (for example, bids focused on subjects in price groups C2 and D, such as business, social sciences or humanities or on further education teaching or research), will not score under Category 1.

Category 2: Enhancement of graduate employability and skills needs of employers and industry and therefore local and regional economies, in particular in supporting technical provision at Levels 4 and 5

48. This category is to support the capital needs of providers that will enhance the graduate employability and skills of their students with a view to meeting the needs of employers and industry, including for provision at Levels 4 and 5. Bids should clearly explain how the funding sought will be used to directly support relevant facilities in this regard.
49. We wish to prioritise funding for providers that are best able to demonstrate a need for capital investment to support teaching of technical higher education qualifications at Levels 4 and 5 of the 'Frameworks for higher education qualifications of UK degree-awarding bodies'.¹³ This may include where those qualifications are taken as part of an apprenticeship.
50. Bids should demonstrate a clear understanding of employment needs and skills either at local, regional, or national levels. Bids should also identify how the capital funding sought will directly support higher education provision that targets those needs and skills or improves opportunities for self-employment, particularly in technical disciplines. This should include a description of the specific courses that the provider offers, or proposes to offer, to meet those employment and skills needs and which the capital project will support. It should also include clear and unambiguous information about student numbers on those courses, reflecting recent or planned student number growth. While it is not a requirement for these student numbers to increase over time, significant recent or planned increases will score more highly. We will check the numerical information provided in any bid for consistency with other data that we hold, such as individualised student data returns to the Higher Education Statistics Agency or the Education and Skills Funding Agency, and HESES and annual finance return forecasts submitted to us.
51. Higher-scoring bids will provide details of focused capital investments that include convincing evidence of how the specific needs of employers or employment sectors will be met, particularly where this is through the provision of Level 4 and 5 technical qualifications. Lower-scoring bids will provide more generic or limited information, with insufficient evidence about how the capital expenditure will enhance the skills and employment opportunities of graduates. Although this criterion does not limit the subject areas in which providers may be looking to bid for funding, we will score more highly bids for provision that requires specialist facilities and

¹³ See www.qaa.ac.uk/quality-code/qualifications-and-credit-frameworks.

equipment for learning and teaching of technical disciplines, particularly where these are relevant to the skills needs of specific employers. Bids should therefore set this out.

Category 3: Part-time and other forms of flexible provision

52. This category is to support providers that can demonstrate a need for capital investment to directly support the development and expansion of flexible provision and part-time study that will enhance opportunities for students who might otherwise have difficulty participating. This flexibility may be in providing opportunities for students to study at their own pace, in different locations and through different modes of delivery.
53. Proposals may include the use of IT and other technologies, such as for simulation, to deliver teaching in new ways, including in response to the pandemic. However, higher scores will be given where the bid provides convincing evidence of how such technology will enhance and increase part-time and flexible modes of delivery that will maximise student choice and opportunity, both to participate and achieve successful outcomes. Bids should complement provider and OfS strategic objectives for access and participation in recognising activity for highly flexible learning regarding the pace, place and mode of delivery. Bids that are less focused on enhancing and expanding part-time and flexible higher education provision will receive lower scores.
54. Providers should specify and quantify in their responses to the narrative questions in the bidding template, clearly and unambiguously, how their particular capital project proposal will support relevant categories of students, reflecting recent or planned student number growth. Bids should therefore include a description of the relevant part-time and flexible courses that the provider offers, or proposes to offer, to enhance student choice and opportunity and which the capital project will support, as well as information about current and planned student numbers on those courses. While it is not a requirement for these student numbers to increase over time, significant recent or planned increases will score more highly. We will check the numerical information provided in any bid for consistency with other data that we hold, such as individualised student data returns to the Higher Education Statistics Agency or the Education and Skills Funding Agency, and HESES and annual finance return forecasts submitted to us.

