

February 2008/07  
Core funding/operations  
**Request for information**  
Response may be required

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This document describes the process we will use when reconciling 2006-07 data returns made to the Higher Education Statistics Agency (HESA) with other returns made to HEFCE. We will write separately to all institutions and identify significant reconciliation differences where appropriate. This report also describes how we will use HESA data to inform the widening participation allocation for 2008-09 and to inform HESES07 audits.

# 2006-07 statistics derived from HESA data for monitoring and allocation of funding



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## **2006-07 statistics derived from HESA data for monitoring and allocation of funding**

To	Heads of HEFCE-funded higher education institutions
Of interest to those responsible for	Student data, Funding, Audit, Research
Reference	<b>2008/07</b>
Publication date	February 2008
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## **Executive summary**

### Purpose

1. This document describes:
  - a. How we will use 2006-07 Higher Education Statistics Agency (HESA) student data to monitor returns made to HEFCE.
  - b. The responses required from institutions to these monitoring processes.
  - c. How we intend to use 2006-07 HESA student data to inform 2008-09 funding allocations.
2. This document, with its accompanying appendices, consists of the following sections:
  - a. The comparison of Higher Education Students Early Statistics Survey 2006-07 (HESES06) with HESA 2006-07 student data.
  - b. The comparison of institutional cost centre assignments with cost centre sector norms for subjects.
  - c. How we intend to use HESA data to inform 2008-09 widening participation (WP) allocations.
  - d. The comparison of Research Activity Survey 2006 (RAS06) with HESA 2006-07 student data.
  - e. How we intend to use HESA data to inform Higher Education Students Early Statistics Survey 2007-08 (HESES07) audits.
  - f. The comparison of co-funded employer engagement 2006-07 (CFEE06) with HESA 2006-07 student data.
  - g. Guidelines on returning action and implementation plans.

### Key points

#### *Data quality*

3. We are confident that this exercise continues to improve the data quality of returns to both HESA and HEFCE. It also increases our understanding of data quality issues that relate to these returns.

#### *Funding monitoring*

4. Generally we monitor funding returns made to HEFCE by re-creating these funding returns from HESA data. This exercise is conducted in two interrelated but distinct parts. The first is the process of reconciling, explaining and amending the data up to the point where institutions 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 occurs after an institution has signed off the re-creation, is the consideration of the final re-creation in terms of the funding adjustments to be made, and, where required, an appeals process.

5. Our funding allocations are informed by the data provided by institutions. If we find, either through reconciliations with HESA data, or any data audit, that data do not reflect the outturn position for the year, and that this has resulted in institutions receiving incorrect funding allocations (including WP), 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 HESES06 with a re-creation of HESES06 from 2006-07 HESA student data (the HESES06 re-creation); from the comparison of cost centre assignments with the sector norms for subjects (the HESES06 re-creation based on cost centre sector norms), or from the reconciliation of 2006-07 Co-funded Employer Engagement (CFEE06) with a re-creation of CFEE06 from 2006-07 HESA student data (the CFEE06 re-creation) are likely to affect the funding previously announced for 2006-07 and all subsequent years, including WP funding for 2007-08.

7. Any funding adjustments arising from the comparison of RAS6 with a re-creation of RAS06 from 2006-07 HESA student data (the RAS06 re-creation) are likely to affect the funding previously announced for 2007-08. In exceptional cases, it may also affect funding for later years, such as allocations of moderation funding.

8. In many cases the funding adjustments arising from the reconciliation may be significant. Therefore it is important for institutions to ensure that sufficient time and resources are allocated to allow the exercise to be completed accurately and promptly. If institutions have not signed off their re-creations by the deadlines given below, then we will implement any reductions to 2008-09 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 institutions to manage. The deadline is **1 September 2008** for institutions (except leads of HEFCE-recognised consortium) selected to respond to the comparison of HESES06 and the HESES06 re-creation. For institutions selected to respond to the comparison of the HESES06 re-creation and the HESES06 re-creation based on cost centre sector norms or institutions that are leads of a HEFCE-recognised funding consortium the deadline is **1 September 2008**.

#### *Annexes and appendices*

9. The annexes below describe how we will use HESA data for this exercise. The technical appendices describe the algorithms we will use.

#### **Action required**

##### Funding monitoring

10. We will write to heads of institutions, copied to HESES and RAS contacts, on **13 February 2008** specifying whether a response is required to any part of the exercise.

11. Where a response is required, action and implementation plans must be returned by **30 April 2008**.

12. The final deadline for receipt of amendments to HESA data and overrides to primary derived fields detailed in the action and implementation plans is **18 June 2008**.

### Timetable

13. The following timetable details the critical deadlines for this exercise.

13 February 2008	We issue letter to all institutions, requesting response to exercise in some cases
30 April 2008	Deadline for receipt of final action and implementation plan(s) produced by each institution required to respond
23 May 2008	Deadline for sign-off for amendments to 2006-07 HESA data for incorporation in the July provisional 2008-09 WP allocations
18 June 2008	Final deadline for sign-off for 2006-07 HESA data amendments and overrides to primary derived fields as detailed in action and implementation plan(s)
1 September 2008	For institutions asked to respond to the comparison of the HESES06 and HESES06 re-creation: deadline for confirmation that the HESES06 re-creation reasonably reflects the outturn position for 2006-07 to avoid interim grant adjustments (see paragraphs 32-36 of the Introduction)
1 September 2008	For lead institutions of a HEFCE-recognised funding consortium asked to respond to the deadline: deadline for confirmation that the HESES06 re-creation reasonably reflects the outturn position for 2006-07 to avoid interim grant adjustments (see paragraphs 32-36 of the Introduction)
1 September 2008	For institutions asked to respond to the comparison of the HESES06 re-creation and the HESES06 re-creation based on cost centre sector norms: deadline for confirmation that the HESES06 re-creation reasonably reflects the outturn position for 2006-07 to avoid interim grant adjustments

14. Table A summarises the response required for each of the comparisons, along with the possible causes of differences.

Table A **Response process for institutions required to respond**

<b>Comparison causing selection</b>	<b>Differences to explain in action and implementation plan</b>	<b>Possible causes of differences</b>
HESES06 and the HESES06 re-creation	All differences between HESES06 and the HESES06 re-creation	<p>Errors in HESA student data</p> <p>Errors/estimation discrepancies in HESES06</p> <p>Problems of fit with the HESES06 re-creation algorithms</p>
HESES06 re-creation and the HESES06 re-creation based on cost centre sector norms	All differences between the HESES06 re-creation and the HESES06 re-creation based on cost centre sector norms, to include any differences between the HESES06 and the HESES06 re-creation	<p>Errors in the HESA student data</p> <p>Errors/estimation discrepancies in HESES06</p> <p>Problems of fit with the HESES06 re-creation algorithms</p> <p>Problems of fit with the mapping for cost centre sector norms</p>
RAS06 and the RAS06 re-creation	RAS06 and the RAS06 re-creation differences	<p>Errors in the HESA student data</p> <p>Errors/estimation discrepancies in RAS06</p> <p>Problems of fit with the RAS06 re-creation algorithms</p>
CFEE06 and the CFEE06 re-creation	All differences between CFEE06 and the CFEE06 re-creation	<p>Errors in HESA student data</p> <p>Errors in CFEE06</p> <p>Problems of fit with the CFEE06 re-creation algorithms</p>



## **Introduction**

15. This document describes how we will use 2006-07 HESA student data to monitor returns made to HEFCE, to inform funding allocations and to provide derived statistics for the use of HESES07 audits. It also details the action required where either a response is requested or an institution wishes to correct errors in its HESA data.

16. This document consists of this introduction and executive summary, plus Annexes A to M. In addition, technical appendices 1 to 14 are available on the web with this document at [www.hefce.ac.uk](http://www.hefce.ac.uk) under Publications. These appendices will be of interest to readers who need to look at the algorithms used in the calculation of their derived data.

## **Annual data returns**

17. HESES and RAS data are used to determine the funding allocations made for teaching and research respectively, while CFEE data is used to inform non-mainstream co-funded employer engagement funding. HESES data is used both to monitor the year's teaching funding allocation and to determine the teaching funding allocation for the following year. RAS data is used to determine the research funding allocation for the following year. CFEE data is used to monitor the achievement of funding agreement targets for co-funded employer engagement students, and inform our allocation of teaching funds for the following year. HESA student data are used to:

- a. Monitor HESES, the assignment of activity to cost centres, RAS and CFEE. If we find, either through an institution's response to our reconciliations using HESA data, or any other method of assurance or data audit, that the HESES, RAS or CFEE 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 institution'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 HESES (for example, qualification on entry, age and postcode data for determining the WP allocations).
- c. Inform the investigations performed during HESES audits.

18. Our monitoring processes are applied consistently to all institutions. We receive HESA student data approximately 12 months after the equivalent year's HESES and RAS returns; and approximately four months after the CFEE return. We expect all institutions to have used the HESES and RAS re-creations generated by the '2006-07 statistics derived from HESA data: Guide to HEFCE web facility' (HEFCE 2007/15) to verify and correct their HESA data where appropriate before submitting their HESA returns in readiness for this exercise.

## **Monitoring funding**

### Selection thresholds and action and implementation plans

19. We employ thresholds to select which institutions must respond. For HESES, cost centre assignment monitoring and CFEE these thresholds are set in terms of the funding differences arising from the comparisons. For RAS these thresholds are set in terms of total full-time equivalences (FTEs) for eight groupings of broadly similar units of assessment (UOAs) arising from the comparisons, and the differences in funding that this activity gives rise to between the re-creation and the original return. This selection process represents a risk assessment. Primarily, this assessment is intended to identify, and thus select, those institutions whose data differences are most likely to have a material effect on their funding allocations.

20. Each institution that is selected to make a response must provide, via the HEFCE extranet, an action and implementation plan. The plan must contain specific information before we can approve it and progress with the exercise. Complete and comprehensive action and implementation plans allow us to gain a full understanding of the areas of, causes of and reasons for discrepancies. Please ensure you have understood the requirements set out in Annex J 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 institution to gather this information.

### HESES06

21. HESA 2006-07 student data will be used to monitor HESES06. A re-creation of HESES06 is generated from HESA 2006-07 student data using the methods detailed in Annex B. This re-creation is compared to HESES06 and if the discrepancies between the two data sources exceed our thresholds, the institution will be required to respond to the exercise. We also generate a re-calculated 2007-08 widening participation allocation based on HESES06 re-creation FTEs which is compared with the 2007-08 widening participation allocation based on HESES06 FTEs.

22. After both the institution 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 HESES06 re-creation reasonably reflects the outturn position for 2006-07.

### Assignment of activity to cost centres

23. HESA 2006-07 student data will be used to monitor the assignment, by institutions, of activity to cost centres and consequently price groups. This is achieved by the production of an additional re-creation of HESES06 based on cost centre sector norms for subjects (we refer to this as the HESES06 re-creation based on cost centre sector norms).

24. The HESES06 re-creation (described in paragraph 21) is compared to the HESES06 re-creation based on cost centre sector norms that is generated using the methods described in Annex C.

25. For institutions required to respond to this part of the exercise, we will not ask for explanations where subjects are assigned to cost centres that map to the same price group as the sector norm, or where the total student FTE assigned across the principal subject (that is, the first two characters of SBJ01-16 are used) is less than 100.

26. Institutions will also be asked to provide an action and implementation plan to explain the differences between HESES06 and the HESES06 re-creation.

#### RAS06

27. HESA 2006-07 student data will be used to monitor forms R1a and R1b of RAS06. A re-creation of RAS06, including the calculation of quality-related research (QR) funding, is generated from HESA 2006-07 student data using the methods detailed in Annex E.

#### CFEE06

28. HESA 2006-07 student data will be used to monitor CFEE06. A re-creation of CFEE06 is generated from HESA 2006-07 student data using the methods detailed in Annex G. This re-creation is compared to CFEE06 and if the discrepancies between the two data sources exceed our thresholds, the institution will be required to respond to the exercise.

#### Confirmation

29. Once we have requested and received confirmation that the re-creation reasonably reflects the outturn position for 2006-07, we will regenerate all the exercise's re-creations, namely the HESES06 re-creation, the HESES06 re-creation based on cost centre sector norms, the RAS06 re-creation, and the CFEE06 re-creation, to incorporate any amendments that have been made to HESA student data. We will request a further response for any of these comparisons where the selection thresholds are exceeded (unless the causes for the differences have already been explained). For example, upon receipt of confirmation that the HESES06 re-creation reasonably reflects the outturn position for 2006-07, we will ask for a further response for the comparison of RAS06 and the RAS06 re-creation, as a result of corrections to HESA student data, if the threshold for selection to the RAS06 re-creation has been exceeded.

30. Once confirmation has been asked for and received for all comparisons where a response is required, any re-creation that has been signed off will supersede its predecessor, and any consequent grant adjustments will be calculated and made (subject to the appeals process where relevant and to the availability of our funds). The thresholds we use to select institutions must not be interpreted as being the minimum grant adjustments that we might make. The latter are set out in the relevant grant adjustments publication; for 2006-07 this is 'HEFCE grant adjustments 2006-07' (HEFCE 2006/19).

## **Risk assessment**

31. The necessarily complex process of explaining and resolving differences between data sources places a considerable burden on institutions 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 institutions whose data differences are most likely to have a material effect on their funding allocations.

## **Enacting grant adjustments – interim adjustments**

32. The monitoring process can take many months to complete. In some cases in the past, by the time confirmation was received that a HESES 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 institutions 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 institutions in the circumstances set out below.

