February 2006/03
Core funding/operations
Request for information
Response may be required

This document describes the process we will use when reconciling 2004-05 data returns made to the Learning and Skills Council with other returns made to HEFCE. We will write to all further education colleges (FECs) and identify significant reconciliation differences where appropriate. This report also describes how we intend to use Individualised Learner Record (ILR) data to inform the widening participation allocations for 2006-07.

2004-05 statistics derived from ILR data for the monitoring and allocation of funding in FECs

HIGHER EDUCATION
FUNDING COUNCIL FOR ENGLAND
hefce

Contents

2004-05 statistics derived from ILR data for the monitoring and allocation of funding in FECs

To	Heads of further education colleges directly funded by HEFCE Heads of lead institutions of HEFCE-recognised funding consortia
Of interest to those responsible for	Learner data, Funding, Audit
Reference	2006/**03**
Publication date	February 2006
Enquiries to	For enquiries regarding the HEIFES04 comparison contact: Gemma Harper tel 0117 931 7338 e-mail ilr_heifes_stats@hefce.ac.uk Joe Clark tel 0117 931 7292 e-mail ilr_heifes_stats@hefce.ac.uk For enquiries regarding the use of ILR data to inform the 2006-07 widening participation allocations contact: Joe Clark tel 0117 931 7292 e-mail ilr_heifes_stats@hefce.ac.uk

Executive summary

Purpose

1.   This document describes:

a.   How we will use 2004-05 Learning and Skills Council (LSC) learner data to monitor returns made to HEFCE.
b.   The responses required to these monitoring processes.

2.   This document is divided into three sections:

a.   The comparison of Higher Education in Further Education: Students Survey 2004-05 (HEIFES04) and the July 2004-05 Individualised Learner Record (2004-05 ILR F04).
b.   How we intend to use 2004-05 ILR F04 to inform the 2006-07 widening participation (WP) allocations.
c.   Guidelines on completing and submitting action and implementation plans.

Key points

Data quality

3.   We are confident, based upon the experience of previous exercises, that this exercise improves the data quality of both LSC and HEFCE returns. It also increases our understanding of data quality issues that relate to these returns.

Funding monitoring

4.   For colleges required to make a response, the exercise is conducted in two interrelated but distinct parts. The first is the process of reconciling, explaining and amending the data up until the point where colleges are in a position to sign off a re-creation as a reasonable reflection of the outturn position for the year. The second part, which follows sign-off, is the consideration of funding adjustments which result from the exercise together with the appeals process.

5.   Our funding allocations are informed by the data provided by colleges. If we find, either through reconciliations with 2004-05 ILR F04 data, or any data audit, that data do not reflect the outturn position for the year and that this has resulted in colleges receiving incorrect funding allocations, then we will adjust their funding accordingly. This is subject to the appeals process and the availability of our funds.

6.   Any funding adjustments arising from the reconciliation of a re-creation of HEIFES04 from 2004-05 ILR F04 data (the HEIFES04 re-creation) with HEIFES04 are likely to affect the funding previously announced for 2004-05 and all subsequent years.

7.   In many cases the funding adjustments resulting from the reconciliation will be significant. Therefore it is important for colleges to ensure that sufficient time and resources are allocated to allow the exercise to be completed accurately and promptly. If colleges have not signed off their re-creations by the deadlines given below, then we will implement any

reductions to 2006-07 grant that we expect to arise, pending completion of the reconciliation process. This is an interim measure to avoid grant adjustments accumulating to the point at which they become difficult for colleges to manage. The deadline is **9 June 2006** for colleges selected to respond to the comparison of HEIFES04 and the HEIFES04 re-creation.

Annexes and appendices

8.   The annexes to this publication describe how we will use 2004-05 ILR F04 data for this exercise. The appendices contain technical descriptions of the algorithms we will use.

Action required

Funding monitoring

9.   We will write to heads of colleges, copied to HEIFES contacts, by 3 February 2006 indicating whether a response is required. Where a response is required, action and implementation plan(s) must be returned by **24 February**.

10. The final deadline for receipt of amendments by HEFCE to 2004-05 ILR F04 data and overrides to derived fields, as detailed in the action and implementation plans, is **11 April 2006**.

2004-05 ILR F04 data used to inform 2006-07 widening participation allocations

11. If colleges wish to correct 2004-05 ILR F04 data that will be used to inform 2006-07 widening participation allocations they should submit amendments, as detailed in their action plan(s), by **15 May 2006** to Ben Grassby.

Timetable

12. The following timetable details the critical deadlines for the exercise.

3 February 2006	Issue of letter to all colleges requesting response to exercise where appropriate
24 February 2006	Deadline for receipt of final action and implementation plans produced by each college required to respond
11 April 2006	Final deadline for sign-off for 2004-05 ILR F04 data amendments and overrides to derived fields as detailed in action and implementation plan(s)
1 May 2006	Deadline for receipt of action and implementation plans for 2004-05 ILR F04 amendments for incorporation in the provisional 2006-07 WP allocations
15 May 2006	Deadline for sign off for amendments to 2004-05 ILR F04 data for incorporation in the provisional 2006-07 WP allocations
9 June 2006	For colleges asked to respond to the comparison of HEIFES04 and the HEIFES04 re-creation: deadline for confirmation that the HEIFES04 re-creation reasonably reflects the outturn position for 2004-05 to avoid interim grant adjustments (see paragraphs 25 to 26 of the Introduction)

Introduction

13. This document describes how we will use 2004-05 ILR F04 data to monitor returns made to HEFCE. It also details the action required where either a response is requested or a college wishes to correct errors in its 2004-05 ILR F04 data.

14. This document consists of an executive summary and introduction, plus Annexes A to H. In addition technical appendices 1 to 6 are available on the web together with this document www.hefce.ac.uk under Publications. These are of interest to readers wish to look at the algorithms used in the calculation of their data.

Annual data returns

15. The HEIFES return is used both to monitor the year's teaching funding allocation and to determine the teaching funding allocation for the following year. ILR data are used to:

a. Monitor HEIFES through the re-creation of the HEIFES return. If we find, either through a college's response to our reconciliations using ILR data, or any other method of assurance or data audit, that the HEIFES submission does not reflect the final outturn position for the year and that incorrect funding allocations have occurred as a result, then we will adjust the further education college's (FEC's) funding accordingly (subject to the appeals process and the availability of our funds).

b. Inform funding allocations where the necessary information is not collected on HEIFES (for example, qualification on entry, age and postcode data for determining the WP allocations).

16. Our monitoring processes are applied consistently to all colleges. We receive ILR data approximately 14 months after the equivalent year's HEIFES return. We expect all colleges to have used the HEIFES re-creation generated by the '2004-05 statistics derived from ILR data: Guide to HEFCE web facility' (2005/29) to verify and correct their 2004-05 ILR F04 data where appropriate before submitting their ILR returns in readiness for this exercise.

Monitoring funding

Selection thresholds and action and implementation plans

17. We employ thresholds to select which colleges must respond to the exercise. These thresholds are set in terms of the funding differences arising from the comparison of HEIFES04 and the HEIFES04 re-creation. The selection process represents a risk assessment. Primarily, this assessment is intended to identify those colleges whose data differences are most likely to have a material effect on their funding allocations.

18. Each college that is required to make a response must provide an action and implementation plan. The plan must contain specific information before we can approve it and progress with the exercise. Comprehensive action and implementation plans allow us to gain a full understanding of the areas of, causes and reasons for discrepancies. Please ensure you have understood the requirements set out in Annex F before responding. If we

are unable to gain the necessary information from an action and implementation plan it is likely that we will need to visit your college to gather this information.

<u>HEIFES04</u>

19. 2004-05 ILR F04 data will be used to monitor HEIFES04. A re-creation of HEIFES04 is generated from 2004-05 ILR F04 data using the methods detailed in Annex B. This re-creation is compared to HEIFES04 and if the discrepancies between the two data sources exceed our thresholds the college will be required to respond to the exercise.

20. After both the college and HEFCE are content that the discrepancies between the two data sources are explained, and where appropriate the necessary action has been taken to remove a discrepancy, we will ask for confirmation that the HEIFES04 re-creation reasonably reflects the outturn position for 2004-05.

21. Once this confirmation has been asked for and received from the college, the HEIFES04 re-creation will supersede HEIFES04 and any consequent grant adjustments will be calculated and made (subject to the appeals process and the availability of our funds).

22. The thresholds we use to select colleges must not be interpreted as being the minimum grant adjustments that we might effect. These are set out in the relevant grant adjustments publication, for example 'HEFCE grant adjustments 2004-05' (HEFCE 2004/28).

Risk assessment

23. The necessarily complex process of explaining and resolving differences between data sources places a considerable burden on colleges and HEFCE. To ensure this burden is both manageable and appropriate, the selection process represents a risk assessment. Primarily, this assessment is intended to identify those colleges whose data differences are most likely to have a material effect on their funding allocations.

Enacting grant adjustments – interim adjustments

24. The monitoring process can take many months to complete. In some cases in the past, by the time that confirmation was received that a HEIFES re-creation reasonably reflected the outturn position for the given year, the consequential grant adjustments had affected funding allocations over a four-year period. We recognise that this can be difficult for colleges to manage. Therefore, to reduce the risk of grant repayments accumulating to the point where they become difficult to manage, we will reduce monthly grant payments for colleges in the circumstances set out below.

6

HEIFES04 and the HEIFES04 re-creation comparison

25. We will reduce monthly grant payments for colleges where:

a.   We have requested a response to the HEIFES04 and HEIFES04 comparison; and
b.   We have not asked for, or we have asked for and not received, confirmation that the HEIFES04 re-creation reasonably reflects the outturn position for 2004-05 by **9 June 2006**; and
c.   The grant adjustment for 2006-07 that would result from the HEIFES04 re-creation position shown on **9 June 2006** would represent a reduction in the teaching funding allocation for 2006-07.

26. In these circumstances we will effect the change to 2006-07 grant by using our own reasonable estimates, as at 9 June 2006, of the final outturn position, reflecting the current HEIFES04 re-creation. The reduction in 2006-07 grant payments would be effected through the college's standard monthly grant payment profile.

Grant adjustment – not required to respond

27. We do not gain assurance, through this exercise, over the reliability of the HEIFES04 re-creation for colleges that have not been required to respond. For such colleges the re-creation does not supersede the HEIFES return and as such we would not expect to adjust the teaching funding allocations based on the re-creation.

Further monitoring

28. We may audit data, systems and processes for colleges that are unable to provide acceptable explanations for the causes of discrepancies between the HEIFES04 and the HEIFES04 re-creation.

29. Notwithstanding the selection thresholds, we may also ask for further information from any college in respect of any of the comparisons. This may result ultimately in adjustments to grant, where appropriate.

Funding allocations

Widening participation funding allocation

30. We intend to use 2004-05 ILR F04 data to inform the following WP funding allocations for 2006-07:
•   widening access for full-time and part-time students
•   widening access for disabled students
•   improving retention for full-time students.

31. Annex C contains details of the methods that are likely to be used to inform the 2006-07 widening participation allocations.

32. Colleges have the opportunity to amend 2004-05 ILR F04 data used to inform the 2006-07 WP allocations. If a college wishes to correct its 2004-05 ILR F04 data used to

inform the provisional 2006-07 WP allocations it should submit an action and implementation plan **by 1 May 2006**. Annex F gives guidance for completing and submitting action and implementation plans.

33. We will not accept amendments to 2004-05 ILR F04 data until we are content with the college's action and implementation plan. Amendments should be signed off by **15 May 2006** to ensure incorporation in the provisional 2006-07 WP allocations. See Annex G for details on how to submit amendments to 2004-05 ILR F04 data.