Criterion 2: Value for money, project and risk management

55. To meet this criterion, bids must demonstrate that any capital projects or expenditure that may be supported will be well managed, provide value for money and ultimately minimise risks to public funds. In one sense, it could be argued that value for money for public funds is provided when funds are used to meet the strategic priorities of the funding body. That sense of value for money is addressed under the different categories of criterion 1 and we are not looking for it to be repeated under criterion 2. For the latter, we are looking to understand how any OfS funding contributes to the overall financing of a project (although there is no requirement for matched funding) and how proportionate this OfS contribution is to the benefits that the project will bring to students, graduates, employers and others, but particularly those populations relevant to the priority categories. The other aspect of criterion 2 relates to us having confidence that the provider will be able to manage public funding effectively through its management of all aspects of the project, from planning and procurement to delivery, ensuring that risks are well managed and that the provider is both ready for the money and able to use it all in the time available (that is, financial year 2021-22). This criterion is also an important factor when we have had regard to our general duties, in particular under s.2(1)(d) and the need to

promote value for money in the provision of higher education by English higher education providers and s.2 (1)(f) the need to use the OfS's resources in an efficient, effective and economic way.

56. We will not support bids that score less than 2 (Satisfactory) against this criterion (see paragraphs 62 and 63 and Table 2).
57. Bids should set out clearly how the project will provide value for money and how the project and any associated risks will be well managed, for example by setting out details of:
- a. The capital expenditure proposed in financial year 2021-22 and (as may apply) other years, together with:
 - i. Its relationship to the benefits described under the eligible project categories 1, 2 and 3.
 - ii. How that expenditure is to be met from the OfS grant sought.
 - iii. Any other specified sources of finance (where relevant).
 - b. The extent to which the focus of the capital expenditure is on enhancing facilities for higher education teaching and learning, as opposed to wider provider or student benefits, such as for research, or for teaching at further education level.
 - c. The roles and contributions of any collaborative partners involved in the capital project and the benefits of the project for those partners (including, as appropriate, students and graduates of partner providers).
 - d. Procurement, tendering and contract administration; project management; and risk management.
58. Some of the information described in paragraph 57 is collected in a structured format as part of the numerical section of the bidding template, but providers should also use the narrative section relating to criterion 2 to provide further detail. Higher-scoring bids will set out clearly how projects and investments are being managed (including, if appropriate, across any collaborative partners). Bids should clearly identify any risk factors that are likely to impact on the success of the project, the provider's ability to use all the funding sought on eligible project costs within the financial year 1 April 2021 to 31 March 2022, and how these impacts will be managed.
59. Where appropriate (for example, where bids relate to the construction, refurbishment, expansion or adaptation of premises), bids should explain how the provider will review progress of a project, and how it will identify and address emerging risks to the success of the project. This could include, for example, a description of how issues such as risk, reporting and procurement will be managed.
60. Bids should explain how the amount of funding sought is justified in the context of the benefits that the project will bring, demonstrating value for money for students and, where appropriate, employers.
61. Bids that lack clarity, or where the OfS considers that the sums requested appear disproportionate to the benefits of the project, will likely score poorly. Bids that provide

insufficient detail to assure the OfS that the project and associated risks will be effectively managed (including to avoid underspends by 31 March 2022 against the funding sought) will also likely score poorly.

Proposed approach to scoring and prioritisation for capital funds distributed through this competition

62. We will score each criterion, and each category within criterion 1, on a scale of 0 to 4 according to the scale set out in Table 2.

Table 2: Proposed scoring of criteria for a capital bidding competition

Score		Description
4	Excellent	Clear, well reasoned and evidenced explanation of how the bid meets the criteria. No material weaknesses in explanation or the evidence referred to or provided.
3	Very good	Clear, well reasoned and evidenced explanation of how the bid meets the criteria. Some gaps in explanation or the evidence referred to or provided, but not material.
2	Satisfactory	Basic explanation and evidence provided for how the bid meets the criteria. Substantial gaps in evidence referred to or provided, but not material.
1	Poor	Basic explanation of how the bid meets the criteria. Little or no evidence to support the bid.
0	No score	Little or no explanation of how the bid meets the criteria or little or no evidence to support the bid. Bid contains material inconsistencies or weaknesses in the explanation or evidence referred to.

63. Irrespective of the scores for criterion 1 for each category of eligible project, we will not support a bid that scores 0 or 1 under criterion 2 (value for money, project and risk management).