### Comparison between HESES06 and the HESES06 re-creation

33. We will reduce monthly grant payments for institutions where:

- a. We have requested a response to the comparison between HESES06 and the HESES06 re-creation; and
- b. We have not asked for, or we have asked for and not received, confirmation that the HESES06 re-creation reasonably reflects the outturn position for 2006-07 by **1 September 2008**; or **1 September 2008** for leads of HEFCE-recognised funding consortia, and
- c. The grant adjustment for 2008-09 that would result from the HESES06 re-creation position shown on **1 September 2008** (or **1 September 2008** for leads of HEFCE-recognised funding consortia) would represent a reduction in the teaching funding allocation for 2008-09.

34. In these circumstances we will adjust the 2008-09 grant using our own reasonable estimates, as at **1 September 2008** (or **1 September 2008** for leads of HEFCE-recognised funding consortia), of the final outturn position, reflecting the current HESES06 re-creation. The reduction in 2008-09 grant payments would be made through the institution's standard monthly grant payment profile.

### Comparison between the HESES06 re-creation and the HESES06 re-creation based on cost centre sector norms

35. We will reduce monthly grant payments for institutions where:

- a. We have requested a response to the comparison between the HESES06 re-creation and the HESES06 re-creation based on cost centre sector norms; and

- b. We have not asked for, or we have asked for and not received, confirmation that the HESES06 re-creation reasonably reflects the outturn position for 2006-07 by **1 September 2008**; and
- c. The grant adjustment for 2008-09 that would result from the HESES06 re-creation and/or HESES06 re-creation based on cost centre sector norms shown on **1 September 2008** would represent a reduction in the teaching funding allocation for 2008-09.

36. In these circumstances we will adjust the 2008-09 grant using our own best estimate, as at **1 September 2008**, of the final outturn position, reflecting the current HESES06 re-creation and/or the HESES06 re-creation based on cost centre sector norms. The reduction in 2008-09 grant payments would be made through the institution's standard monthly grant payment profile.

#### Final confirmation of outturn position where interim adjustments have been made

37. Subject to the appeals process and the availability of our funds, we will make further grant adjustments, both for 2008-09 and for other years as appropriate, once we ask for and receive confirmation that the HESES06 re-creation reasonably represents the outturn position for 2006-07.

#### Grant adjustments for institutions not required to respond

38. We do not gain assurance, through this exercise, regarding the reliability of either the HESES06 re-creation, the RAS06 re-creation or the CFEE06 re-creation for institutions that have not been required to respond to these exercises. For such institutions we would not expect to adjust funding allocations based on these re-creations.

#### Further monitoring

39. We may audit data for institutions that are unable to provide acceptable explanations for the causes of discrepancies in any of the comparisons.

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

### **Funding allocations**

#### Widening participation funding allocation

41. We intend to use HESA 2006-07 student data to inform the following WP funding allocations for 2008-09:

- widening access for full-time and part-time students from disadvantaged backgrounds
- widening access for disabled students
- improving retention for full-time students.

42. See Annex D for further details of the data that are likely to be used to inform the 2008-09 WP allocations.

43. Institutions have the opportunity to amend 2006-07 HESA student data used to inform the 2008-09 WP allocations. If an institution wishes to correct its 2006-07 HESA data used to inform the provisional 2008-09 WP allocations it should submit an action and implementation plan. Annex J gives guidance for completing and submitting action and implementation plans.

44. HESA will not accept amendments to 2006-07 HESA student data until it has received confirmation that we are content with the institution's action and implementation plan. Amendments should be signed off by **31 January 2008** to ensure incorporation in the March provisional 2008-09 WP allocations or **23 May 2008** to ensure incorporation in the July provisional 2008-09 WP allocations. See Annex K for details on how to submit amendments to HESA 2006-07 student data.

45. We will endeavour to incorporate any amendments to 2006-07 data signed off after 23 May 2008 in the final 2008-09 WP allocations. However institutions should be aware that there is limited availability of funds after the provisional WP allocation is announced.

#### **Derived statistics likely to inform HESES07 audits**

46. We will use 2006-07 HESA student data to identify areas of further investigation during audits of HESES07 returns. As part of the HESES07 data audits carried out by the HEFCE Assurance Service, the outcomes of two tests on 2006-07 HESA data will be used to identify areas of potential further investigation during the audit. Further details of these tests are given in Annex F and the associated files are described in Appendix 11.

#### **HEFCE web facility for 2006-07 statistics derived from HESA data**

47. On 20 June 2007 we made the HEFCE web facility for 2006-07 statistics derived from HESA data (HEFCE 2007/15) available. This facility is designed to assist institutions in returning accurate data to HESA and to identify discrepancies between forecasting in HESES06 and the outturn position for 2006-07. We believe that the web facility has contributed to a year-on-year improvement in data quality in HESA student data since it was introduced for 2001-02.

#### **HEFCE-recognised funding consortia**

48. For the lead institution of a HEFCE-recognised funding consortium, the HESES06 re-creation will incorporate data supplied by each consortium member in addition to the lead's own data submitted to HESA. Data for provision in further education colleges (FECs) included in the consortium will be sourced from the 2006-07 July Individualised Learner Record (ILR) data submitted to the Learning and Skills Council (LSC). The algorithms used to generate HESES06 re-creation data for such FECs will be published in '2006-07 statistics

derived from ILR data for the monitoring and allocation of funding in FECs', which we expect to issue in December 2007.

### **Next steps**

49. We will write to heads of institutions, copied to HESES and RAS contacts, on 13 February 2008 explaining whether a response is required to this exercise.

### **Guidance**

#### HEFCE contact

50. Each institution 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 to be sent by Anthony Ryan on 13 February 2008.

#### Action and implementation plans

51. For institutions required to respond, we will produce electronic forms for the action and implementation plan, which will contain some pre-completed information. Full guidance for producing and submitting an action and implementation plan is given in Annex J. Example action and implementation plans are also included in Appendix 13.

#### Troubleshooting

52. Appendices 2, 5 and 9 have been produced to help institutions identify the causes of discrepancies between the 2006-07 HESA student data and HESES06, HESES06 re-creation based on cost centre sector norms, and RAS06 respectively.

#### Supplementary data

53. Files can be accessed from the HEFCE extranet with details of how each student was classified in the tables. Details of how to access these files are in Annex I.

#### Frequently asked questions

54. Frequently asked questions (FAQs) for this exercise can be found on the HEFCE web-site under Questions. We encourage institutions to refer to the FAQs for guidance in the first instance. We will only use our e-mail list of HESES or RAS contacts to notify institutions of significant changes or updates.

#### SAS code

55. We use the SAS programming language to generate all the derived statistics described in this publication. The SAS code we use to do this is on the HEFCE web-site under

Learning & teaching/Data collection/Statistics derived from HESA data for monitoring and allocation of funding.

### **Comments and feedback**

56. All institutions 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 [hesa\\_heses\\_feedback@hefce.ac.uk](mailto:hesa_heses_feedback@hefce.ac.uk).

57. Notification of any grant adjustments will normally take approximately six weeks. Institutions will be given four weeks from notification of grant adjustments to submit any appeals for mitigation. Institutions will be informed of the outcome of any appeal and the final grant adjustments following consideration by the HEFCE chief executive.



## **Annex A**

### **Summary of changes since publication of HEFCE 2006/50**

#### **Purpose**

1. This annex describes the changes that have been made to the monitoring of HESA returns and guidance since the release of HEFCE 2006/50 '2005-06 statistics derived from HESA data for monitoring and allocation of funding'.

#### **HESES06 re-creation – 2007-08 WP allocation worksheets**

2. We have included two extra worksheets in the HESES06 re-creation table to show how changes to HEFCE-funded assumed FTEs resulting from the HESES06 re-creation affect the 2007-08 WP allocations. The first worksheet (WP) provides an indicative 2007-08 WP allocation based on HEFCE-funded assumed FTEs from the HESES06 re-creation. The second worksheet (hWP) provides the 2007-08 WP allocation based on HESES06 FTEs. The cover sheet shows the difference in 2007-08 WP funding allocations when based on the HESES06 re-creation against HESES06.

3. We have also included the differences between the 2007-08 WP calculations using HESES06 and HESES06 re-creation FTEs as a threshold for selection to the exercise. If we find that erroneous data have resulted in institutions receiving incorrect WP funding allocations then we will adjust their funding accordingly (subject to the appeals process and the availability of our funds).

#### **Indicative 2008-09 WP allocations**

4. The indicative 2008-09 WP allocations are based on rates used for the provisional 2008-09 WP announcement made in March 2008 and do not incorporate subsequent changes arising, for example, from amendments to 2008-09 additional student numbers (ASNs) and transfers. During 2008 we may update the rates used for the indicative WP allocations as more current information becomes available.

5. The indicative WP allocations now treat students studying for an equivalent or lower qualification (ELQ) as non-fundable. The provisional assumed FTEs for 2008-09 and the statistics derived from 2006-07 HESA student data which inform the indicative 2008-09 WP allocations have been adjusted to reflect this change.

6. The young participation rates for small areas that underpin the widening access allocation for young full-time students have been updated. Previously we used participation rate quintiles based on the young participation of people who reached 18 between 1997 and 1999. These rates were calculated for the 1991 Census small area statistics wards geography. We have updated the participation quintiles to cover young people who reached 18 between 2000 and 2004, and changed the underlying geography used to calculate the

rates to 2001 Census area statistics wards. This classification of areas covers the UK, and the quintiles are formed with reference to the UK young population.

7. We have also made some adjustments to the area groupings based on educational attainment levels used for the widening access allocation for mature full-time and young and mature part-time students. These groupings now cover 2001 Census area statistics wards throughout the UK, rather than just England and Wales, although the ranges for the quintiles are determined with reference to the English population only.

8. The 'postcode to 2001 Census area statistics ward look-up' that is used in the allocation has been updated to reflect the August 2007 release of the Office for National Statistics maintained National Statistics Postcode Directory. Changes to the way we calculate young participation rates have led to a revision of the postcodes that are excluded from the allocation because we cannot obtain robust participation rates. Additionally, for the purposes of the widening access allocations, we have formally excluded postcodes that the National Statistics Postcode Directory indicates as non-geographic (mostly large user and PO Boxes).

9. The assignment of postcodes to the young participation and educational attainment quintile groupings are provided in a file on the HEFCE web-site under Widening participation/POLAR and participation rates/POLAR2. This file includes postcodes which are excluded from the quintile mapping along with the reason for exclusion. The changes described to the measures used to inform the widening access allocation are a necessary update to the existing method and do not represent a change in the allocation method. We do not anticipate these changes to have substantial effects on the allocation.

#### **2006-07 Co-funded employer engagement (CFEE06)**

10. We have re-created CFEE06 numbers using HESA 2006-07 student data. We have compared the CFEE06 re-creation with the CFEE06 numbers. An explanation of the comparison is given in Annex G, and CFEE06 re-creation algorithms are explained in Appendix 12.

#### **Derived statistics likely to inform HESES07 audits**

11. During the audits of HESES07 we will use 2006-07 HESA student data to identify areas of further investigation. In particular we will perform two tests on 2006-07 HESA student data to identify potential non-completions. An explanation of these tests is given in Annex F, and the individualised files are described in Appendix 11.

#### **Override files**

12. The format of override files has been modified for this year's exercise. Most significantly, users should note that only certain primary derived fields may be altered using an override

file. This will allow us to maintain data integrity and a full audit trail of the derived fields that need correction. As with previous years, override files should only be supplied where there is a problem of fit with our algorithms. We have also included a new field in the individualised files, OVERRIDE, to indicate whether a record has been modified by an override file. Further guidance on the use of override files, their format, and the submission process can be found in Annex L.

### **Generating outputs from the individualised file**

13. Guidance on how to generate the outputs from the individualised files for WP can be found in Appendix 7.

### **Changes to outputs**

#### UKPRN

14. Institutions' UK provider register numbers (UKPRNs) are now returned in the outputs. The value will be returned in addition to institutions' HESA institution identifiers.

#### HESES06 re-creations – LLN model 2

15. The HESES06 re-creation will include Column 5 in Tables 1a, 2 and 3, and Column 5a in Table 3 for model 2 Lifelong Learning Network (LLN) LLN students.

#### New FTE fields

16. To facilitate analysis of the data, we now return the FTE in each price group using the new fields FTEA, FTEB, FTEC, FTED, FTEMEDIA, FTEITT and FTEINSET. These complement the fields PRGA, PRGB, PRGC, PRGD, PRGMEDIA, PRGITT and PRGINSET, which contain the proportion of the countable year in each price group.

#### HESES06 re-creation based on cost centre sector norms – cost centre sector norms difference sheet

17. We have included a new sheet in the HESES06 re-creation based on cost centre sector norms, which highlights differences between the cost centre sector norm and the cost centre returned on the HESA return for a given subject. It will only highlight differences where the total student FTE across the subject area is greater than 100 and where subjects are assigned to cost centres that map to a different price group to the sector norm.

HESES06 re-creation based on cost centre sector norms – price group and sector norm price group difference field

18. We have created a field that allows institutions to identify records where there are differences between the SNPRGA, SNPRGB, SNPRGC, SNPRGD, SNMEDIA, SNITT, SNINSET and PRGA, PRGB, PRGC, PRGD, PRGMEDIA, PRGITT, PRGINSET fields. This field is called SNDIFF and will help institutions to identify which student records contribute towards differences between the HESES06 re-creation and the HESES06 re-creation based on cost centre sector norms.

**Changes to algorithms**

19. The changes to algorithms listed here are those that have changed since '2005-06 statistics derived from HESA data for monitoring and allocation of funding' (HEFCE 2006/50).

Widening participation

20. The WP fields EDMQUIN, EDPTQUIN and YNGQUIN have been combined into a single field, WAQUIN. Accordingly, the algorithm to derive this field has been modified. Details of this change can be found in paragraph 48 of Appendix 7. Users should note that this change will not affect funding allocations; the change is solely for technical purposes.