34. We will endeavour to incorporate any amendments to 2004-05 ILR F04 signed off after 15 May 2006 in the final 2006-07 WP allocations. However, colleges should be aware that there is limited availability of funds after the provisional WP allocation is announced.

HEFCE web facility for 2004-05 statistics derived from ILR data

35. On 15 July 2005 we made available the HEFCE web facility for 2004-05 statistics derived from ILR data (see HEFCE 2005/29). This facility is designed both to assist further education colleges in returning accurate data to the LSC, and to identify discrepancies between forecasting in HEIFES04 and the outturn position for 2004-05. We believe that the web facility has contributed to a year-on-year improvement in ILR data quality for higher education students.

HEFCE-recognised funding consortia

36. For the lead college of a HEFCE-recognised funding consortium the HEIFES04 re-creation tables will incorporate data supplied by each consortium member. Data for provision in FECs that are members of the consortium will be sourced from 2004-05 ILR F04. Details of specific information for leads of HEFCE-recognised funding consortia are given in Annex D.

Next steps

37. We will write to heads of colleges **by 3 February 2006,** copied to HEIFES contacts, explaining whether a response is required to this exercise. The following sets of outputs will also be available on the HEFCE extranet (https://extranet.hedata.ac.uk):

- Output 1 – Comparison of HEIFES04 and the HEIFES04 re-creation
- Output 2 – Derived statistics likely to be used to inform 2006-07 WP allocations.

Guidance

HEFCE contact

38. Each college required to make a response to this exercise has been assigned a HEFCE contact. This contact will be able to provide guidance during the response process and should be the primary point of contact throughout the reconciliation process. Details of the contact will be provided in a letter sent by Ben Grassby on **3 February 2006**.

<u>Action and implementation plans</u>

39. For colleges required to respond we will produce electronic action and implementation plan forms for completion. Full guidance for completing and submitting an action and implementation plan is given in Annex F. Example action and implementation plans are at Appendix 5.

<u>Troubleshooting</u>

40. Appendix 2 allows easier identification for colleges of the areas of, causes, and reasons for discrepancies between the 2004-05 ILR F04 and HEIFES04.

<u>Supplementary data</u>

41. Files can be accessed from the HEFCE extranet with details of how each student was classified in the re-creations. Details of how to access this file are in Annex E.

<u>FAQs</u>

42. Frequently asked questions (FAQs) for this exercise can be found on the HEFCE web-site under Learning & teaching/Data collection. We encourage colleges to refer to the FAQs for guidance in the first instance. We will only use our e-mail list of HEIFES contacts to notify colleges of significant changes or updates.

<u>SAS code</u>

43. We use the SAS programming language to generate all the derived statistics described in this publication. The SAS code we use to do this can be found on the HEFCE web-site under Learning & teaching/Data collection.

Comments and feedback

44. All colleges are invited to comment on any of the methods described in this publication. Comments or feedback relating to any element of this exercise should be e-mailed to ilr_heifes_feedback@hefce.ac.uk.

Annexes and appendices

45. The annexes to this publication describe how we will use 2004-05 ILR F04 data for this exercise. The appendices to this publication contain technical descriptions of the algorithms we will use. The appendices are in a separate download on the HEFCE web-site www.hefce.ac.uk, with this document under Publications.

Annex A

Summary of changes since 2003-04 statistics derived from ILR data (HEFCE 2005/15)

Purpose

1. This annex describes the changes that have been made since the release of '2003-04 statistics derived from ILR data for the allocation and monitoring of funding in FECs' (HEFCE 2005/15).

New method of submitting action and implementation plans

2. Action and implementation plans will be submitted via the HEFCE extranet, rather than by e-mail or fax as in previous years. This submission method has allowed us to include validation in the action and implementation plans.

3. To support this improved method of submitting action and implementation plans we have additionally revised Annex F to provide more specific guidance on their return.

Information for leads of HEFCE-recognised funding consortia

4. Annex D provides leads of HEFCE-recognised funding consortia with details of specific information relating to the availability and provision of data for member colleges.

Extranet address

5. The HEFCE extranet address has changed to https://extranet.hedata.ac.uk.

Field names

6. Throughout the appendices and in other places we will reference fields in terms of the field names we use together with their field number on the 2004-05 ILR F04.

Index of derived fields

7. Appendix 6 contains an alphabetical list of all algorithms that are included in the publication, and also lists them in sequence order in their appropriate appendix.

Changes to algorithms

8. The changes to algorithms listed here are those that have changed since '2003-04 statistics derived from ILR data for the monitoring and allocation of funding in FECs' (HEFCE 2005/15).

<u>HEFLEVEL</u>

9.   The algorithm for assigning level has been changed to reflect that undergraduates were split into 'undergraduates excluding foundation degrees' and 'foundation degrees' for HEIFES04. The algorithm for HEFLEVEL is given in paragraph 15 of Appendix 1.

<u>YEARONE</u>

10. The algorithm for indicating whether a student is a 'new entrant' has changed to reflect the change in definition of 'new entrant' in HEIFES04. The algorithm for YEARONE is given in paragraph 23 of Appendix 1.

<u>Price groups</u>

11. There is no longer a separate Psychology price group in HEIFES as all Psychology provision is now included in price group C.

12. Students on a sandwich year-out are all assigned to price group C, regardless of the learndirect code.

13. The mapping of learndirect codes to price groups has been amended to ensure that computer software engineering activity is assigned to price group C.

14. All Postgraduate Certificates in Education (PGCEs) (HEFQAIM = PGCE) are assumed to be initial teacher training courses which do not lead to qualified teacher status. Therefore the HEIFES04 re-creation will assign all such activity to price group C.

15. The algorithms used to assign price group are given in paragraphs 35 to 36 of Appendix 1.

Annex B
Comparison of HEIFES04 and the HEIFES04 re-creation

Purpose

1. This annex details the process of making a response, where one is required, to the comparison of HEIFES04 and the HEIFES04 re-creation that has been generated from 2004-05 ILR F04 data. It also specifies the thresholds we have used to select colleges for response, based upon discrepancies between their HEIFES04 and the HEIFES04 re-creation. Where a college's data lead to discrepancies that exceed any of the thresholds in paragraph 8, we require a full response through an action and implementation plan that addresses all areas of discrepancy between the HEIFES04 re-creation and the HEIFES04 return, including those causing the selection of the college. Guidelines for completing and submitting action and implementation plans are provided in Annex F.

HEIFES04 re-creation tables

2. The HEIFES04 re-creation tables and HEIFES04 tables can be accessed from the HEFCE extranet. Annex E describes how to access the Excel workbook (HEIR04YYYYYY.xls – where YYYYYY denotes the LSC's Unique Provider Identification Number (UPIN)). The workbook contains the following worksheets:

Page number	Worksheet (see tabs on spreadsheet)	Title
1	Coversheet	Title page containing information about the thresholds and the difference in terms of contract range holdback and funding conditional upon delivery of growth between HEIFES04 and the HEIFES04 re-creation
2	Summary	HEIFES04 re-creation comparison summary table
3	PRGCMP	HEIFES04 re-creation price group comparison summary table
4	Excl	HEIFES04 re-creation exclusion table
5	FTS	HEIFES04 re-creation Table 1a: Full-time and sandwich years of programme of study
6	SWOUT	HEIFES04 re-creation Table 2: Sandwich year-out years of programme of study
7	PT	HEIFES04 re-creation Table 3: Part-time years of programme of study
8	FEE	HEIFES04 re-creation Table 4: Home and EC fees
9	HBK	HEIFES04 re-creation grant adjustment report
10	STD	HEIFES04 re-creation standard resource table
11	F04	HEIFES04 re-creation assumed fee income table
12	hFTS	HEIFES04 Table 1a: Full-time and sandwich years of programme of study
13	hSWOUT	HEIFES04 Table 2: Sandwich year-out years of programme of study
14	hPT	HEIFES04 Table 3: Part-time years of programme of study

15	hFEE	HEIFES04 Table 4: Home and EC fees
16	hHBK	HEIFES04 grant adjustment report
17	hSTD	HEIFES04 standard resource table
18	hF04	HEIFES04 assumed fee income table
19	Credibility	HEIFES04 credibility sheet

3.   All of the information contained in the HEIFES04 re-creation tables can be re-built by categorising and aggregating the data contained in the individualised file which we provide. The individualised file, HEIR04YYYYYY.ind, contains details, in the form of 2004-05 ILR F04 and derived fields of how each student was classified in the re-creation. A full description of the data contained in the individualised file is given in Appendix 1.

Comparison

4.   We derive a HEIFES04 re-creation, and hence an individualised file, by applying the algorithms detailed in Appendix 1 to 2004-05 ILR F04 data.

5.   We compare the HEIFES04 re-creation with HEIFES04. This comparison takes place after the data have been passed as valid by the LSC and provided to HEFCE.

6.   We re-calculate a grant adjustment report for the HEIFES04 re-creation by applying the same formulae that were used to calculate the grant adjustment report for HEIFES04.

7.   We select colleges to explain discrepancies between their HEIFES04 and the HEIFES04 re-creation using a comparison of the grant adjustment reports derived from each return. Notwithstanding the thresholds described in paragraph 8, we may also ask for further information from any college in respect of this comparison. This may result ultimately in adjustments to grant, where appropriate.

Selection of colleges required to respond

8.   We will require a full, timely and detailed response from colleges where any of the following thresholds are exceeded:

a.   The difference between contract range holdback for HEIFES04 and the HEIFES04 re-creation exceeds £500,000.

b. The difference in any net grant adjustment relating to funding conditional upon delivery of growth between HEIFES04 and the HEIFES04 re-creation exceeds £500,000.

9.   In calculating the grant adjustment reports we have ignored any appeals for mitigation. Therefore, the grant adjustment report derived from HEIFES04 may differ from the final grant adjustment report notified for 2004-05. Before making adjustments to a college's funding as a result of this exercise, we will take into account any previously agreed mitigation. We have adopted this approach to allow us to apply consistent monitoring procedures to all colleges,

irrespective of individual circumstances that have affected previously announced funding allocations.

Action required

10. We will write to heads of colleges, copied to HEIFES contacts, **by 3 February 2006** specifying whether a response is required.

11. Where we require a response, an action and implementation plan must be submitted via the HEFCE extranet by **24 February 2006,** detailing how the college will reconcile the two data sources. Guidance for completing and submitting an action and implementation plan is included in Annex F.

Action and implementation plan

12. Each college required to make a response must provide an action and implementation plan. The plan must contain the information detailed in Annex F before we can approve it and progress with the exercise. Please ensure you have understood the requirements in Annex F.

13. If colleges do not provide satisfactory explanations for all discrepancies between the two returns, or if they do not respond within the given timescales, we are likely to carry out further investigations. This will include visits to colleges by us or our agents, in order to gain assurances concerning one or more of the following:

- the reliability of data returns, systems and procedures
- the understanding of methods used and technology employed to compile data returns
- the ability to respond in a full and timely manner to this exercise.

14. In order to gain these assurances we may need to collect or review data as part of these visits. Paragraph 28a of the Financial Memorandum (HEFCE 2003/54) provides for the cost of such investigations to be deducted from colleges' grant.

15. We expect that colleges' explanations for discrepancies between the two data sources will fall into one or more of the following four categories, and as such we would expect this to be reflected in any explanation provided to the exercise:

- errors in 2004-05 ILR F04 data
- errors/estimation discrepancies in HEIFES04
- errors in the Learning Aim Database (LAD)
- problems of fit with the re-creation algorithms.

16. The action and implementation plan must specify where, and to what extent, each of these four categories contributes to the overall discrepancy.

Errors in 2004-05 ILR F04

17. The procedures for the quality assurance of 2004-05 ILR F04 data must take place before submitting the data to the LSC. Any amendments submitted for this exercise must be seen as exceptional, and not a routine part of a college's data quality assurance procedures.