64. We aim to support a broad group of providers with sums that can have a material impact on the availability of facilities and equipment to support high-quality provision and that collectively will meet the objectives set out in paragraph 12. We recognise that some providers may wish to submit bids that, for example, focus particularly on addressing one of the categories of eligible projects, but not all of them. With this in mind, we will prioritise between bids from eligible providers that achieve a score of at least 2 against criterion 2 (value for money, project and risk management) as follows:

- a. **Step 1** – We will firstly prioritise between bids based on the highest single score achieved under criterion 1 against category 1, 2 or 3 plus the score achieved against criterion 2. This will give a maximum score out of 8.

- b. **Step 2** – Secondly, where bids have achieved the same score out of 8 under Step 1, we will prioritise between them based on their total score against each category 1, 2 and 3 combined under criterion 1. This secondary measure will give a maximum score out of 12.¹⁴

65. Table 3 illustrates how this prioritisation would work, using hypothetical scores for five providers. These providers are listed in order of their score from the calculation in Step 1, and then their score from the calculation in Step 2. Although in this example the calculations show provider D scoring more highly than provider E, the bid from provider D would not be supported, because it has scored only 1 against criterion 2 (value for money, project and risk management).

Table 3: Illustration of how bids would be prioritised

Provider	Criterion 1: category 1	Criterion 1: category 2	Criterion 1: category 3	Criterion 2	Step 1 prioritisation	Step 2 prioritisation
A	4	3	1	4	8	8
B	1	2	4	4	8	7
C	3	3	2	3	6	8
D	4	4	1	1	5	9
E	3	3	0	2	5	6

66. Our consultation in OfS 2021.02 proposed a minimum threshold of £20,000 for successful bids, below which no funding would be provided, so that we prioritise funding where it can have a material impact. Because we are now providing a small formula allocation to providers of up to £30,000, which can be used to support smaller eligible projects, we are raising the minimum threshold to £50,000. This will ensure that funding allocated through bids supports projects of a larger scale.

67. Our consultation in OfS 2021.02 explained that we were not putting a limit on how much capital funding a provider might bid for, but that, as part of our aim to support a broad group of providers, we might cap the total that any provider could receive through the bidding competition. Respondents argued that they needed clarity about the level of such a cap, to inform what they bid for. We accept this argument and have set an initial cap at £3 million – we will not raise it above this level. In setting the level of this initial cap, we have sought to strike an appropriate balance in ensuring that we can support a broad group of providers and provide significant sums towards large projects, while also being mindful that all funding allocated to providers must be used by 31 March 2022. The level of the initial cap broadly reflects the largest allocations made to providers through the formula allocations for 2020-21. This cap applies equally to all providers (irrespective of their characteristics or region).

68. In the event that the funds available are oversubscribed, we may reduce below £3 million the level of the cap on how much funding any successful bid might receive, to ensure funding for

¹⁴ The Step 2 prioritisation is essentially used as a ‘tiebreaker’ where we are unable to afford to support all bids with a particular score under Step 1. It will not be used to prioritise one bid above another that has scored more highly under Step 1 (subject to those bids having scored at least 2 under criterion 2).

the bids to be supported comes within budget. Between the limits of the cap and the minimum threshold, we will fund successful bids at the level of the OfS funding sought for the financial year 2021-22 in the provider's bid.

69. There will be a balance to be struck in determining how many bids we are able to support and the levels of grant we are able to provide. For example, a large number of strong bids may result in us having to reduce the maximum level of grant we are able to provide to any successful bid, or require providers to achieve higher scores to be prioritised for funding than if the number of strong bids is less. We are unable to model this, though, until we have assessed the bids received.
70. The assessment criteria, and the categories under criterion 1, will be individually scored, and bidders should ensure that each criterion and relevant category is fully addressed in the template. Bidders should be aware that in reaching final decisions, we will look to ensure we are able to offer an overall package of support across a broad group of providers that we consider best meets the priorities set out in paragraph 12.