21. As a result of the change described in paragraph 7 of this annex, the algorithms for indicating inclusion in the mature full-time widening access population (EDPOPM) and inclusion in the part-time widening access population (EDPOPPT) have been modified to include students domiciled in Scotland and Northern Ireland. Details of this change can be found in paragraphs 46 and 47 of Appendix 7.

22. As we are now able to map directly from postcode (POSTCODE) to young higher education participation quintile and adult educational attainment quintile (WAQUIN), we have removed the derived fields displaying the 1991 census ward (WARD6\_C) and 2001 census ward (CASWARD) of the student's home postcode from the individualised file WP06XXXX.ind.

23. As a result of the change described in paragraph 5 of this annex, the derived fields which indicate inclusion in the widening access and full-time improving retention populations (YNGPART, EDPOPM, EDPOPPT and EQPOP) have been modified so that students who are studying for an ELQ are not included. Additionally, for a student in any of these populations where the level of entry qualifications is not known, an appropriate proportion is removed from the field indicating inclusion in the population. Appendix 7 provides further detail on the changes to these fields; it also provides information on how we identify on the 2006-07 HESA student record which students are studying for an ELQ, and which students have an unknown-level entry qualification (ELQQENT = UNK). It also explains how we have

calculated the proportion that should be treated as non-fundable (ELQ\_PROP) for students with unknown-level entry qualifications. Note that the field which indicates inclusion in the disability allocation population (DISPOP) has not changed, as home and EC students who are classed as non-fundable (HESTYPE = HOMENF) may be included in this population.

#### Medicine, dentistry and veterinary science – undergraduates

24. The algorithm for assigning undergraduate veterinary science to price groups has changed to reflect that such students should only be included in price group A (PRGA) if they are in the final five years of a course which leads to eligibility to register to practise as a veterinary surgeon. The updated algorithm is given in paragraph 56 of Appendix 1.

25. The algorithm for assigning undergraduate clinical medicine and dentistry students to price group A (PRGA) has been modified so that only institutions with medical and dental schools can meet the criteria.

## **Annex B**

### **Comparison of HESES06 and the HESES06 re-creation**

#### **Purpose**

1. This annex details the process of making a response, where one is required, to the comparison of HESES06 and the HESES06 re-creation that has been generated from HESA 2006-07 student data. It also specifies the thresholds we have used to select institutions for response, based on discrepancies between their HESES06 and the HESES06 re-creation. Where discrepancies exceed any of the thresholds in paragraph 8 below, we require a full response through an action and implementation plan that addresses all areas of discrepancy, including those causing the selection of the institution. Guidelines for completing and submitting action and implementation plans are provided in Annex J.

#### **HESES06 re-creation tables**

2. The HESES06 re-creation tables and HESES06 tables can be accessed from the HEFCE extranet. Annex I describes how to access the Excel workbook (HESR06XXXX.xls where XXXX denotes the HESA institution identifier). The workbook contains the following worksheets.

Table B **Excel workbook 'HESR06XXXX'**

<b>Page number</b>	<b>Worksheet*</b>	<b>Title</b>
1	Coversheet	Title page
2	Summary	Summary comparison of HESES06 and the HESES06 re-creation
3	SummaryPG	Summary comparison of price group activity between HESES06 and the HESES06 re-creation
4	EXCL	Summary of students excluded from the HESES06 re-creation
5	FTS	HESES06 re-creation Table 1a: Full-time and sandwich years of programme of study
6	MED	HESES06 re-creation Table 1b: Medical and dental full-time and sandwich years of programme of study
7	SWOUT	HESES06 re-creation Table 2: Sandwich year-out years of programme of study
8	PT	HESES06 re-creation Table 3: Part-time years of programme of study and load
9	FEE	HESES06 re-creation Table 4: Home and EC fees
10	HBK	HESES06 re-creation grant adjustments
11	STD	HESES06 re-creation recalculation of standard resource
12	F06	HESES06 re-creation recalculation of assumed fee income
13	LLN	HESES06 re-creation recalculation of grant adjustments for non-mainstream model 2 LLN ASNs
14	WP	Re-calculated 2007-08 WP allocation based on FTEs from the HESES06 re-creation

<b>Page number</b>	<b>Worksheet*</b>	<b>Title</b>
15	FTSDIFF	Difference between HESES06 Table 1a and HESES06 re-creation Table 1a: Full-time and sandwich years of programme of study
16	MEDDIFF	Difference between HESES06 Table 1b and HESES06 re-creation Table 1b: Medical and dental full-time and sandwich years of programme of study
17	SWOUTDIFF	Difference between HESES06 Table 2 and HESES06 re-creation Table 2: Sandwich year-out years of programme of study
18	PTDIFF	Difference between HESES06 Table 3 and HESES06 re-creation Table 3: Part-time years of programme of study and load
19	FEEDIFF	Difference between HESES06 Table 4 and HESES06 re-creation Table 4: Home and EC fees
20	hFTS	HESES06 Table 1a: Full-time and sandwich years of programme of study
21	hMED	HESES06 Table 1b: Medical and dental full-time and sandwich years of programme of study
22	hSWOUT	HESES06 Table 2: Sandwich year-out years of programme of study
23	hPT	HESES06 Table 3: Part-time years of programme of study and load
24	hFEE	HESES06 Table 4: Home and EC fees
25	hHBK	HESES06 grant adjustments
26	hSTD	HESES06 recalculation of standard resource
27	hF06	HESES06 recalculation of assumed fee income
28	hLLN	HESES06 calculation of grant adjustments for non-mainstream model 2 LLN ASNs
29	hWP	2007-08 WP allocation based on assumed FTEs from HESES06

\* This worksheet reference corresponds to the spreadsheet tabs.

3. All the information contained in the HESES06 re-creation tables can be re-built by categorising and aggregating the data contained in the individualised file which we provide. The file (HESR06XXXX.ind) contains details, in the form of HESA and derived fields, of how each student was classified in the re-creation. A full description of the data in the individualised file is given in Appendix 1.

### **Comparison**

4. We derive a HESES06 re-creation, and hence an individualised file, by applying the algorithms detailed in Appendix 1 to HESA 2006-07 student data.

5. We compare the HESES06 re-creation to HESES06. This comparison takes place after the 2006-07 student data have been finalised with HESA.

6. We re-calculate a grant adjustment report (hHBK worksheet) for the HESES06 re-creation by applying the same formulae that were used to calculate the grant adjustment report for HESES06. We also re-calculate a 2007-08 WP allocation based on FTEs from the HESES06 re-creation.

7. We select institutions to explain discrepancies between their HESES06 and the HESES06 re-creation using a comparison of the grant adjustment reports derived from each return and also a comparison of the 2007-08 WP allocation based on FTEs from each return. Notwithstanding these thresholds, we may also ask for further information from any institution in respect of this comparison. This may result ultimately in adjustments to grant, where appropriate.

### **Selection of institutions required to respond**

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

- a. The difference in any net grant adjustment relating to contract range holdback between HESES06 and the HESES06 re-creation exceeds £500,000, or 5 per cent of total recurrent teaching funding for 2006-07.
- b. The difference in any net grant adjustment relating to ASN funding between HESES06 and the HESES06 re-creation exceeds £500,000.
- c. The difference between holdback for under-recruitment against the medical and dental contract FTE for HESES06 and the HESES06 re-creation exceeds £100,000.
- d. More than 700 students are identified with undetermined completion status and there is a difference in total recurrent teaching funding exceeding £500,000 between HESES06 and the HESES06 re-creation.
- e. The difference in model 2 LLN holdback between HESES06 and the HESES06 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 HESES06 may differ from the final grant adjustment report notified for 2006-07. Before making adjustments to an institution'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 institutions, irrespective of individual circumstances that have affected previously announced funding allocations.

### Criterion for undetermined completion status (criterion d)

10. In general, a student will only have an undetermined completion status when the final assessment for a module falls outside the academic year in which it is counted, or exceptionally, outside the year of programme of study. In either case, institutions can return students with undetermined completion status as 'year of programme of study not yet completed, but has not failed to complete' (FUNDCOMP = 3) on their 2006-07 HESA student



return. However, FUNDCOMP = 3 should only be used if the completion status for the student is undetermined on the census date of the HESA return.

11. For the purposes of the HESES re-creation we do not know whether such students are completions or non-completions. In our algorithms we assume all students with FUNDCOMP = 3 complete their year of programme of study. We believe there is a risk that our algorithms will disguise large numbers of non-completions that are returned as FUNDCOMP = 3, and so we employ a selection criterion designed to mitigate that risk. Specific guidance on our requirements is given in paragraph 28 below.

### **Action required**

12. We will write to heads of institutions, copied to HESES contacts, on 13 February 2008 specifying whether a response is required.

13. Where we require a response, an action and implementation plan must be submitted via the HEFCE extranet by 30 April 2008, detailing how the institution will reconcile the two data sources. Guidance for completing and submitting an action and implementation plan is in Annex J.

### Action and implementation plan

14. Each institution required to make a response will be asked to provide an action and implementation plan. The plan must contain specific information before we can approve it and progress with the exercise. Please ensure you have understood the requirements in Annex J.

15. If institutions do not provide satisfactory explanations for discrepancies, or do not respond within the given timescales, we may carry out further investigations. This may include visits to institutions by us or our agents, in order to gain assurances concerning one or more of the following:

- the reliability of data returns
- 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.

16. 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 2006/24) provides for the cost of such investigations to be deducted from institutions' grant.

17. We expect the explanations that institutions provide for discrepancies between the two data sources to fall into one or more of the following three categories:

- errors in HESA 2006-07 student data
- errors/estimation discrepancies in HESES06
- problems of fit with the HESES06 re-creation algorithms.

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

#### Errors in HESA data

19. If we find, either through reconciliations with HESA data, or any data audit, that the HESES submission does not reflect the final outturn position for the year, and that this has resulted in institutions receiving incorrect funding allocations, the HESES06 re-creation will supersede HESES06, and any consequent grant adjustments will be made (subject to the appeals process and the availability of our funds). Therefore it may be necessary for an institution to submit to HESA a revised 2006-07 HESA student return, which incorporates all necessary amendments to ensure it reasonably reflects the outturn position for 2006-07. Annex K details how to submit amendments to HESA data and the associated costs.

20. The procedures for the quality assurance of HESA data must take place before an institution signs off the HESA data as correct. Any resubmission of 2006-07 HESA student data to HESA after this point must be seen as exceptional.

21. Where errors are found in HESA data we require institutions to submit a revised, full and valid HESA return directly to HESA, but only once these changes have been notified to us through an action and implementation plan, and this plan has been approved.

22. We recognise that HESA returns are necessarily complicated, and that errors may occur in them. However, we expect that if institutions use the HEFCE web facility for 2006-07 statistics derived from HESA data, this will keep the number of amendments to a minimum. (See HEFCE 2007/15 for more details.)

23. We may carry out further investigations where amendments to HESA data contradict our understanding of the broad characteristics of activity at an institution.

#### Errors/estimation discrepancies in HESES06 data

24. If we find, either through reconciliations with HESA data, or any data audit, that the HESES submission does not reflect the final outturn position for the year, and this is due to errors/estimation discrepancies in the HESES return, then the HESES06 re-creation will supersede HESES06, and any consequent grant adjustments will be made (subject to the appeals process and the availability of our funds). Therefore it will not be necessary for institutions to submit corrections to their HESES06.

#### Problems of fit with the HESES06 re-creation algorithms

25. We do not expect that problems of fit with the HEFCE algorithms will fully explain the discrepancies to which institutions are required to respond. However, where a problem of fit between our algorithms and HESES06 definitions contributes to a discrepancy, an explanation will be required of where the problem occurs, and its impact, through the action

and implementation plan. Annex L details how to submit overrides to primary derived fields. Appendix 3 details all known problems of fit with the HESES06 re-creation algorithms.

26. Where problems of fit are identified and recorded in an institution's action plan, we require institutions to submit an override file to us. Institutions are strongly encouraged to submit overrides prior to the deadline of **18 June 2008** in order to ensure that, if required, any additional overrides and amendments can be submitted within this timeframe.

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

#### Criterion for undetermined completion status (criterion d)

28. Where an institution has exceeded the threshold in paragraph 8d, we require an override file to be submitted to correct the derived field HESCOMP for those students which are now known to be non-completions. (Full details of how to produce and submit override files are given in Annex L.) This is to ensure that the HESES06 re-creation is a more accurate reflection of the outturn position for 2006-07. We believe that the completion status of the majority of FUNDCOMP = 3 students should be known by the deadline for submitting overrides for primary derived fields (see the timetable in paragraph 13 of the Executive summary). Appendix 1 gives further details of the algorithm for HESCOMP, and Appendix 3 gives fuller details of the approximation in our algorithms for determining completion status.

#### **Further action**

29. Revised HESA data submitted directly to HESA, and overrides made to primary derived fields, will be used to reproduce the HESES06 re-creation. Once all overrides have been processed, and the revised 2006-07 HESA student data have been incorporated, we will review the HESES06 re-creation. If we are not content that all discrepancies between HESES06 and the HESES06 re-creation have been reasonably explained, we will ask the institution to submit a further action and implementation plan to explain any remaining discrepancies between the two data sources.

30. Once the revised HESA data and all overrides to primary derived fields have been processed, and we are content that all discrepancies between the HESES06 return and the HESES06 re-creation have been reasonably explained, we will ask the institution to confirm:

- that the HESES06 re-creation reasonably reflects the outturn position for 2006-07
- the accuracy of overrides to primary derived fields.

31. If, after processing the revised HESA data and all overrides, we are not content that all discrepancies between the HESES06 return and the HESES06 re-creation have been reasonably explained, we will ask the institution to submit a further action and implementation plan to explain any remaining discrepancies between the two data sources. It is likely that we will visit institutions to discuss remaining discrepancies.