18. Where errors are found in 2004-05 ILR F04 data, we require colleges to submit amendments to HEFCE. Colleges are expected to submit amendments well in advance of the deadline of **11 April 2006** in order to ensure that, if required, any additional amendments can be submitted within this time frame.

19. We may refuse to accept amendments where errors have previously been identified by the LSC during collection.

20. Amendments must follow the specification described in Annex G. It is essential that amendments are in this format in order to establish an audit trail of data changes, and to ensure that amendments are processed in a timely and accurate manner.

21. Where a college submits similar amendments to ILR data in two consecutive years we are likely to carry out a further investigation of the college's HEIFES and ILR data to allow us, and the college, to better understand why the error has recurred and how similar problems can be avoided in future.

22. We may also carry out a further investigation where amendments contradict our understanding of the broad characteristics of activity at a college.

23. The LSC will not amend its version of the 2004-05 ILR F04 unless colleges re-submit their 2004-05 ILR F04 directly to the LSC. We expect any changes made during this exercise to also be included in the college's December 2004-05 return (2004-05 ILR F05). The LSC provides the following guidance:

'Where a revised final return generates the same number of funding units as the original audited final return there is no automatic requirement for the external auditors to confirm they are content, although the college may wish to inform their auditors of the changes that have been made.'

'Where the revised return generates a different number of funding units to the original audited final return then the Learning and Skills Council would expect the external auditors to confirm the revision has been made in accordance with audit guidelines.'

Errors/estimation discrepancies in HEIFES04 data

24. If we find, either through reconciliations with ILR data, or any data audit, that the HEIFES return does not reflect the outturn position for the year, and that this is due to errors/estimation discrepancies in the HEIFES return, the HEIFES04 re-creation will supersede HEIFES04, and any consequent grant adjustments being made (subject to the

appeals process and the availability of our funds). It will not be necessary for colleges to submit corrections to their HEIFES04.

Errors in the Learning Aim Database

25. 2004-05 ILR F04 data have been linked to a copy of the LSC's Learning Aim Database extracted on 1 February 2006 to obtain information about the learning aim. Where it is identified that information on the Learning Aim Database is incorrect, each college must notify the LSC of the error, copied to its designated contact for the exercise at HEFCE (see paragraph 34), and request that the relevant entry be corrected.

26. Where it is identified that the student is incorrectly linked to a learning aim in the Learning Aim Database then:

a.   If the correct learning aim exists, a link should be made to it.
b.   If the correct learning aim does not exist, a new one must be requested from the LSC.

27. Both cases will require an amendment to the learning aim reference number on 2004-05 ILR F04 data. Where a new learning aim is requested we will require evidence that the request has been made, and details of the new learning aim.

28. Where changes to the Learning Aim Database are requested, colleges should notify their designated contact for the exercise when the request is accepted by the LSC.

Problems of fit with the re-creation algorithms

29. We do not expect that problems of fit with the re-creation algorithms will fully explain discrepancies that exceed the thresholds in paragraph 8. However, where a problem of fit between our algorithms and HEIFES04 definitions contributes to a discrepancy, evidence of where the problem occurs, and its impact, will be required on the action and implementation plan. Appendix 3 details all known problems of fit with the HEIFES04 re-creation.

30. Where problems of fit are identified we require colleges to submit an override file to HEFCE. Colleges are strongly encouraged to submit overrides prior to the deadline of **11 April 2006** in order to ensure that, if required, any additional overrides and amendments can be submitted within this time frame.

31. Overrides must follow the specification described in Annex H. This is essential to establish an audit trail of data changes, and to ensure that overrides are applied in a timely and accurate manner.

Further action

32. Amendments to 2004-05 ILR F04 data and overrides made to derived fields will be used to reproduce the HEIFES04 re-creation. Once all overrides have been processed and the revised 2004-05 ILR F04 student data have been incorporated we will review the HEIFES04

re-creation. If we are not content that all discrepancies between HEIFES04 and the HEIFES04 re-creation have been reasonably explained, we will ask the college to submit a further action and implementation plan to explain any remaining discrepancies between the two data sources.

33. Once we are content that all discrepancies between HEIFES04 and the HEIFES04 re-creation have been reasonably explained, we will ask the college to confirm:

- that the HEIFES04 re-creation reasonably reflects the outturn position for 2004-05
- the accuracy of the amendments to 2004-05 ILR F04 data.

Guidance

HEFCE contact

34. Each college required to make a response to this exercise has been assigned a HEFCE contact. This contact will be able to provide guidance during the response process and should be the primary point of contact throughout the reconciliation process. We will provide information to colleges about their contact in a letter that we will send on 3 February 2006.

Action and implementation plan

35. Guidance for completing and submitting action and implementation plans is given in Annex F. An example action and implementation plan can be found in Appendix 5.

Troubleshooting

36. Appendix 2 will assist with identifying the causes of discrepancies between HEIFES04 and the HEIFES04 re-creation.

Supplementary data

37. Files can be downloaded from the HEFCE extranet with details of how each student was classified in the re-creation. Details of how to access these files are given in Annex E.

FAQs

38. FAQs for this exercise can be found on the HEFCE web-site under Learning & teaching/Data collection. We encourage colleges to refer to the FAQs for guidance in the first instance. We will only use our e-mail list of HEIFES contacts to notify colleges of significant changes or updates.

<u>SAS code</u>

39. We use the SAS programming language to generate the HEIFES04 re-creation. The SAS code we use to do this is on the HEFCE web-site under Learning & teaching/Data collection.

<u>Comments</u>

40. All colleges are invited to comment on the algorithms in Appendix 1, and to suggest how they can be improved. Comments should be e-mailed to ilr_heifes_feedback@hefce.ac.uk.

<u>Deadline for responses</u>

41. Action and implementation plans must be uploaded to the HEFCE extranet no later than **24 February 2006.**

42. The final deadline for receipt of amendments to 2004-05 ILR F04 data and overrides to derived fields as detailed in the action and implementation plan is **11 April 2006.**

Annex C

Derived statistics likely to inform the 2006-07 widening participation allocations

Purpose

1.   This annex describes how we will use 2004-05 ILR F04 data to inform the widening participation (WP) allocations for 2006-07. Further details of the algorithms are given in Appendix 4.

Derived statistics outputs

2.   Annex E describes how to access the derived statistics likely to be used to inform the 2006-07 WP allocations in an Excel workbook (WP04YYYYYY.xls – where YYYYYY denotes the LSC's UPIN).

3.   The WP derived statistics can be re-built from the individualised file (WP04YYYYYY.ind) which we provide. The file contains details of how each student was classified in the tables in terms of relevant fields returned on the 2004-05 ILR F04 and the derived fields we have produced. We also provide, where relevant, details of the reasons why they were excluded from the tables. A full description of the data in the individualised file is given in Appendix 4.

Indicative funding calculations

4.   We have generated an indicative 2006-07 funding calculation for each of the WP allocations. The calculations use 2005-06 allocation rates applied to 2005-06 assumed FTEs. They will not incorporate 2006-07 additional student numbers, transfers or mergers.

5.   The indicative allocations for 2006-07 are provided solely to highlight potential 2004-05 ILR F04 data errors. They should not be considered to be any kind of funding commitment by HEFCE and are without prejudice to what the HEFCE Board may agree to be the final allocations for any college. The final allocations for 2006-07 may be higher or lower than the illustrations given in the output as a result of changes to data by the college or to the data provided by any other college, or to the total sum available for allocation.

Widening access for students from disadvantaged backgrounds

6.   This is a formula-based allocation of funding for teaching to recognise the extra costs associated with recruiting and supporting undergraduate students from disadvantaged backgrounds who are currently under-represented in higher education. The funds are allocated on the basis of higher education participation rates and average educational achievement for census wards. They are calculated for each college using its 2004-05 ILR F04 data. The method is as follows.

7.   Firstly, using postcode information from 2004-05 ILR F04 data, each student is mapped to a ward. These wards are then ranked in terms of their higher education participation rate

(for young, under 21, full-time students) or average educational achievement (for mature full-time students and all part-time students), split into quintiles, and weighted as shown in the following table.

Quintile	Weighting
1 Lowest HE participation (young FTS) or lowest average educational achievement (mature FTS and part-time)	2
2	1
3, 4, 5	0

8.   Part-time and mature students who already hold an HE qualification at the same level as, or higher than, their current qualification aim, or have unknown entry qualifications, are given a weighting of zero, irrespective of their postcode.

9.   We calculate a 'widening access average weight' (separately for full-time and part-time) as:

$$\frac{\text{Total weight for all students in the population}}{\text{Total students in the population}}$$

The population is defined as:

* for young full-time students: fundable UK-domiciled entrants eligible to be counted in HEIFES Column 4
* for mature full-time students: fundable English- and Welsh-domiciled entrants eligible to be counted in HEIFES Column 4
* for part-time students: fundable English- and Welsh-domiciled entrants eligible to be counted in HEIFES Column 4.

Some students are excluded from the population:

* those whose postcode is in an enumeration district that includes a school or other such college, as there is greater uncertainty about the participation rates in these areas
* full-time mature and part-time students in Scotland and Northern Ireland
* other EU students.

10. These students are counted in the next step (see paragraph 11), and therefore receive an average weight for the purpose of allocating funds.

11. The average weight derived from paragraphs 9-10 is London weighted (8 per cent for inner London and 5 per cent for outer London) and applied to the assumed UG (including foundation degree) FTE for 2006-07.

Improving retention

<u>Full-time</u>

12. As well as allocating funding to widen access, we are allocating funding to improve retention. For full-time undergraduate students, this is based on their pre-entry qualifications and age. The allocations are calculated as follows.

13. Firstly, using age and pre-entry qualification information from 2004-05 ILR F04 data, full-time undergraduate entrants are assigned to one of six categories which are then weighted as shown below.

	Young	**Mature**
Low risk	0	0
Medium risk	1	1.5
High risk	1.5	2.5

14. For this allocation, mature students are those aged 21 or over on entry. The assignment of students to risk categories based on entry qualifications is shown in Table 1 below.

15. We calculate an 'improving retention average weight' as:

$$\frac{\text{English-domiciled full-time and sandwich undergraduate entrants, weighted according to age and pre-entry qualification}}{\text{All English-domiciled full-time and sandwich undergraduate entrants}}$$

16. The average weight derived from paragraph 11 is given a London weighting (8 per cent inner, 5 per cent outer) and applied to the assumed FTS UG (including foundation degree) FTE for 2006-07.

Table 1 **The assignment of students to risk categories based on entry qualifications**

	Young	**Mature**
Low risk	A-levels/Highers with more than 18 A-level points or 0* A-level points Baccalaureate Degree or Higher Unknown[†]	A-levels/Highers with more than 24 A-level points or 0* A-level points Degree or Higher Unknown[†]
Medium risk	A-levels/Highers with between 18 and 9 A-level points Foundation course Other HE qualification	A-levels/Highers with fewer than 25 A-level points Other HE qualification Foundation course Access course
High risk	A-levels/Highers with fewer than 9 A-level points Access course Others None	Baccalaureate Others None

* Entrants whose highest qualification on entry is A-levels but who did not enter via UCAS, so do not have A-level points recorded, are allocated to medium risk.
[†] Entrants with 'unknown' entry qualifications have been assigned to the 'low risk' category. Colleges should ensure that entry qualifications are fully recorded to ensure students are weighted appropriately in the allocation method for this stream of funding.

Part-time

17. A part-time allocation is distributed pro rata to London weighted (8% inner, 5% outer) part-time undergraduate assumed FTEs. In previous years, this allocation also took account of part-time postgraduate student numbers. Where colleges would have been disadvantaged by the restriction of this funding to undergraduates only, we have provided an addition to mainstream teaching grant to ensure that no such disadvantage occurs.