Further guidance on bid content and eligible capital costs

71. Providers wishing to bid must do so by completing an online form, a specimen of which is shown at Annex B. The form collects numerical data in a structured format about the financing for capital expenditure (both in terms of the funding sought from the OfS and any other sources of finance for the capital project or items). The form also collects narrative information in five sections (each with a guide of up to 2,000 words), in which providers should provide:
- a. A summary overview of their bid, including a clear explanation of the relevant facilities that the bid is for (see paragraph 40).
 - b. An explanation of how their bid addresses the criteria, including each of the three categories of eligible project under criterion 1.
72. Each eligible provider (see paragraph 37) may submit one bid. We welcome bids for collaborative projects with other providers or organisations, but these must be led by an eligible provider and must constitute that provider's only bid. As well as submitting their own bid, eligible providers may be collaborative project partners in one or more bids submitted by other eligible providers.
73. Any capital funding awarded by the OfS through this process must be used towards eligible capital expenditure incurred by 31 March 2022. Bids will need to set out clearly the funding sought from the OfS for the year but, for projects extending beyond the 2021-22 financial year, should also set this in the context of the overall financing of the capital project across all years.
74. OfS capital grants may be used to contribute towards the costs of a capital project in combination with funding from other sources. However, there must be no double-counting in attributing the same amounts of capital expenditure to OfS grant and income provided by any other UK or EU public funds, including the Further Education Capital Transformation Fund¹⁵

¹⁵ See www.gov.uk/government/publications/further-education-capital-transformation-fund.

and the T-Levels Capital Fund.¹⁶ We confirm that matched funding is not a requirement for this stream of funding.

75. Capital expenditure means money used to acquire, adapt or maintain fixed assets, such as land, buildings and equipment, and which is normally capitalised in the provider's audited annual accounts. It does not include expenditure on rent, or hiring or leasing of equipment and facilities. Expenditure must be on assets that will support the delivery of higher education courses¹⁷ to students, and must not include assets relating to student or staff residences or catering services. Staff salaries or other associated revenue costs are not eligible.
76. In reaching decisions on which bids to support, we may offer a successful bidder an allocation that is less than the sum it has bid for. Bidders should therefore consider how they will progress their project under these circumstances, for example, through alternative sources of finance or a changed timescale for completing elements of a part-funded project. If a provider is unable to progress its project in financial year 2021-22 because of the reduced funding that is offered, we will withdraw the offer and reallocate the funding to other providers. We may also withdraw the offer of funding if, in response, the provider proposes to significantly reduce the scope of the project it bid for, such that the reduced scope would not have scored sufficiently to be prioritised for funding. We will recover funding that is not used within the 2021-22 financial year for the purposes intended.

Capital grant payments, conditions and monitoring

77. This section sets out the terms and conditions that apply to OfS capital funding for the 2021-22 financial year, including the arrangements for payment, how it may be used and monitoring arrangements. These paragraphs will be included in 'Terms and conditions of funding for 2021-22', which we will publish separately.
78. Capital funding (as defined in paragraph 5) is provided on a financial year basis and must be used for the purposes intended (as defined in paragraphs 79 to 84). The OfS will not make payments to providers in advance of need and thus providers must use capital grants in full by the end of the financial year (by March) for which they are provided. OfS funding must not be used for advance payments to contractors, or other financing arrangements (such as bonds) where payments precede production of goods or delivery of services.
79. Allocations of capital funding are provided to enhance the learning experience of higher education students at providers, by helping raise the quality of their learning and teaching facilities. Providers must use capital grants for this purpose, in particular to directly support relevant facilities in relation to one or more eligible projects.

¹⁶ See www.gov.uk/government/publications/t-levels-capital-fund.

¹⁷ We recognise that it may be neither feasible nor desirable to create ring-fenced boundaries between higher and further education, or teaching and research facilities. For example, equipment purchased using OfS capital funds may be used by both higher and further education students, or for both teaching and research purposes. However, for this initiative, the primary purpose of the capital expenditure must be on assets that will support students on taught higher education courses.

- a. Relevant facilities are:
 - i. The purchase of equipment (including IT equipment) used for learning, teaching or assessment. This does not include renting or hiring of equipment.¹⁸
 - ii. The acquisition, replacement or construction of premises or infrastructure (including IT infrastructure) used for learning, teaching or assessment. Acquisition may include the purchase of leaseholds, but this category does not include the making of payments outside of the purchase price, such as for rental or service charges.
 - iii. The refurbishment, expansion or adaptation of existing premises or infrastructure (including IT infrastructure) that are to be used for learning, teaching or assessment.
- b. Eligible projects are capital expenditure projects that address **one or more** of three priority categories:
 - i. Category 1 – High-cost subjects of strategic importance. These are subjects in price groups A and B, and computing and IT, nursing and archaeology within price group C1.¹⁹ These subjects include laboratory-based subjects in science, technology and engineering, healthcare disciplines in medicine, dentistry, nursing, midwifery and allied health professions and veterinary science, and archaeology.
 - ii. Category 2 – Enhancement of graduate employability and skills needs of employers and industry and therefore local and regional economies, in particular in supporting technical provision at Levels 4 and 5.
 - iii. Category 3 – Part-time and other forms of flexible provision.