## **Guidance**

### HEFCE contact

32. Each institution required to make a response to this exercise has been assigned a HEFCE contact, who should be the primary point of contact throughout the reconciliation process. This contact will be able to provide guidance during the response process. We will provide information to institutions about their contact in a letter to be sent by Anthony Ryan on 13 February 2008.

### Action and implementation plan

33. Guidance for completing and submitting action and implementation plans is given in Annex J. Example action and implementation plans can also be found in Appendix 13.

### Troubleshooting

34. Appendix 2 will assist with identifying the causes of discrepancies between HESES06 and the HESES06 re-creation.

### Supplementary data

35. 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 the files are given in Annex I.

### FAQs

36. FAQs for this exercise can be found on the HEFCE web-site under Questions. We encourage institutions to refer to the FAQs for guidance in the first instance. We will only use our e-mail list of HESES contacts to notify institutions of significant changes or updates.

### SAS code

37. We use the SAS programming language to generate the HESES06 re-creation. The SAS code we use to do this is on the HEFCE web-site under Learning & teaching/Data collection/Statistics derived from HESA data for monitoring and allocation of funding.

## **Comments**

38. All institutions are invited to comment on the algorithms described in Appendix 1, and to suggest how they can be improved. Comments should be e-mailed to [hesa\\_heses\\_feedback@hefce.ac.uk](mailto:hesa_heses_feedback@hefce.ac.uk).

## **Deadline for responses**

39. Action and implementation plans must be uploaded to the HEFCE extranet no later than **30 April 2008**.

40. The final deadline for sign-off for amendments to HESA data and overrides to primary derived fields, as detailed in the action and implementation plan(s) is **18 June 2008**.

## **Annex C**

### **Comparison of the HESES06 re-creation and the HESES06 re-creation based on cost centre sector norms**

#### **Purpose**

1. This annex details the process of making a response, where one is required, to the comparison of the HESES06 generated from HESA 2006-07 student data (the HESES06 re-creation), and the re-creation of HESES06 that is generated from HESA 2006-07 student data using the assignment of activity to cost centres based on sector norms for subjects (HESES06 re-creation based on cost centre sector norms).
2. To make this comparison, this exercise generates an additional HESES re-creation derived from HESA student data, similar to the re-creation described in Annex B. However, the re-creation described in Annex B uses the assignment of activity to cost centres that is provided by the institution on its HESA student record. The re-creation described in this annex is, instead, produced by using a cost centre sector norm mapping of activity to cost centres that is derived from all the HESA returns made by the sector.
3. The sector norm mapping is only applied where the total student FTE assigned by an institution across the principal subject (that is, the first two characters of SBJ01-16 are used) is greater than 100 and the price group of the sector norm cost centre differs to the cost centre recorded on the HESA record.
4. This annex also specifies the threshold we have used to select institutions required to make a response to the exercise. This threshold is based upon funding differences that arise from discrepancies between cost centre assignments and the cost centre sector norms for those subjects.
5. Where the comparison identifies funding differences that exceed the threshold in paragraph 22 of this annex, we require a full response to be made through an action and implementation plan. This should explain discrepancies between the HESES06 re-creation and the HESES06 re-creation based on cost centre sector norms.
6. The action plan must also explain discrepancies between HESES06 and the HESES06 re-creation. Guidance for completion of acceptable action and implementation plans is provided in Annex J. The action plan template for the HESES06 re-creation based on cost centre sector norms contains pre-completed fields indicating the areas where we require an explanation for differences between the two re-creations.

#### **Background**

7. Full HEFCE guidance on how institutions should assign activity to academic cost centres is contained in 'Assigning departments to academic cost centres: 2005-06' (HEFCE Circular Letter 32/2005). This can be downloaded from the HEFCE web-site under Publications/Circular letters.

8. We expect groups of staff to be assigned to the cost centres that best describe the majority of their activity. Student load on both HESES and HESA returns should therefore be returned based upon the cost centre of the member of staff most directly associated with delivering the activity.

9. For a student, studying a year of their programme of study, different modules (or equivalent) taken by the student may be assigned to different cost centres based, again, upon the members of staff delivering this activity. Where two or more members of staff from different cost centres are associated with a particular activity, then the student load should be split according to the proportion contributed by each member of staff.

10. It is possible for a single academic department to have more than one cost centre associated with it. It is not necessarily correct to assign activity to a cost centre based upon the department where the activity is physically taught, as our guidance is based upon the staff member, not the department.

11. For small groups of staff (fewer than 20 staff FTEs and where they make up less than 20 per cent of the entire cost centre) it is acceptable for disparate and lower cost activities to be grouped together rather than have their own individual cost centres.

#### **Tables for HESES06 re-creation based on cost centre sector norms**

12. The tables for the HESES06 re-creation based on cost centre sector norms can be accessed from the HEFCE extranet. Annex I describes how to access the Excel workbook SNCC06XXXX.xls (where XXXX denotes the HESA institution identifier).

The workbook contains the following worksheets.

Table C Excel workbook 'SNCC06XXXX.xls'

Page	Worksheet*	Title
1	Coversheet	Title page
2	snSummary	Summary comparison of HESES06 re-creation and the HESES06 re-creation based on cost centre sector norms
3	snSummaryPG	Summary comparison of price group activity between the HESES06 re-creation and the HESES06 re-creation based on cost centre sector norms
4	snExcl	Students excluded from the HESES06 re-creation based on cost centre sector norms
5	snDiff	Price group differences between the HESES06 re-creation based on cost centre sector norms and the HESES06 re-creation by subject area
6	snFTS	HESES06 re-creation based on cost centre sector norms Table 1a: Full-time and sandwich years of programme of study
7	snMED	HESES06 re-creation based on cost centre sector norms Table 1b: Medical and dental full-time and sandwich years of programme of study
8	snSWOUT	HESES06 re-creation based on cost centre sector norms Table 2: Sandwich year-out years of programme of study
9	snPT	HESES06 re-creation based on cost centre sector norms Table 3: Part-time years of programme of study
10	snFEE	HESES06 re-creation based on cost centre sector norms Table 4: Home and EC fees
11	snHBK	HESES06 re-creation based on cost centre sector norms grant adjustments
12	snSTD	HESES06 re-creation based on cost centre sector norms recalculation of standard resource
13	snF06	HESES06 re-creation based on cost centre sector norms recalculation of assumed fee income
14	snLLN	HESES06 re-creation based on cost centre sector norms recalculation of grant adjustments for non-mainstream model 2 LLN ASNs
15	snFTSDIFF	Difference between HESES06 re-creation based on cost centre sector norms Table 1a and HESES06 re-creation Table 1a: Full-time and sandwich years of programme of study
16	snMEDDIFF	Difference between HESES06 re-creation based on cost centre sector norms Table 1b and HESES06 re-creation Table 1b: Medical and dental full-time and sandwich years of programme of study
17	snSWOUTDIFF	Difference between HESES06 re-creation based on cost centre sector norms Table 2 and HESES06 re-creation Table 2: Sandwich year-out years of programme of study
18	snPTDIFF	Difference between HESES06 re-creation based on cost centre sector norms Table 3 and HESES06 re-creation Table 3: Part-time years of programme of study
19	FTS	HESES06 re-creation Table 1a: Full-time and sandwich years of programme of study



<b>Page</b>	<b>Worksheet*</b>	<b>Title</b>
20	MED	HESES06 re-creation Table 1b: Medical and dental full-time and sandwich years of programme of study
21	SWOUT	HESES06 re-creation Table 2: Sandwich year-out years of programme of study
22	PT	HESES06 re-creation Table 3: Part-time years of programme of study
23	FEE	HESES06 re-creation Table 4: Home and EC fees
24	HBK	HESES06 re-creation grant adjustments
25	STD	HESES06 re-creation recalculation of standard resource
26	F06	HESES re-creation recalculation of assumed fee income
27	LLN	HESES06 re-creation recalculation of grant adjustments for non-mainstream model 2 LLN ASNs

\*This worksheet reference corresponds to the spreadsheet tabs.

13. All of the information in the tables for the HESES06 re-creation based on cost centre sector norms can be re-built by categorising and aggregating the data contained in the individualised file which we provide. The file (SNCC06XXXX.ind) contains details of how each student was assigned to price groups in the re-creation in terms of HESA and derived fields. A full description of the data in the individualised file is given in Appendix 4.

### **Sector norm cost centre assignments**

14. We generated a cost centre sector norm mapping of subject activity to cost centres using HESA 2006-07 student data. To do this, we identified the cost centre to which most institutions assigned the subject activity. This was calculated as follows:

- a. For each institution, the FTE for each subject area was calculated. The first two characters of the Joint Academic Coding System (JACS) code were used to assign module activity (HESA fields SBJ01-16) to subject areas.
- b. For each institution, if the FTE of a subject area was less than 50 the activity was removed from the analysis to identify the cost centre sector norms.
- c. For each institution and each subject area, the cost centre with the largest FTE was assumed to be the institution's cost centre 'preference'.
- d. For each subject area, the cost centre with the largest number of 'preferences' was taken to be the cost centre sector norm.

15. Details of the percentage of institutions that returned the cost centre sector norm as their 'preference' for the subject area are provided in an Excel file on the HEFCE web-site under Learning & teaching/Data collection/Percentage of institutions mapping subjects in the sector norm cost centre.

### **Comparison**

16. We compare the HESES06 re-creation with the HESES06 re-creation based on cost centre sector norms.

17. We derive the HESES06 re-creation, and hence the individualised file, by applying the algorithms detailed in Appendix 1 to HESA 2006-07. We use 2006-07 HESA data to assign activity to cost centres, and consequently price groups.

18. We also derive a HESES06 re-creation based on cost centre sector norms by applying the algorithms detailed in Appendix 1 to HESA 2006-07 student data, except that cost centres, and consequently price groups, are assigned using the sector norm cost centre mapping in Appendix 4. For each institution, where HEFCE-funded FTE assigned across the principal subject area is less than 100 or the price group of the sector norm cost centre matches the price group of the cost centre on the HESA record, we do not use the sector norm cost centre mapping. In these cases we continue to assign activity to cost centres, and consequently price groups, using the institution's own 2006-07 HESA student return.

19. We calculate a grant adjustment report for both the HESES06 re-creation and the HESES06 re-creation based on cost centre sector norms. Both of these grant adjustment reports are produced by applying the same formulae that were used originally to calculate the grant adjustment report for HESES06.

20. We select institutions to explain discrepancies between their cost centre assignments and the sector norm cost centre assignments for subjects, using a comparison of the grant adjustment reports derived from each return. Notwithstanding the thresholds, we may also ask for further information from any institution in respect of any part of this comparison. This may result ultimately in adjustments to grant where appropriate.

21. During this comparison, we will incorporate any previous decisions we have made regarding individual institutions' assignments of subject activity to cost centres as a result of previous responses to this exercise.

### **Selection of institutions required to respond**

22. We will require a full, timely and detailed response from institutions where the difference in holdback for exceeding the contract range between the HESES06 re-creation and the HESES06 re-creation based on cost centre sector norms, exceeds £1,000,000.

23. In calculating the grant adjustment reports we have ignored any appeals for mitigation. Before making adjustments to an institution'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 institutions, irrespective of individual circumstances that have affected previously announced funding allocations.

### **Action required**

24. We will write to heads of institutions, copied to HESES contacts, on 13 February 2008 specifying whether a response is required.

25. Where we require a response, an action and implementation plan must be submitted via the HEFCE extranet by **30 April 2008**, detailing how the institution will reconcile differences

between HESES06, the HESES06 re-creation and the HESES06 re-creation based on cost centre sector norms. Guidance for completing and submitting an action and implementation plan is included in Annex J.

#### Action and implementation plans

26. Each institution required to make a response will be asked to provide two action plans: one to explain the differences between HESES06 and the HESES06 re-creation (please see Annex B for further details); and the other to explain the differences between the HESES06 re-creation and the HESES06 re-creation based on cost centre sector norms. This response is mandatory, regardless of whether the thresholds described in paragraph 8 of Annex B have been exceeded. The plans must contain the specific information detailed in Annex J before we can approve them and progress with the exercise. Please ensure you have understood the requirements in Annex J.

27. If institutions do not provide satisfactory explanations for discrepancies, or do not respond within the given timescales, we may carry out further investigations. This may include visits to institutions by us or our agents, in order to gain assurances concerning one or more of the following:

- the reliability of data returns
- 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.

28. 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 2006/24) provides for the cost of such investigations to be deducted from institutions' grant.

29. Paragraphs 8-9 of Annex B provide further details of the requirements for responses to the HESES06 and the HESES06 re-creation comparison.

30. We expect the explanations that institutions provide for discrepancies between the HESES06 re-creation and the HESES06 re-creation based on cost centre sector norms to fall into one or more of the following four categories:

- errors in 2006-07 HESA student data
- problems of fit with the HESES06 re-creation based on cost centre sector norms algorithms because the subject area is small
- problems of fit with the HESES06 re-creation based on cost centre sector norms algorithms because the subject area is not the primary subject area for the member of staff teaching the activity
- problems of fit with the HESES06 re-creation based on cost centre sector norms algorithms because the sector norm cost centre for the subject area is not appropriate for the activity.

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

### **Errors in HESA data**

32. If we find, either through reconciliations with HESA data, or any data audit, that the HESES submission does not reflect the final outturn position for the year, and that this has resulted in institutions receiving incorrect funding allocations, the HESES06 re-creation will supersede HESES06, and any consequent grant adjustments will be made (subject to the appeals process and the availability of our funds). Therefore it may be necessary for an institution to submit to HESA a revised 2006-07 HESA student return which incorporates all necessary amendments to ensure it reasonably reflects the outturn position for 2006-07. Annex K details how to submit amendments to HESA data and the associated cost.