Widening access for students with disabilities

18. This allocation has been calculated using 2004-05 ILR F04 data as follows.

19. Firstly, we calculate the proportion of eligible students who were in receipt of the Disabled Students Allowance (DSA).

20. Each college is assigned to one of four quartiles, according to the proportion of students in receipt of the DSA, although this is smoothed to ensure that no college falls by more than one quartile since the previous year. Separate weightings are attached to each of the four quartiles, as follows.

Quartile	Weighting
A (lowest proportion)	1
B	2
C	3
D (highest proportion)	4

21. Colleges' share of the money available is pro rata to the assumed FTE for 2006-07, weighted according to the quartile in which they fall and a London weighting (8 per cent inner, 5 per cent outer), although the following minimum allocations apply.

FTEs at FEC	Minimum disability allocation
<50	£500
50 to 249	£1,000
250 to 499	£5,000
500 or more	£10,000

22. The rate of funding per weighted FTE is £5.

Errors in 2004-05 ILR F04 data

23. 2004-05 ILR F04 data should be quality assured before a college signs off the 2004-05 ILR F04 data as correct. Any amendments accepted after this point to recalculate funding should be seen as exceptional, and not as part of quality assurance procedures.

24. If colleges wish to correct their 2004-05 ILR F04 data used to inform the widening participation allocation they should submit amendments **by 15 May 2006** to Joe Clark at ilr_heifes_stats@hefce.ac.uk. Colleges should inform us by **1 May 2006** through the production of an action and implementation plan as specified in Annex F of any amendments to their 2004-05 ILR F04 data used to inform the widening participation allocation.

25. Amendments should follow the specification described in Annex G. It is essential that amendments are in this format in order to establish an audit trail of data changes, and to ensure that amendments are processed in a timely and accurate manner.

26. We may carry out an investigation where amendments contradict our understanding of the broad characteristics of activity at a college.

27. Amendments to 2004-05 ILR F04 data will be incorporated in future HEFCE statistical publications and analyses.

Annex D
Information for leads of HEFCE-recognised funding consortia

Purpose

1. This annex informs those FECs that are leads of a HEFCE-recognised funding consortium agreement of how we will use their, and their member colleges', data for the monitoring and allocation of funding.

2. Under a HEFCE-recognised funding consortium, the lead college is responsible for co-ordinating responses to any element of the exercise. In particular, we expect the lead college to co-ordinate any response to the comparison of HEIFES04 and the HEIFES04 re-creation where a response is required.

3. Member colleges' 2004-05 ILR F04 data will also be used to inform the 2006-07 WP allocations for the consortium, and the lead may wish to co-ordinate any necessary correction of member colleges' 2004-05 ILR F04 data.

Data collection arrangements for HEFCE-recognised funding consortia

4. Under HEFCE-recognised funding consortia arrangements each student is recognised as a student of the appropriate consortium member, rather than of the lead college. Therefore lead FECs of HEFCE-recognised funding consortia must submit data to the LSC only for students that are registered at their college. Likewise students that are registered at a member college will be returned on that college's 2004-05 ILR F04.

5. All member colleges' data for students funded under the consortium arrangement should have been returned by the lead college on their HEIFES04 return. Therefore, for the lead college of a HEFCE-recognised funding consortium, the HEIFES04 re-creation will incorporate its 2004-05 ILR F04 along with 2004-05 ILR F04 data for each member college.

Outputs for HEFCE-recognised funding consortia

6. We produce the following outputs for HEFCE-recognised funding consortia:

- comparison of HEIFES04 and the HEIFES04 re-creation (includes 2004-05 ILR F04 data for the lead FEC and the member colleges)
- HEIFES04 re-creation for the lead college (includes 2004-05 ILR F04 data for the lead FEC only)
- separate HEIFES04 re-creations for each of the member colleges (includes 2004-05 ILR F04 data for the member college only)
- HEIFES04 re-creation individualised file for the lead college (includes 2004-05 ILR F04 data for the lead FEC only)
- separate HEIFES04 re-creation individualised files for each of the member colleges (includes 2004-05 ILR F04 data for the member college only)

- derived statistics likely to be used to inform 2006-07 WP allocations (includes 2004-05 ILR F04 data for the lead FEC and the member colleges).

HEIFES04 and the HEIFES04 re-creation

7.   The comparison of HEIFES04 and the HEIFES04 re-creation (includes 2004-05 ILR F04 data for the lead FEC as well as for the member colleges) can be accessed from the HEFCE extranet. Annex E describes how to access the Excel workbook (HEIR04YYYYYY.xls – where YYYYYY is the LSC's UPIN for the member college). The workbook contains the same worksheets as described in Table 1 of Annex B, and is only accessible to the lead college of the consortium.

8.   The HEIFES04 re-creation for the lead college (includes 2004-05 ILR F04 data for the lead FEC only) can be accessed from the HEFCE extranet. Annex E describes how to access the Excel workbook (LEAD04YYYYYY.xls – where YYYYYY is the LSC's UPIN for the member college). The workbook contains the same worksheets as described in Table 1 of Annex B, and is only accessible to the lead college of the consortium.

9.   The HEIFES04 re-creation for the lead college (includes 2004-05 ILR F04 data for the lead FEC only) can be re-built by categorising and aggregating the data contained in the HEIFES04 re-creation individualised file for the lead college, STU04YYYYYY.ind. STU04YYYYYY.ind contains details, in the form of 2004-05 ILR F04 and derived fields, of how each student was classified in the re-creation. The individualised file contains the same 2004-05 ILR F04 fields and derived fields that are described in Tables 1 and 2 of Appendix 1, and is only accessible to the lead of the consortium.

10. Separate HEIFES04 re-creations for each of the member colleges (includes 2004-05 ILR F04 data for the member college only) can be accessed from the HEFCE extranet. Annex E describes how to access the Excel workbook (HEIRC04YYYYYY.xls where YYYYYY is the LSC's UPIN for the member college). The workbook contains the worksheets shown in the following table, and is only accessible to the member college and the lead college of the consortium.

Page number	Worksheet (see tabs on spreadsheet)	Description
1	Coversheet	Title page
2	FTS	Table 1a: Full-time and sandwich years of programme of study for the member college
3	SWOUT	Table 2: Sandwich year-out years of programme of study for the member college
4	PT	Table 3: Part-time years of programme of study for the member college
5	FEE	Table 4: Home and EC fees for the member college
6	Excl	Exclusion table for the member college
7	Credibility	HEIFES04 credibility sheet

11. The separate HEIFES04 re-creations for each of the member colleges (includes 2004-05 ILR F04 data for the member college only) can be re-built by categorising and aggregating the data contained in the individualised file, STU04YYYYYY.ind. STU04YYYYYY.ind contains details, in the form of 2004-05 ILR F04 fields and derived fields, of how each student was classified in the re-creation.

Access to outputs

12. Lead colleges will be given automatic access to all outputs except the separate HEIFES04 re-creation individualised files for each of the member colleges. Each member college will receive access to their separate HEIFES04 re-creation, and a separate HEIFES04 re-creation individualised file containing only 2004-05 ILR F04 data for its college.

13. Where a member college gives us permission to grant the lead college with access to its HEIFES04 re-creation individualised file, we will write to the lead college to describe how it can access the individualised files via the HEFCE extranet.

Annex E
Obtaining data from the HEFCE extranet

1.   Outputs from the derived statistics exercise should be accessed from the HEFCE extranet at https://extranet.hedata.ac.uk.

2.   When we receive amendments to 2004-05 ILR F04 data or overrides to problems of fit with our algorithms the version of the derived statistics outputs held on our extranet will be overwritten once these amendments/overrides have been incorporated. Therefore, if colleges wish to retain intermediate versions of the outputs, they will need to make copies of the files on their own system. Each time we make an update the date will be printed on the outputs along with a 'run number' that will increment by one for each new version.

Registering a new account

3.   New users of the HEFCE extranet will first need to register an e-mail address and extranet password. This can be done by clicking the 'Register' link on the login screen. In order to register, you will require an 'organisation key' and a 'group key', details of which have been provided in the letter sent to your head of college by Ben Grassby on 3 February 2006. This information cannot be sent electronically for security reasons so please retain the information sent in that letter. We can re-issue the information by post if necessary.

4.   Once registered, you should be able to log in by entering the e-mail address you used during registration, and the password that you created.

Existing users of the extranet

5.   If you have used the HEFCE extranet for other HEFCE returns, you will be required to log in and join the group for '2004-05 statistics derived from ILR data'. Follow the log-in procedure by entering your e-mail address and password. You will be directed to a page for 'HEFCE extranet – All resources'; under 'Applications' click 'Join a group'. Enter the group key supplied in Annex A of the letter entitled '2004-05 statistics derived from ILR data', sent to your head of college by Ben Grassby on 3 February 2006, and select 'Join group'.

6.   If you have registered in the past but your account has expired, you will be required to refresh your account using the organisation key referred to in paragraph 3.

Athens Single Sign On Account

7.   You can also log in to the HEFCE extranet using Athens Single Sign On account (if this is available at your college).

a.   Follow the 'Log in via Athens SSO' link on the login page.
b.   Log in to Athens as normal (if you have not already done so).
c.   When Athens has authenticated you, your browser will be directed to the 'HEFCE extranet – available resources page' where colleges will have access to their output files.

d.   You will be required to join the group for '2004-05 statistics derived from ILR data'. Under 'Applications' click 'Join a group'. Enter the group key supplied in Annex A of the letter titled '2004-05 statistics derived from ILR data', sent on 3 February 2006, and select 'Join group'.

Accessing the output files

8.   After verifying the e-mail address and password, your browser will be directed to the 'HEFCE extranet – available resources page' where colleges will have access to their output files.

9.   Click 'HEFCE Resources' under the 'Folders' heading to be directed to the 'HEFCE extranet – HEFCE resources' page. Next click 'Statistics derived from ILR data' to be directed to the 'HEFCE extranet – Statistics derived from ILR data' page. Here there will be a link to '2004-05 statistics derived from ILR data'. If this link is not visible, it is possible that you do not have the appropriate access. To obtain this, you will need the appropriate group key (see paragraph 3 above). Click on the link to start the download of a zipped archive containing the following output files:

•   STU04YYYYYY.ind – HEIFES04 re-creation individualised student data file – for leads of HEFCE-recognised funding consortia this file does not include data for the member colleges

•   HEIR04YYYYYY.xls – HEIFES04 re-creation tables (HEIRC04YYYYYY.xls for members of consortia)

•   WP04YYYYYY.ind – 2006-07 widening participation individualised student data file –for leads of HEFCE-recognised funding consortia this file does not include data for the member colleges
•   IHWP04YYYYYY.xls – 2006-07 widening participation allocation tables

10.   Lead colleges of HEFCE recognised funding consortia will also be able to access the following files:

•   LEAD04YYYYYY.xls. This is an Excel workbook containing the HEIFES04 re-creation tables for the lead college (includes 2004-05 ILR F04 data for the lead FEC only)

•   HEIRC04YYYYYY.xls. These are Excel workbooks containing the HEIFES04 re-creation tables for each of the member colleges (includes 2004-05 ILR F04 data for the member college only).

Where YYYYYY is the provider number ST_UPIN (L01).

11. The following additional action plan templates are available from the HEFCE extranet – 2004-05 Statistics derived from ILR data page. To access these outputs follow the instructions in paragraph 9. You will need to click the download link to download the templates.

- APHEIR04YYYYYY.xls – This is an Excel workbook containing the HEIFES04 re-creation action plan template. This workbook is only available where a college has been formally requested to respond to this element of the exercise.

- APILR04YYYYYY.xls – This is an Excel workbook containing the general 2004-05 ILR F04 amendments action plan template. This workbook is available for all colleges.