80. In addition, any capital grants awarded for 2021-22 through a bidding competition must be used:

- a. On expenditure items included in the provider's successful bid.
- b. In accordance with any other terms and conditions that we may specify when we award the grant.

81. OfS capital funding must be used for projects that focus on higher education teaching, and may be subject to audit. The OfS recognises, however, that it may be neither feasible nor desirable to create ring-fenced boundaries between higher and further education, or teaching and research facilities. For example, equipment purchased using OfS capital funds may be used by both higher and further education students or for both teaching and research purposes.

¹⁸ Permissible capital expenditure on software includes the purchase of operating systems or substantial applications packages, including where licence, update and maintenance charges are rolled up into the up-front cost and not separately charged over the expected life of the product – that is, where the product has been purchased outright. However, software licences and maintenance expenditure incurred on a periodic basis (even if the period between payments is more than a year) are not allowable as capital expenditure and should instead be treated as recurrent.

¹⁹ For detailed guidance on the mapping of subjects to price groups see Annex G of HESSES20 (www.officeforstudents.org.uk/publications/heses20/).

82. OfS capital grants may be used to contribute towards the costs of a capital project in combination with funding from other sources. However, there must be no double-counting in attributing the same amounts of capital expenditure:
- a. To both OfS grants and income provided by any other UK or EU public funds.
 - b. To both OfS formula-based capital grants and any other OfS capital grants for specific projects.
83. Providers should use capital funding in ways that will improve environmental sustainability, for example, in reducing carbon emissions.
84. All providers that are in receipt of OfS capital funding for financial year 2020-21 will be required to report on their use of that funding after the end of the year and those reports may be subject to audit. Details about reporting requirements will be notified separately. If the OfS is not satisfied that a provider has used the funds in accordance with the requirements in paragraphs 79 to 84, or as notified separately, it will reclaim some or all of the funding provided. If providers are unsure whether the use they propose of their formula capital allocation will meet the requirements set out in paragraph 79, they should contact capitalgrant@officeforstudents.org.uk for advice in advance of committing to the expenditure.
85. The OfS will normally pay formula-based and competitive capital grants for the 2021-22 financial year according to a funding profile that will also be notified separately.²⁰ We will require providers to notify us if payment according to that profile will result in them receiving funding in advance of need (that is, in advance of them incurring the capital expense). Were this to occur, we would suspend or reduce payments due according to the profile, reflecting the provider's circumstances, and require it to submit evidence of expenditure before the OfS released further funding.

Further information

86. Providers requiring further information should contact capitalgrant@officeforstudents.org.uk.

²⁰ We expect notification to be via the grants profile available on the OfS portal (extranet.officeforstudents.org.uk/GrantReport).

Annex A: Capital funding 2020-21 – Distribution of grant through a formula method

1. Annex A is available to download as an Excel file alongside this document at www.officeforstudents.org.uk/advice-and-guidance/funding-for-providers/annual-funding/capital-funding/.
2. The top right of the table (cell E2) reflects the release date of the capital allocations in the table.

Descriptions of columns in the Annex A table

3. 'Provider' lists both legal name and trading names of higher education providers. A hidden column in the Excel file identifies the government region for each provider.
4. 'Formula-based teaching capital' shows the allocation for each provider. Providers shown as having an allocation of £0 have not met the £10,000 threshold required to be eligible for funding.

Annex B: Specimen bidding template for capital funding for 2021-22

Providers wishing to bid should use the template available to them via the OfS portal. For guidance on accessing the OfS portal, see Annex C.

Provider name	
UK Provider Reference Number (UKPRN)	
Contact person for bid	
Email	
Phone number	
Additional information requirements	Expenditure will be monitored after the end of the financial year. Any funds not spent by the deadline of 31 March 2022 will be reclaimed.