33. There are two areas where we would expect the explanation of a discrepancy between the HESES06 re-creation and the HESES06 re-creation based on cost centre sector norms to be due to errors in 2006-07 HESA student data.

34. The first area where HESA data errors can affect the results of this exercise is where an institution discovers through investigation that it has returned erroneous subject information (JACS codes) on the HESA module subject fields SBJ01-16. The second area of potential HESA errors occurs where an institution discovers that it has returned erroneous cost centre information in the HESA module cost centre fields COSTCN01-16. In both cases the 2006-07 HESA student data are erroneous, regardless of cause, if their effect is inconsistent with the guidance for assigning departments to academic cost centres (HEFCE Circular Letter 32/2005), and the consequent assignment of activity to cost centres.

35. The procedures for the quality assurance of HESA data must take place before an institution signs off the HESA data as correct. Any resubmission of 2006-07 HESA student data to HESA after this point must be seen as exceptional.

36. Where errors are found in HESA data we require institutions to submit a revised, full and valid HESA return directly to HESA only once these changes have been notified to us through an action and implementation plan, and this plan has been approved.

37. We recognise that HESA returns are necessarily complicated, and that errors may occur in them. However, we expect that if institutions use the HEFCE web facility for 2006-07 statistics derived from HESA data this will keep the number of amendments to a minimum (see HEFCE 2007/15 for more details).

38. We may carry out further investigations where amendments to HESA data contradict our understanding of the broad characteristics of activity at an institution.

### **Problems of fit with the algorithms because the subject area is small**

39. If we are unable to obtain information about the staff FTE for a particular subject, our algorithms do not discriminate between cases where the staff FTE is greater or less than 20.

If we have asked for a response relating to a particular subject area where the staff FTE is less than 20, then this should be presented on the action plan but no further information needs to be included in the action plan for differences between the two re-creations for that subject area.

40. Once we are content that the explanation for a difference between the two re-creations is because the subject area is small, we will use the information from the action plan to insert an override in our algorithms. The override will assign activity for the subject area to cost centres, and consequently price groups, using the institution's 2006-07 HESA student return.

**Problems of fit with the algorithms because the subject area is not the primary subject area for the member of staff teaching the activity**

41. Staff activities define cost centres. When determining to which cost centre to assign activity, the cost centre of the member of staff most directly associated with that activity should be used. It is quite common for staff to teach small amounts of activity in subject areas that are typically taught in another department at the institution. In such cases the cost centre used should still be determined by the member of staff delivering the activity and not by the department in which the activity is being delivered. For example, a member of the engineering department may teach a module in mathematics to engineering students, where the mathematics content is integral to the engineering course. Where this is the cause of differences between the two re-creations for a particular subject area, the action plan should contain details of the name(s) of the department(s) of the members of staff teaching the activity, as well as an indication of the extent of teaching in the subject area by members of staff where this is not their primary subject area.

42. Following review of the action plan we may ask for more details about the subject content of the modules.

43. Once we are content that the explanation for a difference between the two re-creations is because the subject area is not the primary subject area for the member of staff teaching the activity, we will use the information from the action plan to insert an override in our algorithms. The override will assign activity for the subject area to cost centres, and consequently price groups, using the institution's 2006-07 HESA student return.

**Problems of fit with the algorithms because the sector norm cost centre is not appropriate for the activity**

44. For a given institution, the assignment of a particular subject area to a cost centre may be legitimately different to the majority of the sector (the sector norm) if the costs associated with delivering the activity are fundamentally different. Where this is the cause of differences between the two re-creations for a particular subject area, the action plan should contain details of the name(s) of the department(s) of the members of staff teaching the activity.

45. Following review of the action plan we may ask for more details about the typical subject content of the activity being taught by the department.

46. Once we are content that the explanation for a difference between the two re-creations is because the sector norm cost centre is not appropriate for the activity, we will use the information from the action plan to insert an override in our algorithms. The override will assign activity for the subject area to cost centres, and consequently price groups, using the institution's 2006-07 HESA student return.

### **Further action**

47. Revised HESA data submitted directly to HESA and overrides made to primary derived fields will be used to reproduce the HESES06 re-creation and the HESES06 re-creation based on cost centre sector norms. Once all overrides have been processed, and the revised 2006-07 HESA student data have been incorporated, we will review the HESES06 re-creation. If we are not content that all discrepancies between HESES06, the HESES06 re-creation and the HESES06 re-creation based on cost centre sector norms have been reasonably explained, we will ask the institution to submit a further action and implementation plan to explain any remaining discrepancies between the two data sources.

48. Once we are content that all discrepancies between the HESES06 return, the HESES06 re-creation and the HESES06 re-creation based on cost centre sector norms have been reasonably explained, we will ask the institution to confirm that the HESES06 re-creation reasonably reflects the outturn position for 2006-07.

49. Once confirmation has been received we will generate a RAS06 re-creation, to incorporate any amendments that have been made to HESA 2006-07 student data. We will request a further response where the selection threshold for the comparison of HESA 2006-07 student data with the RAS06 re-creation is exceeded.

### **Guidance**

#### HEFCE contact

50. Each institution required to make a response to this exercise has been assigned a HEFCE contact, who should be the primary point of contact throughout the reconciliation process. This contact will be able to provide guidance during the response process. We will provide information to institutions about their contact in a letter from Anthony Ryan on 13 February 2008.

#### Action and implementation plan

51. Guidance for completing and submitting action and implementation plans is given in Annex J. Example action and implementation plans can also be found in Appendix 13.

#### Troubleshooting

52. Appendix 5 will assist with identifying the causes of discrepancies between the HESES06 re-creation and the HESES06 re-creation based on cost centre sector norms.

### Supplementary data

53. 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 the files are given in Annex I.

### FAQs

54. FAQs for this exercise can be found on the HEFCE web-site under Questions. We encourage institutions to refer to the FAQs for guidance in the first instance. We will only use our e-mail list of HESES contacts to notify institutions of significant changes or updates.

### SAS code

55. We use the SAS programming language to generate the HESES06 re-creation. The SAS code we use to do this is on the HEFCE web-site under Learning & teaching/Data collection/Statistics derived from HESA data for monitoring and allocation of funding.

### **Comments**

56. All institutions are invited to comment on the algorithms described in Appendix 1, and to suggest how they can be improved. Comments should be e-mailed to [hesa\\_heses\\_feedback@hefce.ac.uk](mailto:hesa_heses_feedback@hefce.ac.uk).

### **Deadline for responses**

57. Action and implementation plans must be submitted no later than **30 April 2008**.

58. The final deadline for sign-off for amendments to 2006-07 HESA data amendments and overrides to primary derived fields as detailed in action and implementation plans is **18 June 2008**.

## **Annex D**

### **Derived statistics likely to inform the 2008-09 WP allocations**

#### **Purpose**

1. This annex describes how we have used 2006-07 HESA data to inform the WP allocations for 2008-09. Further details of the algorithms are provided in Appendix 7.

#### **Derived statistics outputs**

2. Annex I describes how to access the derived statistics used to inform the 2008-09 WP allocations in an Excel workbook (WP06XXXX.xls – where XXXX denotes the HESA institution identifier).

3. The WP derived statistics can be re-built from the individualised file which we provide (WP06XXXX.ind – see Annex I for details on how to obtain this file). The file contains details of how each student was categorised in the indicative WP allocations and, where relevant, details of why they did not contribute. A full description of the data in the individualised file is given in Appendix 7 along with instructions on how to re-build the figures in the WP derived statistics and indicative allocations spreadsheet.

#### **Indicative funding calculations**

4. We have generated an indicative 2008-09 funding calculation for each of the WP allocations. The calculations use provisional 2008-09 allocation rates applied to provisional 2008-09 assumed FTEs in most cases. They may not incorporate 2008-09 additional student numbers, transfers or mergers. For most institutions the indicative 2008-09 WP allocations will match the provisional 2008-09 WP allocations that were announced in March 2008. However, during 2008 we may update the rates used for the indicative WP allocations as more current information becomes available.

5. The indicative allocations for 2008-09 are provided solely to highlight potential errors in 2006-07 HESA student data. They should not be considered as any kind of funding commitment by HEFCE and are without prejudice to what our Board may agree to be the final allocations for any institution. The final allocations for 2008-09 may be higher or lower than the illustrations given in this output, as a result of changes to data by the institution or to the data provided by any other institution, or to the total sum available for allocation, or as a result of any refinements of the funding methods.

6. WP funding allocations are informed by the data provided by institutions. If we find that data errors have resulted in institutions receiving incorrect funding allocations, then we will adjust their funding accordingly. In particular, where reconciliations with 2006-07 HESA data (see Annex B) or HESES06 audit highlight that the assumed FTEs used to allocate 2008-09 WP funding were incorrect, then we will adjust WP funding accordingly, subject to the availability of HEFCE funds.



## Widening access for students from disadvantaged backgrounds

7. 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 method of allocating funds is as follows.

8. Using postcode information from 2006-07 HESA student data, each student is mapped to a 2001 Census area statistic ward. These wards are themselves assigned to quintiles based on young participation rates (used for young full-time students) and quintiles based on the proportion of 16-74 year-olds with an HE qualification (for mature full-time, and young and mature part-time undergraduates). Each student is weighted according to the relevant quintile assignment of their ward (see Table D).

Table D **Student weighting**

<b>Quintile</b>	<b>Weighting</b>
1 Lowest young HE participation (young full-time) or lowest average adult HE attainment (part-time and mature full-time)	2
2	1
3, 4, 5	0

9. Young students are those aged under 21 on entry to a programme of study; mature students are those aged 21 or over on entry.

10. The young HE participation quintiles are based on an extension to our work on measuring young participation (see 'Young participation in higher education', HEFCE 2005/03) that will be published in 2008. These updated rates are based on young people who reached 18 between 2000 and 2004 and entered a higher education course in the UK aged 18 or 19. Young participation rates are calculated for each 2001 Census area statistics ward in the UK and used to rank the wards into five participation quintiles, each containing 20 per cent of the UK young population for this period.

11. The adult HE attainment quintiles are based upon 2001 Census area statistics. We use the national equivalents of the 2001 Census Key Statistics table 13 (KS013, 'Qualifications and students') for 2001 Census Output Areas (subsequently aggregated to 2001 Census area statistics wards). These tables can be obtained from the Office for National Statistics, the General Register Office for Scotland (GROS) and the Northern Ireland Statistics and Research Agency (NISRA). We calculate the proportion of 16-74 year-olds with an HE qualification for UK 2001 Census small area statistics wards. These wards are then ranked by this proportion to give the adult HE attainment quintiles, with each quintile covering 20 per cent of the English 16-74 year-old population.

12. We allocate postcodes to 2001 Census area statistics wards using the August 2007 release of the Office for National Statistics National Statistics Postcode Directory. A file containing the allocation of postcode to young participation and adult HE attainment quintiles is available on the HEFCE web-site under Widening participation/POLAR and participation rates/POLAR2. This file includes postcodes which are excluded from the quintile mapping along with the reason for exclusion (including non-geographic postcodes).

13. Part-time and mature students who already hold a higher education qualification at the same level as, or higher than, their current qualification aim, or have unknown entry qualifications<sup>1</sup>, are given a weighting of zero, irrespective of their postcode.

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

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

15. The population is defined as:

- for young full-time undergraduates: HEFCE-funded UK-domiciled new entrants that generate a Column 4 countable year in the HESES06 re-creation
- for mature full-time undergraduates: HEFCE-funded UK-domiciled new entrants that generate a Column 4 countable year in the HESES06 re-creation
- for part-time undergraduates: HEFCE-funded UK-domiciled new entrants that generate a Column 4 countable year in the HESES06 re-creation.

16. Some students are excluded from the population defined above:

- those with a postcode that has been identified in our young participation analysis as being associated with an unfeasible number of young entrants in relation to our population estimates. Typically this would be a postcode relating to a boarding school
- those whose postcode is marked as a non-geographic postcode in the National Statistics Postcode Directory
- those with a postcode that, although valid, is not mapped to the required Census 2001 geography in the National Statistics Postcode Directory
- students studying for an ELQ, plus a corresponding proportion of students with entry qualifications of unknown level who are assumed to be studying for an ELQ.

17. These excluded students (with the exception of those studying for an ELQ and a corresponding proportion of students with entry qualifications of unknown level who are assumed to be studying for an ELQ) are counted in the FTEs in the next step (see paragraph 18), and therefore receive an average weight for the purpose of allocating funds.

18. Both average weights derived from the calculation referred to in paragraph 14 are London weighted (8 per cent for inner London and 5 per cent for outer London) and applied to the appropriate assumed undergraduate (including foundation degree) FTEs for 2008-09 (which may not incorporate all 2008-09 additional student numbers, transfers or mergers).

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<sup>1</sup> This may differ slightly from students who study for an ELQ, where a proportion of students with entry qualifications of unknown level are removed from the population – see paragraphs 15 and 16 of this annex

## Improving retention

### Full-time students

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

20. Using age and entry qualification information from 2006-07 HESA student data, full-time UK-domiciled undergraduate new entrants (excluding students studying for an ELQ and a corresponding proportion of students with entry qualifications of unknown level who are assumed to be studying for an ELQ) are assigned to one of six risk categories which are then weighted (see Table E). Students are only part of the population if they generate a HEFCE-fundable Column 4 countable year in the HESES06 re-creation.

Table E Risk category weightings

	Young	Mature
<b>Low risk</b>	0	0
<b>Medium risk</b>	1	1.5
<b>High risk</b>	1.5	2.5

21. For this allocation, mature students are those aged 21 or over on entry. The assignment of students to one of the six risk categories based on entry qualifications is shown in Table F.