12. For further information on zipped files, click on the 'online help' link, located above the login box, or on the right of the page when you have successfully logged in.

13. Colleges are reminded that the individualised data are covered by the Data Protection Act. In order for these data to be accessible to someone, they need to have both the organisation key and the appropriate group key for the data. You must not pass these keys to unauthorised personnel.

Annex F

Guidance for completing and submitting action and implementation plans

Purpose

1.   This annex provides guidelines for the format and content of action and implementation plans. It also describes how to submit plans to the HEFCE extranet.

Approval

2.   We will only approve action and implementation plans for colleges that are formally required to respond to this exercise where the guidelines set out in this annex are met. For these responses, if an action and implementation plan does not enable us to gain assurance that they are able to identify, explain and remedy areas and causes of discrepancy between the two data sources, it is likely that we will need to visit your college to gather this information.

3.   Colleges that wish to make amendments to their 2004-05 ILR F04 data (for example, to correct data that are likely to be used to inform the 2006-07 WP allocations) are also required to submit an action plan before we will accept their amendments. Guidance for completing action plans for colleges that wish to make amendments to their 2004-05 ILR F04 data is given in paragraphs 35 to 42.

General requirements of action and implementation plans

4.   Action plans for colleges that are required to respond should demonstrate that the college is able to identify, explain and remedy the areas and causes of constituent parts of the overall discrepancy. In addition, through the implementation plan, we need to gain assurance that systems or processes will be put in place to reduce the likelihood of similar errors recurring in future returns. The action and implementation plan will allow us to assess whether a college is likely to require further assistance to respond adequately to the exercise. We will check that the entire discrepancy between the two data sources has been addressed.

5.   Where a college wishes to amend its 2004-05 ILR F04 data we will use the action plan to gain an understanding of the reasons why amendments are being made and to which 2004-05 ILR F04 fields, so that the impact of incorporation can be checked. In addition the action plan provides us with dates when we can expect the college to submit the data. Similarly, implementation plans provide us with assurance that systems or processes will be put in place to reduce the likelihood of similar errors recurring in future returns.

Action and implementation plan templates

6.   Colleges selected to respond to the comparison of HEIFES04 and the HEIFES04 re-creation are required to complete the template APHEIR04YYYYYY.xls. This is an Excel

workbook containing the HEIFES04 re-creation action plan template. This workbook is only available where a college has been formally requested to respond to this element of the exercise. YYYYYY is the LSC's UPIN for the college.

7.   Colleges that wish to make amendments to their 2004-05 ILR F04 data (for example, to correct data that are likely to be used to inform the 2006-07 WP allocations) are required to complete the template APILR04YYYYYY.xls. This is an Excel workbook containing the general 2004-05 ILR F04 amendments action plan template. This workbook is available to all colleges. YYYYYY is the LSC's UPIN for the college.

8.   Details on how to access action and implementation plan templates for your college are in paragraph 9 of Annex E.

9.   Action and implementation plans will be kept as a permanent record and audit trail of a college's response to this exercise.

Detailed requirements for action and implementation plans

10. Below are detailed instructions about the information that we require in each column of the action and implementation plan(s). Action and implementation plan templates are given in Figures 1 and 2. Example action and implementation plans are given in Appendix 5.

HEIFES04 re-creation action and implementation plan template

11. The information that we require in the HEIFES04 re-creation action plan template, APHEIR04YYYYYY.xls is outlined below.

Column 1

12. This column should contain a sequential number starting at 1 which is used to reference each area of difference identified on the action plan. This is provided automatically in the action and implementation plan template.

Column 2

13. This column should contain a list of all areas of difference between the re-creation and the original return. Areas should be broken down to a level that is meaningful for the comparison, for example 'Column 1, part-time HEFCE funded undergraduates'.

14. The troubleshooting guides contained in Appendix 2 for the HEIFES04 re-creation will allow colleges to identify specific areas of difference between the re-creation and the original return. We expect colleges to exercise their own judgement to decide when small differences between the two data sources do not warrant inclusion within the action plan. However, colleges need to be aware that small differences may accumulate and should their combined total become large, this will reduce our confidence in the college's ability to identify areas of discrepancy between the two data sources.

Column 3

15. This column should contain the cause of the difference between the two data sources. The cause can be attributed to one of the following:

- errors in 2004-05 ILR F04 data
- errors/estimation discrepancies in HEIFES04
- errors in the Learning Aim Database (LAD)
- problems of fit with the re-creation algorithms.

Paragraphs 15 to 31 of Annex B give further descriptions of these broad cause types for the HEIFES04 re-creation.

16. The only information that should be entered into Column 3 are the words 'ILR' (for errors in 2004-05 ILR F04 data), 'HEIFES' (for errors/estimation discrepancies in HEIFES04), 'LAD' (for errors in the LAD) or 'HEFCE' (for problems of fit with the re-creation algorithms).

Column 4

17. This column should contain a detailed description of the cause of the difference. The description should be sufficient to allow us to gain an understanding of the reasons why this discrepancy occurred.

18. Where Column 3 is returned as 'ILR', 'HEIFES' or 'LAD' we require a brief explanation for the cause of the error. For example, 'the script in our student record system for generating H17 on the 2004-05 ILR F04 return incorrectly assigned all part-time foundation degree students with a load of 100.0'.

19. Where Column 3 is returned as 'HEFCE', we require a brief explanation for why the algorithms do not fit for the activity. For example, 'students on our foundation degree for teaching assistants have been assigned to price group D, however we were awarded these numbers as part of an ASN bid and therefore they should be assigned to price group C.' See paragraph 8, Annex H of HEIFES05 for more details.

Column 5

20. If the cause of difference identified in Column 3 is 'ILR', either 'CHANGE', 'ADD' or 'DELETE' should be selected to highlight the type of amendments that are being made to the ILR F04 record.

Column 6

21. If the cause of difference identifed in Column 3 is 'ILR', either 'Learner data set', 'Learning aim data set' or 'HE data set' should be included depending on which is being amended.

Column 7

22. Where Column 5 is returned as 'CHANGE' and Column 3 is 'ILR', a full list of the fields that the institution expects to correct must be identified and included. If Column 5 is 'ADD' or 'DELETE' then the words 'All fields' should be entered.

Column 8

23. If the cause of difference identified in Column 3 is 'ILR', the number of records that are being amended should be included, for example, 33.

Column 9

24. If the cause of difference identified in Column 3 is 'ILR', the date by when amended data will be submitted to HEFCE must be returned in Column 8. Guidance on how to submit amendments to ILR data is at Annex G. Amended data be submitted no later than **11 April 2006**.

Column 10

25. If the cause of difference identified in Column 3 is 'LAD' or 'HEFCE' then a full list of the derived fields that require overrides must be identified by the college and listed, for example 'HEFQAIM'. For further information on which derived fields are affected by problems of fit with re-creation algorithms see Appendix 3 for the HEIFES04 re-creation.
For all other causes of difference given in Column 3, this column should remain blank.

Column 11

26. If the cause of difference identified in Column 3 is 'LAD' or 'HEFCE', then the number of records to be overwritten should be included, for example, 30.

Column 12

27. If the cause of difference identified in Column 3 is 'HEFCE', the date by which override files will be submitted to HEFCE must be returned in Column 11. Guidance on how to submit overrides is given in Annex H. For all other causes of difference given in Column 3, this column should remain blank. Override files should be submitted no later than **11 April 2006**.

Column 13

28. We require an estimate of the effect of differences in terms of their contribution to the total discrepancy. This contribution should be measured in terms of student numbers; FTE; and, where appropriate, funds due back, funds to be held back and/or an estimate of the effect on contract range holdback.

29. For the HEIFES04 re-creation, estimates of funds due back and funds to be held back can be made by multiplying the FTE for the area of discrepancy by the rate per FTE (this rate is given in the HBK worksheet of the HEIFES04 re-creation workbook.

30. For the HEIFES04 re-creation, estimates of the effect on contract range holdback, in its simplest form, could be approximated as:

FTE x ((base price x price group weighting) – regulated fee for the course)

31. For example, for a college positioned outside the contract range in the HEIFES04 re-creation, if the area of difference was full-time and sandwich, undergraduates in price group C with £1,150 regulated fee for the course, and the difference between HEIFES04 and the HEIFES04 re-creation is 10 FTEs, the difference in contract range holdback could be approximated by 10 x ((£3,484 x 1.3) – 1,150) = £47,728. You may wish to include other premiums to increase the accuracy of the estimate.

32. Where the approximate sum of the contributions to the discrepancy does not account for the whole discrepancy, our confidence in the college's ability to identify areas of discrepancy between the two data sources will be reduced.

<u>Column 14</u>

33. If Column 3 is 'ILR' or 'HEIFES', we require an implementation plan for the area of difference. This section should describe the changes to systems or processes that will be implemented to eliminate the likelihood of similar errors recurring. For example: 'In future years we will implement an internal software check to ensure that these fields are completed if there is Superclass II information in the corresponding fields in the Learning Aim Database.'

<u>Column 15</u>

34. If Column 3 is 'ILR' or 'HEIFES' we require a date by which any future improvements will be implemented.

Colleges that wish to make amendments to their 2004-05 ILR F04 data

35. The information that we require in the action plan template, APILR04YYYYYY.xls, for colleges that wish to make amendments to their 2004-05 ILR F04 data (for example to correct data that are likely to be used to inform the 2006-07 WP allocations), is outlined below.

<u>Column 1</u>

36. This column should contain a sequential number starting at 1 which is used to reference each area of amendment identified on the action plan. This is provided automatically in the action and implementation plan template.

<u>Column 2</u>

37. This column should contain a detailed description of the nature of the amendment to ILR F04 student data. For example 'Highest qualification on entry returned as not known for some full-time undergraduates that were not recruited through UCAS. We expect this to have an impact on the improving retention allocation'.

<u>Column 3</u>

38. If the cause of difference identifed in Column 3 is 'ILR', either 'CHANGE', 'ADD' or 'DELETE' should be selected to highlight the type of amendments that are being made to the ILR F04

<u>Column 4</u>

39. Either 'Learner data set', 'Learning aim data set' or 'HE data set' should be included depending on which is being amended.

<u>Column 5</u>

40. Where Column 3 is returned as 'CHANGE', this column should contain a list of the fields that the institution expects to correct, for example 'H11'. If Column 5 is 'ADD' or 'DELETE' then the words 'All fields' should be entered.

<u>Column 6</u>

41. The number of records to be overwritten should be included, for example, 30.

<u>Column 7</u>

42. This column should contain the date by which amended data will be submitted to HEFCE. Guidance on how to submit amendments to HEFCE is given in Annex G.

Submitting action and implementation plans

43. Click 'HEFCE Resources' under the 'Folders' heading to be directed to the 'HEFCE extranet – HEFCE resources' page. Next click '2004-05 Statistics derived from ILR data' to be directed to the 'HEFCE extranet – 2004-05 Statistics derived from ILR data page. If this link is not visible, it is possible that you do not have the appropriate access. To obtain this, you will need the appropriate group key (see paragraph 3 above for further details). Click the

appropriate link to the action plan. For example the 'APILR04 data collection' data collection' link. Next click the upload button, browse to the location that the action and implementation plan is saved and click 'Upload'. A message will appear informing you whether the action plan has uploaded successfully or has failed validation. Please note that the results link is not accessible.

44. For reference the action and implementation plans can be found in a separate Excel file on the HEFCE web-site.

Annex G
Submitting amendments to 2004-05 ILR F04 data

Purpose

1.   This annex details the data structure and format for amendments to 2004-05 ILR F04 data. Colleges must supply 2004-05 ILR F04 amendment files using the file structure and format detailed within this annex.