Narrative questions

This section of the template will be collected using a Microsoft Word file. You should refer to the guidance for all information on criteria and categories of relevant expenditure. We recognise that you may wish to submit a bid that, for example, focuses particularly on addressing one of the categories of eligible projects (questions 2-4), but not all of them. We encourage providers to submit a concise response and have set a guide of up to 2,000 words per question

Question 1: Please provide an overview of the bid proposal, including a description of the items of capital expenditure that any OfS funding awarded will support and how they meet the definition of 'relevant expenditure'. (See paragraph 4040 of OfS 2021.27)
Question 2: Please explain how this capital expenditure proposal addresses priority category 1, High-cost subjects of strategic importance. These are subjects in price groups A and B, and computing and IT, nursing and archaeology within price group C1.²¹ These subjects include laboratory-based subjects in science, technology and engineering, and healthcare disciplines in medicine, dentistry, nursing, midwifery and allied health professions and veterinary science. (See paragraphs 45 to 47 of OfS 2021.27)
Question 3: Please explain how this capital expenditure proposal addresses priority category 2, Enhancement of graduate employability and skills needs of employers and industry and therefore local and regional economies, in particular in supporting technical provision at Levels 4 and 5. (See paragraphs 48 to 51 of OfS 2021.27)

²¹ For detailed guidance on the mapping of subjects to price groups see Annex G of HES20 (www.officeforstudents.org.uk/publications/heses20/).

Question 4: Please explain how this capital expenditure proposal addresses priority category 3, Part-time and other forms of flexible provision. (See paragraphs 52 to 54 of OfS 2021.27)
Question 5: Please explain how this capital expenditure proposal addresses criterion 2, value for money, project and risk management. (See paragraphs 55 to 61 of OfS 2021.27)

Numerical data collection

This section of the template will be collected using a Microsoft Excel file. Financial information is required, setting out financing for the capital project in financial year 2021-22, as well as any project costs in later years.

The summary of the finance sources for financial year 2021-22 (items B, C and D) must match the total cost of the project (item A).

Financial summary and funding requested

	In financial year 2021-22	In later financial years)
A. Total cost of expenditure plans	£	£
B. Total funding requested from the OfS (not including any formula funding you may receive from the OfS for FY 2021-22) Note that we are applying an initial cap of £3 million to any OfS funding for financial year 2021-22.	£	
C. Total cost to be met through grants from other UK or EU public sources, including any contribution from OfS formula funding	£	
D. Total cost to be met from other sources (including the lead provider and any provider partners)	£	

Annex C: The OfS portal for capital funding for 2021-22

Assigning yourself to the capital funding for financial year 2021-22 survey area

1. You will need to be a registered user of the OfS portal to be assigned to the capital funding for financial year 2021-22 survey area, from which you will download your narrative questions and numerical data forms as a single zipped file.
2. If you have not registered on the OfS portal before, you will need to ask the nominated OfS portal user administrator at your provider to create an account for you. Each person who requires access to the capital funding for financial year 2021-22 forms will need to be registered with their own account. You will need to be assigned to the capital funding for financial year 2021-22 survey area by the nominated OfS portal user administrator at your provider. The user administrator can find guidance on how to add portal users to portal areas on the main portal login page. If you are the user administrator, you will still need to assign yourself to the capital funding for financial year 2021-22 survey area.
3. If you do not know who your user administrator is, you can view the user administrators at your provider by logging onto the OfS portal. Select 'My account' towards the right-hand side of the yellow banner, and then click 'Activate an access key'. The names and contact details of the user administrators at your provider will be at the top of the page. If you are not registered and do not know who your user administrator is, please contact portal@officeforstudents.org.uk.

Common issues with accessing the portal

I cannot log in to the OfS portal

4. If you receive an error message while trying to log in, you may be entering the wrong email address or password, or your account may be locked. Ensure that the email address you are using is correct, and then request a new password. You will be sent a new password, which you will be asked to change when you log in. You can also ask your user administrator to reset your password.
5. If this new password does not grant you access, it is likely that your account is locked. Contact your user administrator, who can unlock your account for you. It is advisable that you also request a password change at the same time. If you or your user administrator have any problems, please contact portal@officeforstudents.org.uk.

The capital funding for financial year 2021-22 survey area has not appeared on my login page even after I have been assigned to it

6. Once you have been assigned to a survey, you may need to log out and then log back into the portal for the survey to appear under 'Home'.