Table F Assignment of students to risk categories

	Young	Mature
<b>Low risk</b>	<ul style="list-style-type: none"> <li>• A-levels/Highers/vocational A-levels with more than 260 or unknown* tariff points</li> <li>• Baccalaureate</li> <li>• Degree or higher</li> <li>• Unknown qualifications<sup>†</sup></li> </ul>	<ul style="list-style-type: none"> <li>• A-levels/Highers/vocational A-levels with more than 320 or unknown* tariff points</li> <li>• Degree or higher</li> <li>• Unknown qualifications<sup>†</sup></li> </ul>
<b>Medium risk</b>	<ul style="list-style-type: none"> <li>• A-levels/Highers/vocational A-levels with between 161 and 260 tariff points</li> <li>• Foundation course</li> <li>• Vocational A-levels only</li> <li>• Other HE qualification (below degree level)</li> </ul>	<ul style="list-style-type: none"> <li>• A-levels/Highers/vocational A-levels with between 1 and 320 tariff points</li> <li>• Other HE qualification (below degree level)</li> <li>• Foundation course</li> <li>• Access course</li> <li>• Vocational A-levels only</li> </ul>
<b>High risk</b>	<ul style="list-style-type: none"> <li>• A-levels/Highers/vocational A-levels with between 1 and 160 tariff points</li> <li>• BTEC</li> <li>• Access course</li> <li>• Other qualifications</li> <li>• No qualifications</li> </ul>	<ul style="list-style-type: none"> <li>• BTEC</li> <li>• Baccalaureate</li> <li>• Other qualifications</li> <li>• No qualifications</li> </ul>

\* New entrants whose highest qualification on entry are A-levels but who did not enter via UCAS (the universities and colleges admissions body) and so do not have tariff points recorded, are allocated to medium risk.

† New entrants with unknown entry qualifications or an unknown UCAS tariff are given a zero weighting, and are identified in a separate category in the individualised file and indicative allocations spreadsheet to aid with data checking. Institutions should ensure that highest qualification on entry is recorded if students are to be weighted appropriately in the allocation method for this stream of funding.

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

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

23. The average weight derived from the calculation in paragraph 22 is given a London weighting (8 per cent for inner London and 5 per cent for outer London) and applied to the assumed full-time undergraduate (including foundation degree) FTEs for 2008-09 (which may not incorporate all 2008-09 additional student numbers, transfers or mergers).

#### Part-time students

24. The part-time allocation is distributed pro rata to London-weighted (8 per cent for inner London and 5 per cent for outer London) part-time undergraduate (including foundation degree) assumed FTEs for 2008-09 (which may not incorporate all 2008-09 additional student numbers, transfers or mergers).

## Widening access for students with disabilities

25. We also allocate funding for widening access of students with disabilities. This allocation is calculated using HESA 2006-07 student data as follows.

26. Firstly, we calculate for each institution the proportion of eligible home and EC students who were in receipt of the Disabled Students' Allowance (DSA). These proportions are then ranked and split into quartiles. Students are only part of the population if they generate a Column 4 countable year in the HESES06 re-creation.

27. Next, each institution is assigned to one of the four quartiles according to the proportion of students in receipt of the DSA as calculated in paragraph 26, although this is smoothed to ensure that no institution falls by more than one quartile from the previous year. Separate weightings are attached to each of the four quartiles, as follows.

Table G **Quartile weightings**

<b>Quartile</b>	<b>Weighting</b>
A (lowest proportion)	1
B	2
C	3
D (highest proportion)	4

28. Finally, institutions' share of the allocation is pro rata to the assumed (including foundation degree) FTEs for 2008-09 (which may not incorporate all 2008-09 additional student numbers, transfers or mergers), weighted according to the quartile in which they fall and a London weighting (8 per cent for inner London and 5 per cent for outer London), although a minimum allocation of £10,000 per HEI applies.

## Errors in 2006-07 HESA data

29. The quality assurance of 2006-07 HESA data should be completed before an institution signs off its 2006-07 HESA data. Any amendments accepted after this point to recalculate funding should be seen as exceptional, and not as part of quality assurance procedures.

30. Amendments to 2006-07 HESA data will incur a charge of 20 per cent of an institution's HESA annual subscription fee. See HESA Student Circular 07/03 ([www.hesa.ac.uk/index.php/content/view/494/233/](http://www.hesa.ac.uk/index.php/content/view/494/233/)) for further details of this charge.

31. If institutions wish to correct their 2006-07 HESA data used to inform the 2008-09 WP allocations in July 2008, they should submit an action and implementation plan. Annex J gives guidance on completing and submitting action and implementation plans. The action plan must be completed in the correct format as shown in the example in Appendix 13.

32. HESA will not accept amendments to 2006-07 HESA student data until it has received confirmation that we are content with the institution's action and implementation plan. Amendments should be signed off by **23 May 2008** to ensure incorporation in the provisional 2008-09 WP allocations in July 2008. See Annex K for details on how to submit amendments to HESA 2006-07 student data and the associated costs.

33. We will endeavour to incorporate any amendments to 2006-07 HESA data signed off after 23 May 2008 in the final 2008-09 WP allocations. However institutions should be aware that there is limited availability of funds after the provisional WP allocation is announced.

34. We may carry out an investigation where amendments contradict our understanding of the broad characteristics of activity at an institution.

## Annex E Comparison of RAS06 and the RAS06 re-creation

### Purpose

1. This exercise generates a re-creation of the RAS06 return, using HESA 2006-07 student data for each institution. This annex details the process of making a response, where one is required, to the comparison of RAS06 and the RAS06 re-creation. It also specifies the threshold we have used to select institutions for response, based on discrepancies between their RAS06 and RAS06 re-creation. Where an institution's data leads to discrepancies which exceed the threshold, we require a full response through an action and implementation plan. Guidance for completing an acceptable action and implementation plan is provided in Annex J.

### RAS06 re-creation tables

2. The RAS06 re-creation tables and RAS06 tables can be accessed from the HEFCE extranet. Annex I describes how to access the Excel workbook RASR06XXXX.xls (where XXXX denotes the HESA institution identifier). The workbook contains the following worksheets.

Table H Excel workbook 'RASR06XXXX.xls'

Page number	Worksheet (see tabs on spreadsheet)	Description
1	Coversheet	Title page
2	R1A	RAS06 re-creation – Form R1a: Fundable home and EC fee-paying full-time research students by year of programme
3	R1B	RAS06 re-creation – Form R1b: Fundable home and EC fee-paying part-time research students by year of programme
4	FUNDS	Re-created calculation of Research Degree Programme (RDP) supervision funding for 2007-08 using provisional HESA 2006-07 student data and other HEFCE research funding data
5	Summary	Summary comparison of RAS06 and the provisional RAS06 re-creation (fundable home and EC fee-paying students, years 1-3 FT, 1-6 PT)
6	Summary by subject groupings	Summary comparison of RAS06 and the provisional RAS06 re-creation (fundable home and EC fee-paying students, years 1-3 FT, 1-6 PT) by broad subject group
7	rR1A	RAS06 Form R1a: Fundable home and EC fee-paying full-time research students by year of programme

<b>Page number</b>	<b>Worksheet (see tabs on spreadsheet)</b>	<b>Description</b>
8	rR1B	RAS06 Form R1b: Fundable home and EC fee-paying part-time research students by year of programme
9	rFUNDS	RAS06 calculations of Research Degree Programme (RDP) supervision funding for RAS06 student data and other HEFCE research funding data
10	Broad subject groups	Mapping of units of assessment (UOAs) to broad subject groups used for comparison tables
11	Research cost bands	Assignment of units of assessment to research cost bands

\* The worksheet name corresponds to the spreadsheet tabs.

3. All the information contained in the RAS06 re-creation tables can be built by categorising and aggregating the data contained in the individualised file which we provide. The file (RASR06XXXX.ind) contains details of how each student was classified in the re-creation. A full description of the data in the individualised file is given in Appendix 8.

### **Comparison**

4. We derive a RAS06 re-creation of forms R1a, R1b and the accompanying individualised file, by applying the algorithms detailed in Appendix 8 to the HESA 2006-07 student data.

5. We compare the RAS06 re-creation to RAS06. This comparison takes place after the 2006-07 student data have been finalised with HESA.

6. We re-calculate the 2007-08 research grant from the RAS06 re-creation by applying the same formulae that were used to calculate it from RAS06. Further information about research funding is provided in Appendix 8.

7. We assign each UOA to one of eight subject groups. The assignments of UOAs to subject groups are given in Appendix 8.

8. We select institutions to explain discrepancies between their RAS06 and RAS06 re-creation where there are significant differences over the eight subject groups between RAS06 and the RAS06 re-creation. Notwithstanding the thresholds, we may also ask for further information from any institution in respect of this comparison.

### **Selection of institutions required to respond**

9. We will require a full, timely and detailed response from institutions where the following threshold is exceeded: the sum of the absolute difference between RAS06 and the RAS06 re-creation over eight subject groups exceeds 250 FTEs and 30 per cent as a percentage of total FTEs.



## **Action required**

10. We will write to heads of institutions, copied to RAS contacts, on 13 February 2008 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 **30 April 2008**, detailing how the institution will reconcile the two data sources. Guidance for submitting an action and implementation plan is included in Annex J.

### Action and implementation plan

12. Each institution required to make a response will be asked to provide an action and implementation plan. The plan must contain specific information before we can approve it and progress with the exercise. Please ensure you have understood the requirements in Annex J.

13. If institutions do not provide satisfactory explanations for discrepancies, or do not respond within the given timescales, we may carry out further investigations. This may include visits to institutions by us or our agents, in order to gain assurances concerning one or more of the following:

- the reliability of data returns
- the methodologies used 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.

15. Paragraph 28a of the Financial Memorandum (HEFCE 2006/24) provides for the cost of such investigations to be deducted from institutions' grant.

16. We expect explanations provided by institutions for discrepancies between the two data sources to fall into one or more of the following three categories:

- errors in HESA 2006-07 student data
- errors in RAS06
- problems of fit with the RAS06 re-creation algorithms.

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

### Errors in HESA data

18. Where errors are found in RAS06, the RAS06 re-creation will supersede RAS06, and any consequent grant adjustments may be made (subject to the appeals process and the availability of our funds). Therefore it may be necessary to submit to HESA a full valid HESA

return which incorporates all necessary amendments to ensure the HESA data reasonably reflect the outturn position for 2006-07. Annex K details how to submit amendments to HESA data and the associated costs.

19. The procedures for the quality assurance of HESA data must take place before an institution signs off the HESA data as correct. Any resubmitting of a HESA return to HESA after this point must be seen as exceptional.

20. Where errors are found in HESA data we require institutions to submit a revised, full and valid HESA return directly to HESA. This should be done only once these changes have been notified to HEFCE on the action and implementation plan, and this plan has been approved.

21. Institutions are strongly encouraged to make the resubmission to HESA well before the deadline of **18 June 2008**, in order to ensure that, if required, any additional amendments are submitted within this timeframe.

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

#### Errors in RAS06 data

23. Where errors are found in RAS06, the RAS06 re-creation will supersede RAS06, and any consequent grant adjustments may be made (subject to the appeals process and the availability of our funds). Therefore it will not be necessary for institutions to submit corrections to their RAS06.

#### Problems of fit with the RAS06 re-creation algorithms

24. We do not expect that problems of fit with the HEFCE algorithms will fully explain the discrepancies which institutions are required to respond to. However, where a problem of fit between our algorithms and RAS06 definitions contributes to a discrepancy, evidence will be required of where the problem occurs, and its impact, with details on the action and implementation plan. Appendix 10 gives all known problems of fit with the RAS06 re-creation algorithms.

25. Where problems of fit are identified we require institutions to submit an override file to HEFCE. Institutions are strongly encouraged to submit overrides before the deadline of **18 June 2008** in order to ensure that, if required, any additional overrides and amendments can be submitted within this timeframe.

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

27. Where problems of fit are identified with the mapping of subjects to UOAs, once we have been informed of, and agree to, the problem of fit, we will construct an override file. This will be implemented when the institution has approved the file.

### **Further action**

28. Amendments to HESA data and overrides to primary derived fields will be used to update the RAS06 re-creation. Once all amendments/overrides have been processed, if we are not content that all discrepancies between the RAS06 return and the re-creation have been reasonably explained, we will ask the institution to submit a further action and implementation plan to explain any remaining discrepancies between the two data sources.

29. Once all amendments to HESA data and overrides to primary derived fields have been processed, and we are content that all discrepancies between the RAS06 return and the re-creation have been reasonably explained, we will ask the institution to confirm that the RAS06 re-creation reasonably reflects the outturn position for 2006-07.

30. Once confirmation has been received we will generate both a HESES06 re-creation and a HESES06 re-creation based on cost centre sector norms to incorporate any amendments made to HESA 2006-07 student data. We will request a further response where the threshold is exceeded for the comparisons of HESA 2006-07 student data with either HESES06 or the HESES06 re-creation based on cost centre sector norms.

### **Guidance**

#### HEFCE contact

31. Anthony Ryan is the assigned HEFCE contact for all institutions that are required to make a response to the comparison of RAS06 and the RAS06 re-creation exercise. He will provide guidance during the response process, and should be the primary point of contact throughout the reconciliation process.

#### Action and implementation plan

32. Guidance for completing the action and implementation plan is given in Annex J. An example action and implementation plan is also provided in Appendix 13.

#### Troubleshooting

33. Appendix 9 will assist with identifying the causes of discrepancies between RAS06 and the RAS06 re-creation.

#### FAQs

34. FAQs for this exercise can be found on the HEFCE web-site under Questions. We encourage institutions to refer to the FAQs for guidance in the first instance. We will only use our e-mail list of RAS contacts to notify institutions of significant changes or updates.