2.   There are three types of amendment file, which perform the following actions:

- change file – corrects field values for records on the 2004-05 ILR F04 return
- addition file – adds records omitted from the 2004-05 ILR F04 return
- deletion file – deletes records incorrectly included on the 2004-05 ILR F04 return.

3.   Examples of these three types of amendment file can be found at the end of this annex (see Figures 3 to 5), as well as a summary of the information we require for each type of amendment file (see Table 2).

4.   These specifications are necessary to ensure we can process amendments to 2004-05 ILR F04 data in a timely and accurate manner. We will require colleges to re-submit amendment files that differ, either in structure or format, to the specifications detailed in this annex.

Format

5.   Amendments to 2004-05 ILR F04 data must be sent as a comma-separated file via the HEFCE extranet, or as an e-mail attachment sent to ilr_heifes_stats@hefce.ac.uk.

Structure

6.   The structure of an amendment file depends on the type of amendments being submitted. Details of the structure of change, addition and deletion files are given in paragraphs 7-11, 12-20 and 21-4 respectively. Each amendment file must contain records for only one 2004-05 ILR F04 data set (learner, learning aim or HE).

Change file

7.   This amendment type allows values of fields to be corrected at the individual record level in our copy of 2004-05 ILR F04 data. Typically change files correct a small number of fields which contain incorrect values.

8.   Change files must be given a file name in the form chgYYYYYYDNN.amd, where:

- YYYYYY is the provider number ST_UPIN (L01) for your college
- D is the identifier of the 2004-05 ILR F04 dataset being changed
- NN is a sequential number starting at 01. For instance, a first set of amendments in a change file must be submitted in the form chgYYYYYYD01.amd, and a second set of different amendments must be submitted in the form chgYYYYYYD02.amd.

D must take one of the following values:

- L for the learner data set
- A for the learning aim data set
- H for the HE data set.

9. Each record must contain complete data for all fields included in the amendment file, even if a particular field remains unchanged in some cases.

10. Only 2004-05 ILR F04 fields can be included in amendment files. Where changes to derived fields are required, the underlying 2004-05 ILR F04 fields must be changed. For example, if HEFLEVEL is incorrect then H15 would need to be changed.

11. The file must contain a header in the following form:

line 1 – amendment reference in the form chgYYYYYYYDNN as explained in paragraph 8; this will be the same as the filename with the '.amd' file extension removed.

line 2 – creation date of the amendment file in the form ddmmyyyy. For example 03052006 for a file created on 3 May 2006.

line 3 – brief description of the correction, and the reference number of the area of difference on the action plan that it rectifies. For example 'Changes to 2004-05 ILR F04 fields H14 and H15 – reference number 1'.

line 4 – this line must contain the word CHANGE.

line 5 – the 2004-05 ILR F04 fields used to uniquely identify records on the amendment file, comma-separated. For example H01, H03, H09.

line 6 – the 2004-05 ILR F04 fields being changed, comma-separated. For example H14, H15.

line 7 – number of records contained in the amendment file, excluding the first 12 lines of header information.

line 8 – the 2004-05 ILR F04 field used to calculate the file check sum (see paragraph 31 for an explanation of the file check sum).

line 9 – file check sum.

lines 10 and 11 – these lines must contain any notes you wish to include.

line 12 – 2004-05 ILR F04 fields included in the amendment file. These fields must appear in the same order as each row of the data and must be comma-separated. For example H01, H03, H09, H14, H15.

line 13 – amendment data must begin on this line.

Addition file

12. This amendment type allows full records that were omitted from the 2004-05 ILR F04 return to be added to our copy of the data. Each addition file must only contain additional records for one data set, that is, learner, learning aim or HE . In this case all 2004-05 ILR F04 fields for that data set must be included in the addition file even if they are blank. These data must be validated by 2004-05 ILR F04 validation rules.

13. Addition files must be given a file name in the form addYYYYYYDTNN.amd, where:

- YYYYYY is the provider number ST_UPIN (L01)
- D is the identifier of the 2004-05 ILR F04 dataset being added to
- T is the type of addition
- NN is a sequential number starting at 01. For instance, a first set of amendments in an addition file must be submitted in the form addYYYYYYDT01.amd, and a second set of different amendments must be submitted in the form addYYYYYYDT02.amd.

D must take one of the following values:

- L for the learner data set
- A for the learning aim data set
- H for the HE data set.

T must take one of the following values:

- 3 for adding additional learner records along with learning aims and HE data
- 2 for adding learning aims and HE data to existing learner records
- 1 for adding HE data to existing learning aim records.

Adding student records

14. If the student was entirely missed from the 2004-05 ILR F04 return, we would expect three addition files containing learner, learning aim and HE data. The sequential number NN must be the same for all three files.

Example 1

15. If four students are to be added, three with one HE learning aim, and one with two HE learning aims, we would expect three files to be submitted as follows:

- addYYYYYY**L3**01.amd containing the data for the 2004-05 ILR F04 learner data set for all four students
- addYYYYYY**A3**01.amd containing all data for the learning aim data set for the five learning aims
- addYYYYYY**H3**01.amd containing all data for the HE data set for the five learning aims.

Adding learning aims to existing student records

16. If a learning aim for a learner was entirely missed from the 2004-05 ILR F04, we would expect two addition files containing learning aim and HE data. The sequential number NN must be the same for both files.

Example 2

17. If the college in example 1 also wanted to add three learning aims for existing learners, two of which are HE, we would expect two files to be submitted as follows:

- addYYYYYYY**A2**02.amd containing all data for the learning aim data set for the three learning aims
- addYYYYYYY**H2**02.amd containing all data for the HE data set for the two learning aims which are HE.

Adding HE data to existing qualification aim records

18. If HE data for existing learning aims were entirely missed from the 2004-05 ILR F04, we would expect a single file containing HE data.

Example 3

19. If the college in example 2 wanted to add HE data to five existing learning aims, we would expect one file to be submitted as follows:

- addYYYYYYY**H1**03.amd containing all data for the HE data set data for the five HE learning aims.

20. All addition files must contain a header in the following form:

line 1 – amendment reference in the form addYYYYYYYDTNN as explained in paragraph 13; this will be the same as the filename with the '.amd' file extension removed.

line 2 – creation date of the amendment file in the form ddmmyyyy. For example 03012006 for a file created on 3 January 2006.

line 3 – brief description of the additional records, and the reference number of the area of difference on the action plan that it rectifies. For example 'Learner data set data for HNCs omitted from original 2004-05 ILR F04 return – reference number 2 on the action plan'.

line 4 – this line must contain the word ADD.

line 5 – this line must be left blank.

line 6 – this line must be left blank.

line 7 – number of records contained in the amendment file, excluding the first 12 lines of header information.

line 8 – the 2004-05 ILR F04 field used to calculate the file check sum (see paragraph 31 for an explanation of the file check sum).

line 9 – file check sum.

lines 10 and 11 – these lines should contain any notes you wish to include.

line 12 – a list of all fields in the relevant 2004-05 ILR F04 data set. These fields must appear in the same order as each row of the data and must be comma-separated.

line 13 – additional records must begin on this line.

Deletion file

21. This amendment type allows records incorrectly included on 2004-05 ILR F04 to be removed from our copy of the data.

22. Deletion files must be given a file name in the form delYYYYYYDNN.amd.

Where:

- YYYYYY is the provider number (L01)
- D is the identifier of the 2004-05 ILR F04 data set being deleted from
- NN is a sequential number starting at 01. For instance, a first set of amendments in a deletion file must be submitted in the form delYYYYYYD01.amd, and a second set of different amendments must be submitted in the form delYYYYYYD02.amd.

D must take one of the following values:

- L for the learner data set
- A for the learning aim data set
- H for the HE data set.

23. In the case of deletions only one file needs to be returned. An HE data set deletion file will delete only HE data. A learning aim data set deletion file will delete learning aims and any associated HE data. A learner data set deletion file will delete learner data, the associated learning aims data and any associated HE data.

24. All deletion files must contain a header in the following form:

line 1 – amendment reference in the form delYYYYYYDNN as explained in paragraph 22; this will be the same as the filename with the '.amd' file extension removed.

line 2 – creation date of the amendment file in the form ddmmyyyy. For example 03052006 for a file created on 3 May 2006.

line 3 – brief description of the correction, and the reference number of the area of difference on the action plan that it rectifies. For example 'Learning aim data set data for HNCs incorrectly included in 2004-05 ILR F04 – reference number 3'.

line 4 – this line must contain the word DELETE.

line 5 – 2004-05 ILR F04 fields that uniquely identify records on the amendment file, comma-separated. For example A01, A03, A05, A48.

line 6 – this line must be left blank.

line 7 – number of records contained in the amendment file, excluding the first 12 lines of header information.

line 8 – the 2004-05 ILR F04 field used to calculate the file check sum (see paragraph 31 for an explanation of the file check sum).

line 9 – file check sum.

lines 10 and 11 – these lines must contain any notes you wish to include.

line 12 – 2004-05 ILR F04 fields included in the amendment file. These fields must appear in the same order as each row of the data and must be comma-separated. For example A01, A03, A04, A05, A48, A11 (for file check sum).

line 13 – the data must begin on this line.

Uniquely identifying records

25. To enable us to link change or deletion files to our master 2004-05 ILR F04 data sets, we must be able to identify each record on the amendment file in such a way that it uniquely identifies the record on the 2004-05 ILR F04 return. The field, or combination of fields, enabling us to achieve this must be listed, comma-separated, in line 5 of the amendment file.

26. We recommend colleges use the following four fields to uniquely identify 2004-05 ILR F04 learner data set records:

- L01
- L02
- L03
- L42a, L42b

27. We recommend colleges use the following four fields to uniquely identify 2004-05 ILR F04 learning aim data set records:

- A01
- A03
- A05
- A48a, A48b

28. We recommend colleges use the following three fields to uniquely identify 2004-05 ILR F04 HE data set records:

- H01
- H03
- H09

Validation

29. We will use the LSC's validation software to ensure that all amendments are valid and do not cause validation failures elsewhere in our master data sets. We will ask colleges to re-submit amendments if validation failure occurs.

30. Saving amendment files in Microsoft Excel may result in the loss of leading zeros and the corruption of very large values. We recommend that amendment files are viewed and saved using a text editor, for example Notepad.

Check sums
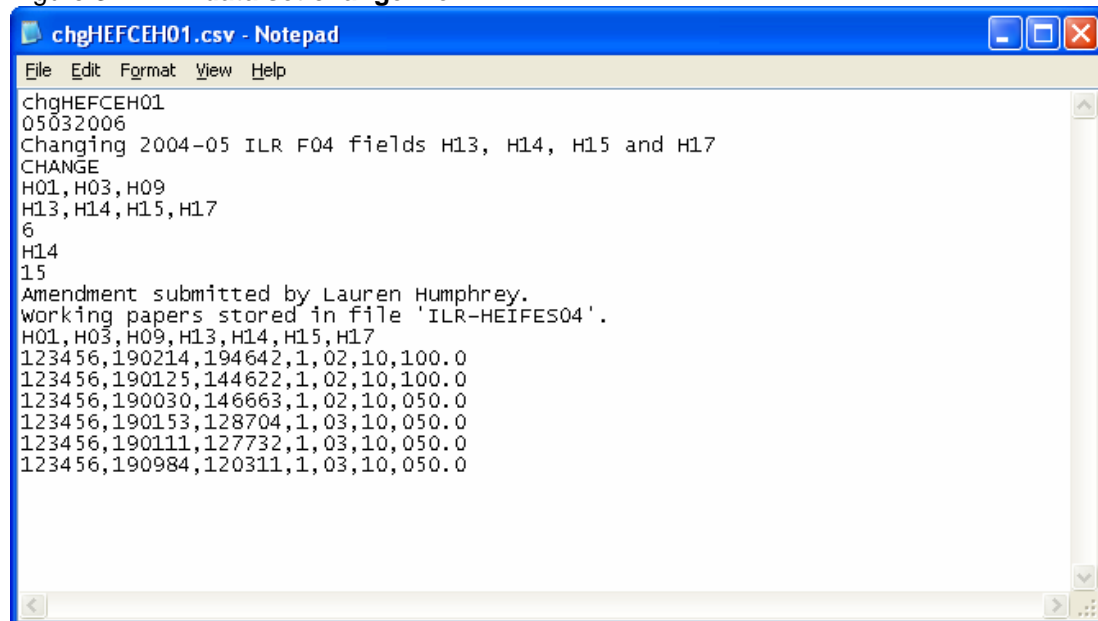
31. To ensure amendment files have not been corrupted during transit, we will check that the sum of values in a field is equal to the same calculation made by the college before submission. The field used must be returned in line 8. The sum of values in this field must be returned in line 9. If an amendment file does not contain any numeric fields suitable for calculating a check sum, an additional field from the appropriate 2004-05 ILR F04 data set must be included solely for that purpose, for example A11. Numeric fields that contain values greater than 20,000 (approximately) are unsuitable for calculating the check sum.