Downloading your capital funding for financial year 2021-22 forms

7. Once you have been assigned to the capital funding for financial year 2021-22 survey area, log in to the OfS portal and you will see a link for the capital funding for financial year 2021-22 area

under the 'Home' section. This link will take you to the page to download and upload the capital funding forms.

8. To download the forms, click on the 'Download' button. You will receive a zipped file, which will contain your narrative questions Word document and numerical data Excel document. You may need to unzip the file before accessing the workbook. You may also need to click on 'Enable editing' on the yellow banner if it appears on your screen when you open your workbook. You can download this empty workbook as many times as required.
9. Save the workbook to a memorable location on your computer. If there are any issues with downloading your workbook, please contact portal@officeforstudents.org.uk.

Completing your numerical workbook

10. The numerical data form is provided as an Excel workbook with the file extension '.xlsx'. You should not attempt to alter the format of the worksheets by adding or deleting columns or rows. Only cells where data is required should be edited. The workbook is protected to ensure that the data submitted is accurate and is only entered into the relevant cells. Worksheets contain information critical to accurate loading of the data; it is essential that this is preserved. We will refuse to accept any workbooks that have been unprotected or tampered with.
11. We recommend that you do not copy and paste data into your workbook, as this can cause formatting issues. If you wish to copy and paste data, ensure that you use the 'Paste values' option instead. This will not copy the formatting of the data you are pasting and will preserve the formatting of the workbook.

Uploading your numerical data workbook and narrative questions form

12. Once you have completed the narrative questions and numerical data forms, you will need to submit them to the capital funding for financial year 2021-22 survey area on the OfS portal. You should ensure that:

- your workbook has not been saved so that zero values are displayed as blanks
- links to other spreadsheets are removed
- only one worksheet is selected when the completed workbook is uploaded
- the workbook is not zipped.

Otherwise the workbook may not upload successfully.

13. Submit the numerical data workbook as follows:
 - a. Navigate to the capital funding for financial year 2021-22 area on the OfS portal.
 - b. Click on the 'Upload' button under the section named 'Please download all files, and upload your completed Excel workbook here'.
 - c. Browse for your workbook, which is saved in your memorable location.
 - d. Click 'Upload'.

- e. The workbook may take some time to upload if the portal is busy. The page will automatically refresh to show if your file is waiting to be processed, being processed, or has completed successfully.
 - f. Check below the status bar for the log of your submission. The 'Outcome' will display as a 'Success' if there are no issues with the uploaded workbook.
 - g. Check the 'Comments' to see whether your workbook is valid and has successfully uploaded. See paragraph 18 for a description of some of the messages that may appear.
14. Once you have successfully submitted your workbook, check the results package by clicking on the 'Results' button. The results package contains the workbook that you have submitted, which has now been processed.
15. Completed workbooks can be uploaded any number of times until the deadline for submissions, when we will take the latest uploaded version as the final version for submission.
16. Submit the narrative questions Word document as follows:
- a. Navigate to the capital funding for financial year 2021-22 area on the OfS portal.
 - b. Click on the second 'Upload' button on the page under the section named 'Please upload your completed MS Word file here'.
 - c. Browse for your workbook, which is saved in your memorable location.
 - d. Click 'Upload'.

Common issues while uploading the numerical data workbook

My workbook contains validation errors

17. The monitoring form includes a number of validation checks. Please check your form carefully and complete the signoff fields on the 'Signoff' sheet before uploading it. You will still be able to upload your workbook if it is invalid, but we will not accept it as a submission.

The 'Comments' section of the portal shows errors and no results package is generated

18. Your workbook has failed to process. There can be many reasons for the workbook not processing correctly. One common error is that the file has been zipped. Before uploading, please ensure that the file is not zipped as this will make it more likely to process successfully. A second common error is a change in the file extension of the workbook; it must end with '.xlsx'. If you have unprotected the workbook in any way, this may also cause the upload to fail.

My colleague has uploaded a workbook but I cannot view the results package

19. The results package can only be downloaded and viewed from the same OfS portal account that uploaded that particular workbook. To view the results package for a specific workbook you will need to upload the same workbook using your own portal account. Note that this will increase the submission number.



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www.nationalarchives.gov.uk/doc/open-government-licence/version/3/