### SAS code

35. We use the SAS programming language to generate the RAS06 re-creation. The SAS code we use to do this can be found on the HEFCE web-site under Learning & teaching/Data collection/Statistics derived from HESA data for monitoring and allocation of funding.

### **Comments**

36. All institutions are invited to comment on the algorithms described in Appendix 8, and to suggest how they can be improved. Comments should be e-mailed to [hesa\\_heses\\_feedback@hefce.ac.uk](mailto:hesa_heses_feedback@hefce.ac.uk).

### **Deadline for responses**

37. Action and implementation plans must be submitted no later than **30 April 2008**.

38. The final deadline for sign-off for amendments to HESA data and overrides to primary derived fields as detailed in the action and implementation plans is **18 June 2008**.

## **Annex F**

### **Derived statistics likely to inform HESES07 audits**

#### **Purpose**

1. We will use 2006-07 HESA student data to identify areas of further investigation during the audits of HESES07. As part of the HESES07 data audits carried out by the HEFCE Assurance Service the outcomes of two tests on 2006-07 HESA data will be used to identify areas of potential further investigation during the audit.
2. The two tests are as follows:
  - Test 1 – potential non-completions: we will produce a list of Column 4 HEFCE-funded students returned as completions in the 2006-07 HESA return that, according to HESA data, left during 2006-07 without obtaining a qualification.
  - Test 2 – potential non-completions: we will produce a list of Column 4 HEFCE-funded students returned as completions in the 2005-06 HESA return that either do not appear on the 2006-07 HESA student record or appear in the 2006-07 HESA return but have an FTE of zero.
3. During 2008 we may also develop tests to identify students that have potentially been returned with inflated FTE on the 2006-07 HESA return. As we develop these tests we will share them with our Assurance Service for piloting during the HESES07 data audits.
4. The lists generated from the two tests can be found in two individualised files AUD106XXXX.ind and AUD206XXXX.ind respectively. The files contain details, in the form of HESA and derived fields, of how each student was classified for the purpose of the tests, and therefore why they are included in the list. Full descriptions of the data in the individualised files are given in Appendix 11.

## Annex G

### Comparison of 2006-07 co-funded employer engagement (CFEE06) and the CFEE06 re-creation

#### Purpose

1. This annex details the process of making a response, where one is required, to the comparison of CFEE06 and the CFEE06 re-creation that has been generated from HESA 2006-07 student data. It also specifies the thresholds we have used to select institutions for response, based on discrepancies between their CFEE06 and the CFEE06 re-creation. Where discrepancies 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, including those causing the selection of the institution. Guidelines for completing and submitting action and implementation plans are provided in Annex J.

#### CFEE06 re-creation tables

2. The CFEE06 re-creation tables and CFEE06 tables can be accessed from the HEFCE extranet. Annex I describes how to access the Excel workbook (CFEE06XXXX.xls where XXXX denotes the HESA institution identifier). The workbook contains the following worksheets.

Page number	Worksheet *	Title
1	Coversheet	Title page
2	COFUND	CFEE06 re-creation table
3	HCOFUND	CFEE06 table

\* This worksheet reference corresponds to the spreadsheet tabs.

3. All the information contained in the CFEE06 re-creation tables can be re-built by categorising and aggregating the data contained in the individualised file which we provide. The file (CFEE06XXXX.ind) contains details, in the form of HESA and derived fields, of how each student was classified in the re-creation. A full description of the data in the individualised file is given in Appendix 12.

#### Comparison

4. We derive a CFEE06 re-creation, and hence a CFEE06 individualised file, by applying the algorithms detailed in Appendix 12 to HESA 2006-07 student data.

5. We compare the CFEE06 re-creation to CFEE06. This comparison takes place after the 2006-07 student data have been finalised with HESA.

6. Where appropriate we re-calculate the 'funds to be held back' for the CFEE06 re-creation by applying the same formulae that were used to calculate the funds to be held back for CFEE06.

7. We select institutions to explain discrepancies between their CFEE06 and the CFEE06 re-creation using a comparison of the funds to be held back calculations derived from each return. Notwithstanding these thresholds, we may also ask for further information from any institution in respect of this comparison. This may result ultimately in adjustments to grant, where appropriate.

#### **Selection of institutions required to respond**

8. We will require a full, timely and detailed response from institutions where the difference in funds to be held back between CFEE06 and the CFEE06 re-creation exceeds £500,000.

#### Action required

9. We will write to heads of institutions, copied to HESES contacts, on 13 February 2008 specifying whether a response is required.

10. Where we require a response, an action and implementation plan must be submitted via the HEFCE extranet by **30 April 2008**, detailing how the institution will reconcile the two data sources. Guidance for completing and submitting an action and implementation plan is in Annex J.

#### Action and implementation plan

11. Each institution required to make a response will be asked to provide an action and implementation plan. The plan must contain specific information before we can approve it and progress with the exercise. Please ensure you have understood the requirements in Annex J.

12. If institutions do not provide satisfactory explanations for discrepancies, or do not respond within the given timescales, we may carry out further investigations. This may include visits to institutions by us or our agents, in order to gain assurances concerning one or more of the following:

- the reliability of data returns
- 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.

13. 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 2006/24) provides for the cost of such investigations to be deducted from institutions' grant.

14. We expect the explanations that institutions provide for discrepancies between the two data sources to fall into one or more of the following three categories:

- errors in HESA 2006-07 student data
- errors in CFEE06
- problems of fit with the CFEE06 re-creation algorithms.

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

### **Errors in HESA data**

16. If we find, either through reconciliations with HESA data, or any data audit, that the CFEE06 submission does not reflect the final outturn position for the year, and that this has resulted in institutions receiving incorrect funding allocations, the CFEE06 re-creation will supersede CFEE06, and any consequent grant adjustments will be made. Therefore it may be necessary for an institution to submit to HESA a revised 2006-07 HESA student return, which incorporates all necessary amendments to ensure it reasonably reflects the outturn position for 2006-07. Annex K details how to submit amendments to HESA data and the associated costs.

17. The procedures for the quality assurance of HESA data must take place before an institution signs off the HESA data as correct. Any resubmissions of 2006-07 HESA student data to HESA after this point must be seen as exceptional.

18. Where errors are found in HESA data we require institutions to submit a revised, full and valid HESA return directly to HESA, but only once these changes have been notified to us through an action and implementation plan, and this plan has been approved.

19. We may carry out further investigations where amendments to HESA data contradict our understanding of the broad characteristics of activity at an institution.

### **Errors in CFEE06 data**

20. If we find, either through reconciliations with HESA data, or any data audit, that the CFEE06 submission does not reflect the final outturn position for the year, and this is due to errors in the CFEE06 return, then the CFEE06 re-creation will supersede CFEE06, and any consequent grant adjustments will be made. Therefore it will not be necessary for institutions to submit corrections to their CFEE06.

### **Problems of fit with the CFEE06 re-creation algorithms**

21. We do not expect that problems of fit with the HEFCE algorithms will fully explain the discrepancies to which institutions are required to respond. However, where a problem of fit between our algorithms and CFEE06 definitions contributes to a discrepancy, an explanation will be required of where the problem occurs, and its impact, through the action and implementation plan. Annex L details how to submit overrides to primary derived fields.



22. Where problems of fit are identified and recorded in an institution's action plan, we require institutions to submit an override file to us. Institutions are strongly encouraged to submit overrides prior to the deadline of **18 June 2008** in order to ensure that, if required, any additional overrides and amendments can be submitted within this timeframe.

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

### **Further action**

24. Revised HESA data submitted directly to HESA, and overrides made to primary derived fields, will be used to reproduce the CFEE06 re-creation. Once all overrides have been processed, and the revised 2006-07 HESA student data have been incorporated, we will review the CFEE06 re-creation. If we are not content that all discrepancies between CFEE06 and the CFEE06 re-creation have been reasonably explained, we will ask the institution to submit a further action and implementation plan to explain any remaining discrepancies between the two data sources.

25. Once the revised HESA data and all overrides to primary derived fields have been processed, and we are content that all discrepancies between the CFEE06 return and the CFEE06 re-creation have been reasonably explained, we will ask the institution to confirm:

- that the CFEE06 re-creation reasonably reflects the outturn position for 2006-07
- the accuracy of overrides to primary derived fields.

26. If, after processing the revised HESA data and all overrides, we are not content that all discrepancies between the CFEE06 return and the CFEE06 re-creation have been reasonably explained, we will ask the institution to submit a further action and implementation plan to explain any remaining discrepancies between the two data sources. It is likely that we will visit institutions to discuss remaining discrepancies.

### **Guidance**

#### HEFCE contact

27. Each institution required to make a response to this exercise has been assigned a HEFCE contact, who should be the primary point of contact throughout the reconciliation process. This contact will be able to provide guidance during the response process. We will provide information to institutions about their contact in a letter to be sent by Anthony Ryan on 13 February 2008.

#### Action and implementation plan

28. Guidance for completing and submitting action and implementation plans is given in Annex J. Example action and implementation plans can also be found in Appendix 13.

### Supplementary data

29. 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 the files are given in Annex I.

### FAQs

30. FAQs for this exercise can be found on the HEFCE web-site under Questions. We encourage institutions to refer to the FAQs for guidance in the first instance. We will only use our e-mail list of HESSES contacts to notify institutions of significant changes or updates.

### **Comments**

31. All institutions are invited to comment on the algorithms described in Appendix 12, and to suggest how they can be improved. Comments should be e-mailed to [hesa\\_heses\\_feedback@hefce.ac.uk](mailto:hesa_heses_feedback@hefce.ac.uk).

### **Deadline for responses**

32. Action and implementation plans must be uploaded to the HEFCE extranet no later than **30 April 2008**.

33. The final deadline for sign-off for amendments to HESA data and overrides to primary derived fields, as detailed in the action and implementation plan(s) is **18 June 2008**.

## **Annex H**

### **Information for leads of HEFCE-recognised funding consortia**

#### **Purpose**

1. The purpose of this annex is to inform higher education institutions that are leads of a HEFCE-recognised funding consortium how we will use data from them and their member colleges for the monitoring and allocation of funding. It also provides details of the timetable for the derived statistics exercise that we expect will apply to HEFCE-recognised funding consortia.
2. Under a HEFCE-recognised funding consortium, the lead institution is responsible for co-ordinating responses to any element of the exercise. In particular, we expect the lead institution to co-ordinate any response to the comparison of HESES06 and the HESES06 re-creation where a response is required.
3. Member colleges' 2006-07 July ILR F04 data will also be used to inform the 2008-09 WP allocations for the entire consortium, and as such the lead may wish to co-ordinate any necessary correction of member colleges' 2006-07 July ILR data in line with the deadlines set out in this document.

#### **Data collection arrangements for HEFCE-recognised funding consortia**

4. Under the arrangements for HEFCE-recognised funding consortia, each student is recognised as a student of the appropriate consortium member, rather than of the lead institution. Therefore lead HEIs of HEFCE-recognised funding consortia must submit data to HESA only for students that are registered at their institution. Likewise students that are registered at a member college will be returned on that college's ILR.
5. All member colleges' data for students funded under the consortium arrangement should have been returned by the lead institution on its HESES06 return. Therefore, for the lead institution of a HEFCE-recognised funding consortium, the HESES06 re-creation will incorporate its HESA 2006-07 student data along with 2006-07 July ILR data for each member college.

#### **Outputs for HEFCE-recognised funding consortia**

##### **Outputs for lead institutions**

##### HESES06 and the HESES06 re-creation

6. We generate a HESES06 re-creation, which is described in Annex B. The information contained in the HESES06 re-creation will vary depending on whether or not the institution is the lead of a HEFCE-recognised funding consortium.

7. Lead institutions of a HEFCE-recognised funding consortium will be able to access the following files:

- LEAD06XXXX.xls – this is an Excel workbook containing the HESES06 re-creation tables for the lead HEI, which is constructed from its 2006-07 HESA data
- HESR06XXXX.xls – this is an Excel workbook containing the HESES06 re-creation tables that is constructed from an amalgamation of both the 2006-07 HESA data for the lead institution and the ILR data for each member college in the consortium
- HEIFERC06YYYYYY.xls – these are Excel workbooks containing the HEIFES06 re-creation tables for each of the member colleges (where YYYYYY denotes the UPIN provider number for the college). These workbooks contain the 2006-07 ILR data for the respective member colleges
- HESR06XXXX.ind – this is the individualised file that supplements the HESES06 re-creation tables for the lead institution (LEAD06XXXX.xls). All of the information contained in the HESES06 re-creation tables for the lead institution can be re-built by categorising and aggregating the data in this file. It contains details, in the form of 2006-07 HESA fields 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.

Derived statistics likely to inform the 2008-09 widening participation allocations

8. We generate indicative 2008-09 widening participation allocations, which are described in Annex D. The information contained in the indicative widening participation allocations output will vary depending on whether or not the institution is the lead of a HEFCE-recognised funding consortium.

9. Lead institutions of a HEFCE-recognised funding consortium will be able to access the following files:

- HHWPLEAD06XXXX.xls – this is an Excel workbook containing the widening participation tables for the lead institution, derived from its 2006-07 HESA data
- WP06XXXX.xls – this is an Excel workbook containing the widening participation tables built from both the HESA data for the lead institution and the 2006-07 ILR data for the member colleges of the consortium
- IHWPC06YYYYYY.xls – these are Excel workbooks containing the widening participation tables for each of the member colleges built from their ILR data
- WP06XXXX.ind – this is the individualised file that supplements the indicative 2008-09 widening participation allocations (HHWPLEAD06XXXX.xls). All of the information contained in the indicative widening participation allocations output for the lead institution can be re-built by categorising and aggregating the data in this file. It contains details, in the form of

2006-07 HESA fields and derived fields, of how each student was classified in the output. A full description of the data contained in the individualised file is given in Appendix 7.