Outcome

32. When we receive a valid amendment in the structure and format detailed in this annex, we will aim to provide a revised re-creation within five working days. Colleges will be notified by e-mail whether a further response is required, and when the revised re-creation tables and individualised files are available from the HEFCE extranet.
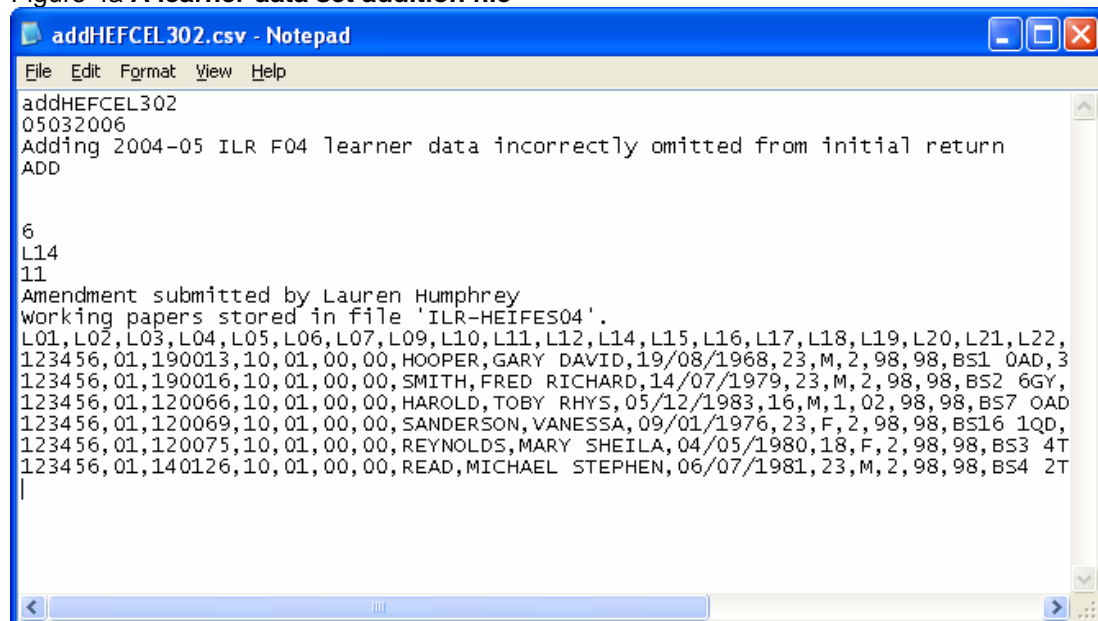
Examples of amendment files

Figure 3 **An HE data set change file**


```
chgHEFCEH01 - Notepad
File  Edit  Format  View  Help
chgHEFCEH01
05032006
Changing 2004-05 ILR F04 fields H13, H14, H15 and H17
CHANGE
H01,H03,H09
H13,H14,H15,H17
6
H14
15
Amendment submitted by Lauren Humphrey.
Working papers stored in file 'ILR-HEIFES04'.
H01,H03,H09,H13,H14,H15,H17
123456,190214,194642,1,02,10,100.0
123456,190125,144622,1,02,10,100.0
123456,190030,146663,1,02,10,050.0
123456,190153,128704,1,03,10,050.0
123456,190111,127732,1,03,10,050.0
123456,190984,120311,1,03,10,050.0
```
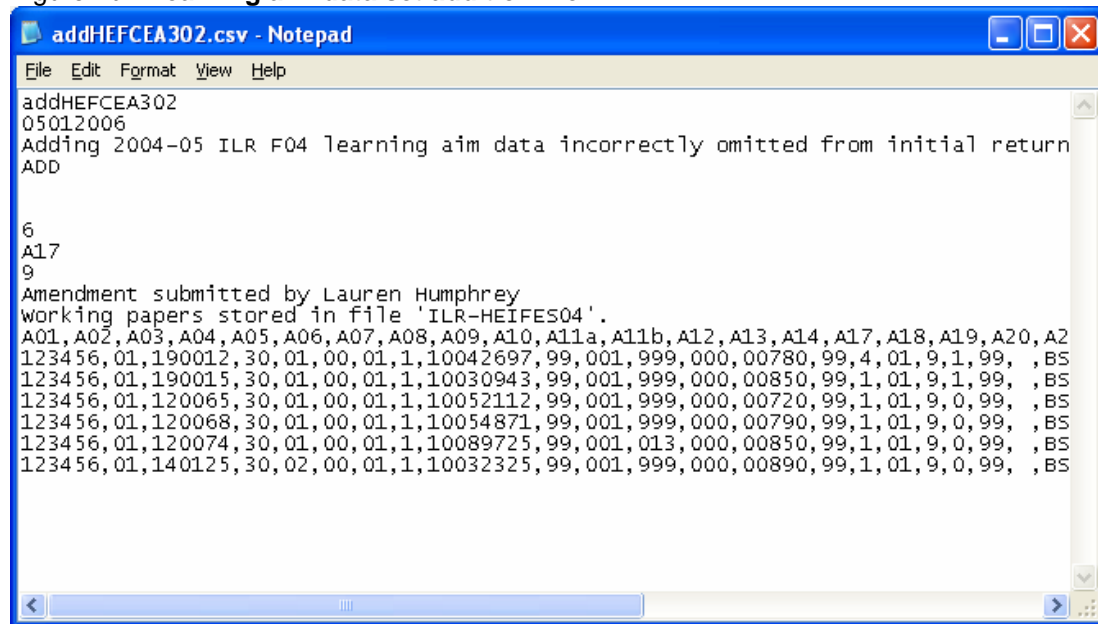
Figure 4a **A learner data set addition file**


```
addHEFCEL302.csv - Notepad
File  Edit  Format  View  Help
addHEFCEL302
05032006
Adding 2004-05 ILR F04 learner data incorrectly omitted from initial return
ADD


6
L14
11
Amendment submitted by Lauren Humphrey
Working papers stored in file 'ILR-HEIFES04'.
L01,L02,L03,L04,L05,L06,L07,L09,L10,L11,L12,L14,L15,L16,L17,L18,L19,L20,L21,L22,
123456,01,190013,10,01,00,00,HOOPER,GARY DAVID,19/08/1968,23,M,2,98,98,BS1 0AD,3
123456,01,190016,10,01,00,00,SMITH,FRED RICHARD,14/07/1979,23,M,2,98,98,BS2 6GY,
123456,01,120066,10,01,00,00,HAROLD,TOBY RHYS,05/12/1983,16,M,1,02,98,98,BS7 OAD
123456,01,120069,10,01,00,00,SANDERSON,VANESSA,09/01/1976,23,F,2,98,98,BS16 1QD,
123456,01,120075,10,01,00,00,REYNOLDS,MARY SHEILA,04/05/1980,18,F,2,98,98,BS3 4T
123456,01,140126,10,01,00,00,READ,MICHAEL STEPHEN,06/07/1981,23,M,2,98,98,BS4 2T
```
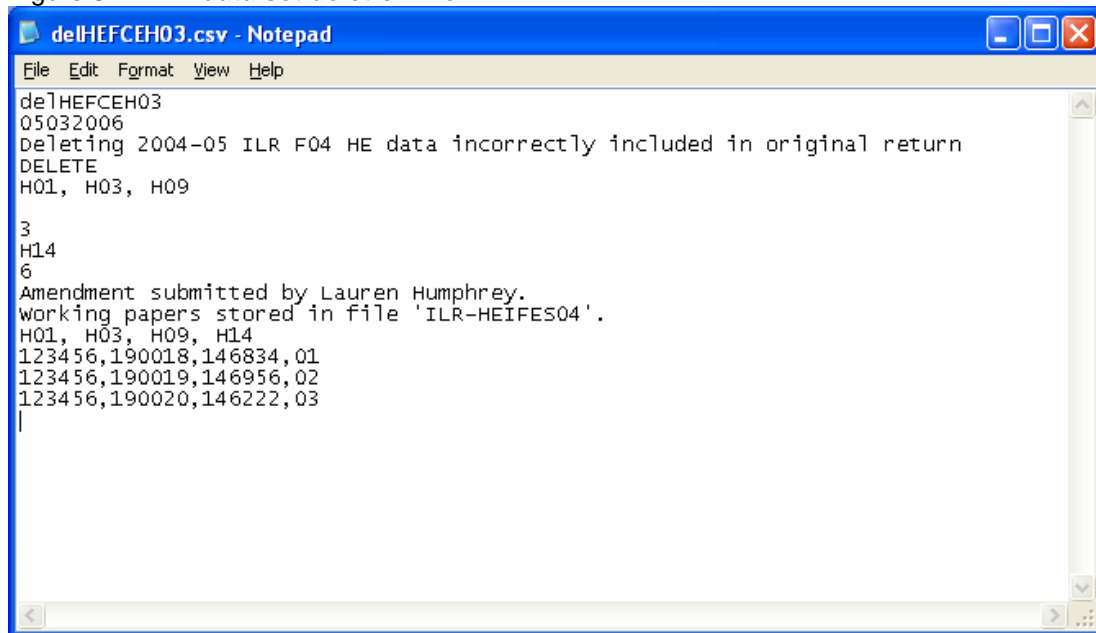
44

Figure 4b **A learning aim data set addition file**

Figure 4c **An HE data set addition file**

Figure 5 **An HE data set deletion file**

Table 2 **Summary of header information for amendment files**

Line	Change	Addition	Deletion
1	Amendment reference. For example: 'chgYYYYYYA01'	Amendment reference. For example: 'addYYYYYYH101'	Amendment reference. For example: 'delYYYYYYL01'
2	File creation date. For example 01052006	File creation date. For example 01052006	File creation date. For example 01052006
3	Brief description. For example 'Changing 2004-05 ILR F04 learning aim data set fields A11 and A27'	Brief description. For example 'Adding 2004-05 ILR F04 HE data set records incorrectly omitted from original return'	Brief description. For example 'Deleting 2004-05 ILR F04 student data set records incorrectly included in original return'
4	CHANGE	ADD	DELETE
5	Unique identifying fields. For example, A01, A03, A05, A48	This line must be left blank	Unique identifying fields. For example, L01, L02, L03, L42
6	Fields to be corrected. For example, A11, A27	This line must be left blank	This line must be left blank
7	Number of records in the amendment file, excluding header	Number of records in the amendment file, excluding header	Number of records in the amendment file, excluding header
8	2004-05 ILR F04 field for check sum. Must be numeric	2004-05 ILR F04 field for check sum. Must be numeric	2004-05 ILR F04 field for check sum. Must be numeric
9	File check sum value	File check sum value	File check sum value
10	Any notes you wish to include	Any notes you wish to include	Any notes you wish to include
11	Any notes you wish to include	Any notes you wish to include	Any notes you wish to include
12	List of 2004-05 ILR F04 fields in the same order as the data	List of 2004-05 ILR F04 fields in the same order as the data	List of 2004-05 ILR F04 fields in the same order as the data
13	The data must begin on this line	The data must begin on this line	The data must begin on this line

Annex H
Submitting overrides to derived fields

Background

1.   An override file would only be applied where the data submitted to the 2004-05 ILR F04 return are correct but there is a problem of fit with the HEFCE algorithms. Therefore changes need to be made to derived fields that generate the re-creations rather than to the underlying 2004-05 ILR F04 data.

2.   All known problems of fit with the HEIFES04 re-creation algorithms are described in Appendix 3.

3.   The problem of fit that the override is rectifying should be stated clearly on the action plan. We will only apply overrides where we agree that they are appropriate. Therefore we may seek further information where necessary.

Purpose

4.   This annex details the data structure and format for overrides to derived fields. Colleges must supply override files using the file structure and format detailed in this annex.

5.   Override files should contain the data structure and format which is described in paragraphs 8 to 11, with slight modifications for overrides provided in the special case of proportion of countable year in each price group (PRGB, PRGC, PRGD, PRGMEDIA, PRGITT, PRGINSET).

6.   An example of a typical override file, and an example of a proportion of countable year in each price group override file, can be found at the end of this annex (see Figures 6 and 7).

7.   These specifications are necessary to ensure we can process overrides to derived fields in a timely and accurate manner. We will require colleges to re-submit override files that differ, either in structure or format, to the specifications detailed in this annex.

Format and naming

8.   Overrides to derived fields must be sent as a comma-separated file via the HEFCE extranet, or as an e-mail attachment to ilr_heifes_stats@hefce.ac.uk. Override files must be given a file name in the form ovrYYYYYYn.amd, where:

- YYYYYY is the provider number ST_UPIN (L01)
- n is a sequential number starting at 1.

For example, the first override file submitted would be called ovrYYYYYY1.amd, and the second would be called ovrYYYYYY2.amd.

Structure

9.   Each record must contain complete data for all fields included in the override file, even if a particular field remains unchanged in some cases. For example, it should contain the fields used to identify records (line 5).

10. Only derived fields should be included in the change line (line 6) for override files. For further information on which derived fields are affected by problems of fit, see Appendix 3.

11. In addition to the records that contain derived fields being overwritten, the file must contain a header in the following form:

line 1 – override reference in the form ovrYYYYYYn where YYYYYY is the provider number ST_UPIN(L01) and n is a sequential number starting at 1; this will be the file name with the '.amd' file extension removed.

line 2 – creation date of the override file in the form ddmmyyyy. For example 01032006 for a file created on 1 March 2006.

line 3 – a brief description of the override and the reference number of the area of difference on the action plan that it rectifies. For example 'Overrides to derived field HEFFEELV - reference number 3'.

line 4 – this line must contain the words OVERRIDE, NORMAL, and either the word TEMPORARY or PERMANENT. If the override is temporary, the last academic year that it applies to should be entered. For example 'OVERRIDE, NORMAL, TEMPORARY, 2006' indicates that the override will be applied in academic year 2005-06 but not in 2006-07 onwards.

line 5 – the 2004-05 ILR F04 fields used to identify records on the override file, comma-separated. For example: A01, A09 could be used to identify records on a course level; or L01, L02, L03 can be used to identify records on a student level.

line 6 – the derived fields being changed, comma-separated. For example: HEFFEELV, HEFQAIM.

line 7 – number of records contained in the file, excluding the first 12 lines of header information.

line 8 – the 2004-05 ILR F04/derived field used to calculate the file check sum (see paragraph 15 for an explanation of the file check sum).

line 9 – file check sum.

lines 10 and 11 – these lines can contain any notes the college wishes to include.

line 12 – 2004-05 ILR F04/derived fields included in the override file. These fields must appear in the same order as each row of the data and must be comma-separated. For example: A09, HEFFEELV on one line.

line 13 – override data must begin on this line.

end of file – there must be a single blank line following the final record in the override file.

Special case

Proportion of countable year in each price group

12. If overrides are being applied to price groups, we require information about all of the price group fields PRGB, PRGC, PRGD, PRGMEDIA, PRGPSYCH, PRGITT, PRGINSET (even if a particular price group is not being changed). Also the word PRICEGRP must be substituted in line 4 to replace the word NORMAL. An example of this file is given in Figure 7.

Identifying records

13. To enable us to link override files to our derived ILR data set, we must be able to identify the records on the 2004-05 ILR F04 return where the override should be applied. The field, or combination of fields, enabling us to achieve this must be listed, comma-separated, on line 5 of the override file.

Saving files

14. Saving override files in Microsoft Excel usually results in the loss of leading zeros and the corruption of very large values into exponential form (for example, 9.91E+12). We therefore recommend that override files are viewed and saved using a text editor, for example Notepad.
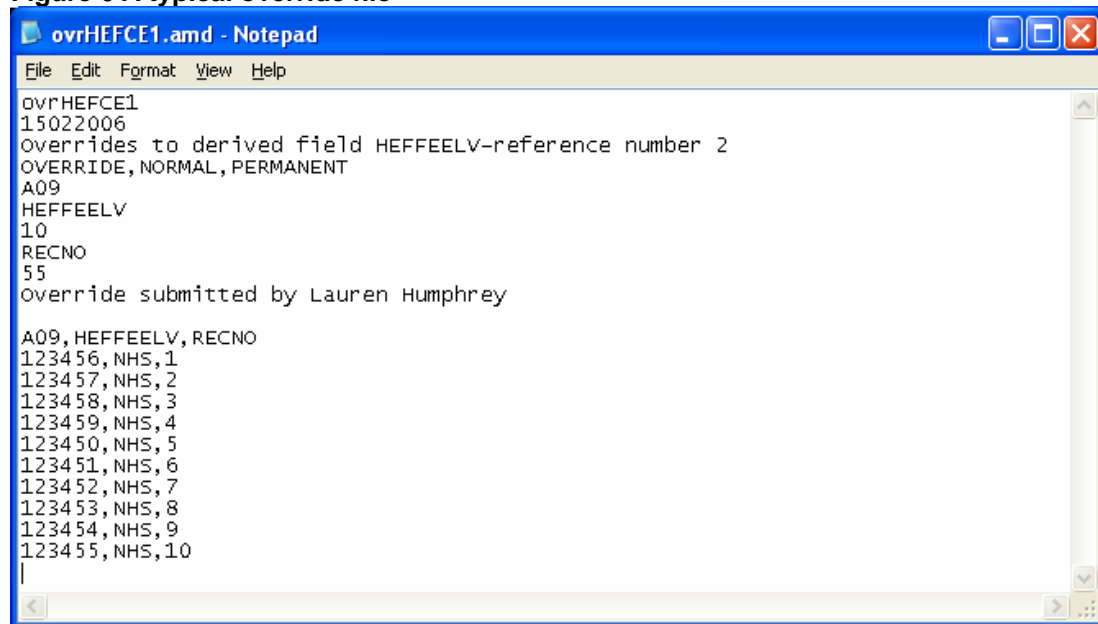
Check sum

15. To ensure override files have not been corrupted during transit, we will check that the sum of values in this field match the value returned on line 9. If an override file does not contain any numeric fields suitable for calculating a check sum, an additional field from the appropriate 2004-05 ILR F04 record must be included solely for this purpose, for example A11. Numeric fields that contain values greater than 20,000 (approximately) are unsuitable for calculating the check sum. If information is not being changed at the student level, then a sequential field called RECNO may be created for the purpose of the check sum. For example RECNO may contain 1, 2, 3, 4, 5.

Outcome

16. When we receive a valid override file in the structure and format detailed in this annex, we will aim to provide feedback within five working days. Colleges will be notified by e-mail what further action is required following incorporation, and when the revised re-creation tables and individualised file will be available from the HEFCE extranet.
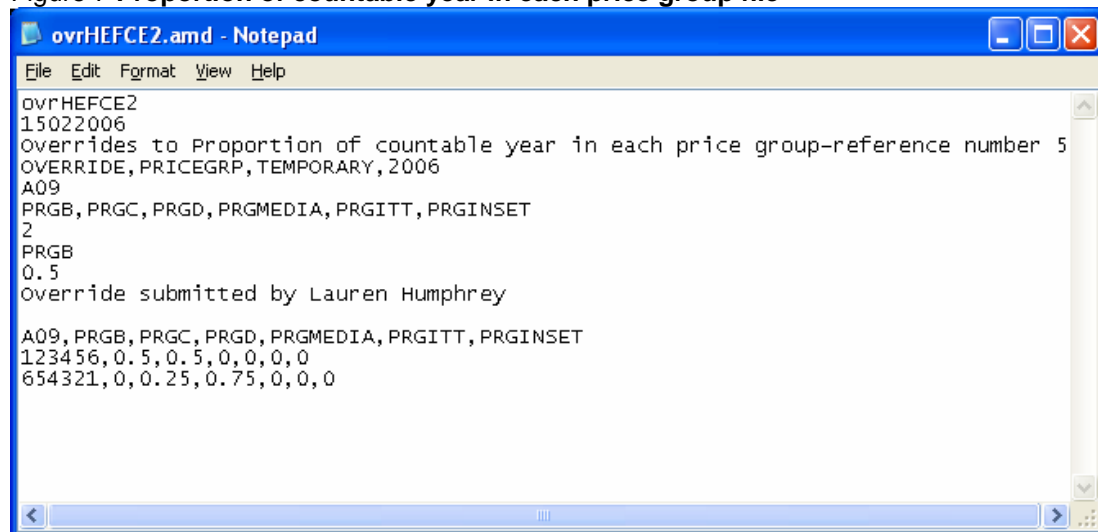
Examples of override files

Figure 6 A typical override file


```
ovrHEFCE1
15022006
Overrides to derived field HEFFEELV-reference number 2
OVERRIDE,NORMAL,PERMANENT
A09
HEFFEELV
10
RECNO
55
Override submitted by Lauren Humphrey

A09,HEFFEELV,RECNO
123456,NHS,1
123457,NHS,2
123458,NHS,3
123459,NHS,4
123450,NHS,5
123451,NHS,6
123452,NHS,7
123453,NHS,8
123454,NHS,9
123455,NHS,10
```

Figure 7 **Proportion of countable year in each price group file**


```
ovrHEFCE2
15022006
Overrides to Proportion of countable year in each price group-reference number 5
OVERRIDE,PRICEGRP,TEMPORARY,2006
A09
PRGB,PRGC,PRGD,PRGMEDIA,PRGITT,PRGINSET
2
PRGB
0.5
Override submitted by Lauren Humphrey

A09,PRGB,PRGC,PRGD,PRGMEDIA,PRGITT,PRGINSET
123456,0.5,0.5,0,0,0,0
654321,0,0.25,0.75,0,0,0
```

List of abbreviations

2004-05 ILR F04	LSC's 2004-05 July Individualised Learner Record
2004-05 ILR F05	LSC's 2004-05 December Individualised Learner Record
FAQ	Frequently asked question
FE	Further education
FEC	Further education college
FTE	Full-time equivalent
HE	Higher education
HEFCE	Higher Education Funding Council For England
HEIFES	Higher Education in Further Education: Students Survey
ILR	LSC's July Individualised Learner Record
ITT	Initial teacher training
LAD	Learning Aim Database
LSC	Learning and Skills Council
NVQ	National Vocational Qualification
QTS	Qualified teacher status
UPIN	LSC's Unique Provider Identification Number
WP	Widening participation