#### Other outputs available to the lead institution

10. In addition to the HESES06 re-creation and member college HEIFES06 re-creation and WP06 outputs listed above, each lead institution will also have access to the other outputs relating to its own data listed in paragraph 10 of Annex I.

#### Other outputs available to the member college

11. In addition to the HEIFES06 re-creation and WP06 outputs listed above, each member college will also have access to other outputs relating to its own data listed in the publication '2006-07 Statistics derived from ILR data for the monitoring and allocation funding for FECs'.

#### Action plan and implementation plans

12. If a lead HEI of a HEFCE-recognised funding consortia has been formally requested to respond to the exercise, they will be required to submit the following action and implementation plans depending on which area of the exercise they have been selected for:

- APHESR06XXXX.xls – action points for the HESES06 re-creation for the lead HEI should be detailed
- APSNCC06XXXX.xls – action points for the HESES06 re-creation based on cost centre sector norms and also the HESES06 re-creation for the lead HEI should be detailed
- APRASR06XXXX.xls – actions points for the RAS06 re-creation for the lead HEI should be detailed.
- APCFEE06XXXX.xls – actions points for the CFEE06 re-creation for the lead HEI should be detailed.

13. For all of the action plans listed above, an accompanying APHEIR06XXXX.xls action and implementation plan is also required, detailing action points for member colleges.

14. If a lead HEI is required to make amendments to their 2006-07 HESA student data they will be required to submit the following action plans:

- APHESA06XXXX.xls – action points for the University should be detailed
- APILR06XXXX.xls – action points for the member colleges should be detailed.

## **Outputs for member colleges**

15. The outputs for the member colleges will only be available to lead institutions and the member colleges themselves when we release '2006-07 statistics derived from ILR data for the monitoring and allocation of funding in FECs' in early 2008.

### Access to outputs

16. Lead institutions will be given automatic access to all outputs except the separate HEIFES06 re-creation and WP individualised files for each of the member colleges. Each member college will receive access to its own HEIFES06 re-creation, and a separate HEIFES06 re-creation individualised file containing only the 2006-07 ILR F04 data that the college has submitted to the LSC. This arrangement will also apply for the WP outputs.

17. Where a member college gives us permission to grant the lead institution access to its HEIFES06 re-creation or WP06 re-creation individualised files, we will write to the lead to describe how it can access the individualised files.

18. We will not normally provide HESES06 re-creation tables and individualised files for leads of HEFCE-recognised funding consortia until the member colleges' ILR data are available in early 2008. However, if a lead HEI would like to benefit from early sight of its HESES06 re-creation and individualised file (that does not incorporate member college data), it can be provided by contacting Rebecca Thomas (e-mail: [hesa\\_heses\\_stats@hefce.ac.uk](mailto:hesa_heses_stats@hefce.ac.uk)) shortly after 13 February 2008.

### Worksheets

19. The HESES06 re-creation workbook for lead institutions contains the following worksheets.

Table I LEAD06XXXX.xls description

Page number	Worksheet (see tabs on spreadsheet)	Title
1	Coversheet	Title page
2	FTS	HESES06 re-creation Table 1a: Full-time and sandwich years of programme of study
3	MED	HESES06 re-creation Table 1b: Medical and dental full-time and sandwich years of programme of study
4	SWOUT	HESES06 re-creation Table 2: Sandwich year-out years of programme of study
5	PT	HESES06 re-creation Table 3: Part-time years of programme of study and load
6	FEE	HESES06 re-creation Table 4: Home and EC fees
7	CONS	HESES06 re-creation Table 6: HEFCE-recognised funding consortia 2006-07
8	Excl	Students excluded from the HESES06 re-creation

20. The HEIFES06 re-creation workbook for member colleges, HEIFERC06YYYYYY.xls, contains the following worksheets.

Table J HEIFERC06YYYYYY.xls description

Page number	Worksheet (see tabs on spreadsheet)	Description
1	Coversheet	Title page
2	FTS	HEIFES06 re-creation Table 1: Full-time and sandwich years of programme of study for the member college
3	SWOUT	HEIFES06 re-creation Table 2: Sandwich year-out years of programme of study for the member college
4	PT	HEIFES06 re-creation Table 3: Part-time years of programme of study for the member college
5	FEE	HEIFES06 re-creation Table 4: Home and EC fees for the member college
6	Excl	HEIFES06 re-creation exclusion table for the member college
7	Credibility	Identifies areas for recognised HE qualification aims on 2006-07 ILR F04 where data are potentially inaccurate

## **Annex I**

### **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 overrides due to problems of fit with our algorithms or amendments to HESA data, the version of the derived statistics outputs held on our extranet will be overwritten once these amendments/overrides have been incorporated. Therefore, if institutions wish to retain intermediate versions of the outputs, they will need to make copies on their own systems. Each time we make an update, the date will be printed on the outputs along with a 'run number' that will increase 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 are in the letter sent to your head of institution by Anthony Ryan on 13 February 2008.
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 '2006-07 statistics derived from HESA 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 '2006-07 statistics derived from HESA data', sent to your head of institution by Anthony Ryan on 13 February 2008, 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 the Athens Single Sign On account (if this is available at your institution).
  - a. Follow the 'Log in via Athens SSO' link on the log-in 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 institutions will have access to their output files.
  - d. You will be required to join the group for '2006-07 statistics derived from HESA data'. Under 'Applications', click 'Join a group'. Enter the group key supplied in Annex A of the



letter titled '2006-07 statistics derived from HESA data', which was sent to your head of institution by Anthony Ryan on 13 February 2008, 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 – All resources' page, where institutions 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 '2006-07 Statistics derived from HESA data' to be directed to the 'HEFCE extranet – 2006-07 Statistics derived from HESA 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 on the '2006-07 Statistics derived from HESA data' link to start the download of a zipped archive containing the following output files (in each case, XXXX is the institutional identifier):

- HESR06XXXX.xls – this is an Excel workbook containing the HESES06 re-creation tables. For leads of HEFCE-recognised funding consortia this includes the combined 2006-07 HESA data for the lead institution and 2006-07 ILR data for the member colleges
- SNCC06XXXX.xls – this is an Excel workbook containing the tables for the HESES06 re-creation based on cost centre sector norms
- RASR06XXXX.xls – this is an Excel workbook containing the RAS06 re-creation tables
- WP06XXXX.xls – this is an Excel workbook containing data likely to inform the 2008-09 WP allocation. For leads of HEFCE-recognised funding consortia this includes the combined 2006-07 HESA data for the lead and 2006-07 ILR data for the member colleges
- CFEE06XXXX.xls – this is an Excel workbook containing the co-funded employer engagement (CFEE06) re-creation
- AUD106XXXX.xls – this is an Excel workbook containing the derived statistics likely to inform HESES07 audits
- AUD206XXXX.xls – this is an Excel workbook containing the derived statistics likely to inform HESES07 audits
- HESR06XXXX.ind – this is a comma-separated file containing the derived fields that generate the HESES06 re-creation. For leads of HEFCE-recognised funding consortia this file does not include data for the member colleges
- SNCC06XXXX.ind – this is a comma-separated file containing the derived fields that generate the HESES06 re-creation based on cost centre sector norms. For leads of HEFCE-recognised funding consortia this file does not include data for the member colleges

- RASR06XXXX.ind – this is a comma-separated file containing the derived fields that generate the RAS06 re-creation
- WP06XXXX.ind – this is a comma-separated file containing the derived fields that generate the data that are likely to inform the 2008-09 WP funding allocations. For leads of HEFCE-recognised funding consortia this file does not include data for the member colleges.
- CFEE06XXXX.ind – this is a comma-separated file containing the derived fields that generate the CFEE06 re-creation.

10. In addition to the above outputs, lead institutions of HEFCE-recognised funding consortia will also be able to access the following files:

- LEAD06XXXX.xls. This is an Excel workbook containing the HESES06 re-creation tables for the lead institution (includes HESA student data for the lead HEI only)
- HEIFERC06YYYYYY.xls – these are Excel workbooks containing the HEIFES06 re-creation tables for each of the member colleges (YYYYYY denotes the UPIN provider number for the college)
- HHWPLEAD06XXXX.xls – this is an Excel workbook containing the widening participation allocation tables for the lead institution
- IHWPC06YYYYYY.xls – these are Excel workbooks containing the widening participation allocation tables for each of the member colleges of a HEFCE-recognised funding consortium.

11. The following additional action plan templates are available depending on which area of the exercise you have been selected to respond to. These outputs are available from the HEFCE extranet on the '2006-07 Statistics derived from HESA data' page. To access these outputs follow the instructions in paragraph 9. You will need to click the download link to download the templates:

- APHESR06XXXX.xls – this is an Excel workbook containing the action and implementation plan template for the HESES06 re-creation. This workbook is only available to institutions that have been formally requested to respond to this element of the exercise. If you are selected to respond to the sector norm cost centre area of the exercise then an identical plan will be provided in sheet AP2 of the APSNCC06XXXX.xls workbook
- APSNCC06XXXX.xls – this is an Excel workbook containing the action and implementation plan template for the HESES06 re-creation based on cost centre sector norms and the HESES06 re-creation, and also the HESES06 re-creation and HESES06. These are provided in sheets AP1 and AP2 respectively. This workbook is only available to institutions that have been formally requested to respond to this element of the exercise

- APRASR06XXXX.xls – this is an Excel workbook containing the action and implementation plan template for the RAS06 re-creation. This workbook is only available to institutions that have been formally requested to respond to this element of the exercise
- APCFEE06XXXX.xls – this is an Excel workbook containing the action and implementation plan template for the CFEE06 re-creation. This workbook is only available to institutions that have been formally requested to respond to this element of the exercise
- APHESA06XXXX.xls – this is an Excel workbook containing the action and implementation plan template for the general 2006-07 HESA amendments. This workbook is available for all institutions.

12. Lead institutions of HEFCE-recognised funding consortia that have been formally selected to respond to the exercise will also be required to submit an APHEIR06XXXX.xls action and implementation plan with details of the member colleges' action points. This will be available from the HEFCE extranet on the '2006-07 Statistics derived from HESA data' page. Follow the instructions in paragraph 9. The APHEIR06XXXX.xls will be available from the APHESR06XXXX data collection folder. Lead institutions that intend to make amendments to their 2006-07 HESA student data/member college data will also be required to submit an APILR06XXXX.xls action plan with details of the member colleges' action points. Again this will be available from the HEFCE extranet on the '2006-07 Statistics derived from HESA data' page. Follow the instructions in paragraph 9. The APILR06XXXX.xls will be available from the APILR06XXXX data collection folder. Instructions on how to upload the action plans are given in paragraph 70 of Annex J.

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

14. Instructions on how to upload the completed action and implementation plans are provided in paragraph 70 of Annex J.

15. Institutions 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 on to unauthorised personnel.

## **Annex J**

### **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. Where institutions are formally required to respond to this exercise, we will only approve their action and implementation plans 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 the institution is 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 the institution to gather this information.

3. We require completed action and implementation plans to be submitted via the HEFCE extranet only. Institutions must not copy and paste into the cells of the plan. If an institution attempts to submit a plan that does not follow the guidance set out in this annex then it is likely that the plan will 'fail' the electronic submission process.

4. Institutions that wish to make amendments to their 2006-07 HESA student data (for example to correct data that are likely to be used to inform the 2008-09 WP allocations), are also required to submit an action and implementation plan before HESA will accept their amendments. Guidance for completing action plans for institutions that wish to make amendments to their 2006-07 HESA student data is given in paragraphs 63-69 of this annex.

#### **General requirements of action and implementation plans**

5. Action plans for institutions that are required to respond should demonstrate that the institution 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 an institution 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.

6. Where an institution wishes to amend its 2006-07 HESA student data, we will use the action plan to gain an understanding of the reasons why amendments are being made and to which HESA fields, so that the impact of incorporation can be checked. In addition the action plan provides us with dates when we can expect the institution to submit the data to HESA. 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

7. There are a number of templates for action and implementation plans. These are explained below: in each case, XXXX is the institutional identifier.
8. Institutions selected to respond to the comparison of HESES06 and the HESES06 re-creation are required to complete the template APHESR06XXXX.xls. This Excel workbook contains the HESES06 re-creation action plan template. It is only available where an institution has been formally requested to respond to this element of the exercise. Lead institutions of HEFCE-recognised funding consortia are also required to complete the template APHEIR06XXXX.xls that details action points for member colleges. Further details about this are provided in HEFCE 2008/08.
9. Institutions selected to respond to the comparison of the HESES06 re-creation and the HESES06 re-creation based on cost centre sector norms are required to complete the template APSNCC06XXXX.xls. This Excel workbook contains the action plan template for the HESES06 re-creation and the HESES06 re-creation based on cost centre sector norms (in sheets AP1 and AP2). It is only available where an institution has been formally requested to respond to this element of the exercise. Lead institutions of HEFCE-recognised funding consortia are also required to complete the template APHEIR06XXXX.xls that details action points for member colleges. Further details about this are provided in HEFCE 2008/08.
10. Institutions selected to respond to the comparison of RAS06 and the RAS06 re-creation are required to complete the template APRASR06XXXX.xls. This Excel workbook contains the RAS06 re-creation action plan template. It is only available where an institution has been formally requested to respond to this element of the exercise.
11. Institutions selected to respond to the comparison of CFEE06 and the CFEE06 re-creation are required to complete the template APCFEE06XXXX.xls. This Excel workbook contains the CFEE06 re-creation action plan template. It is only available where an institution has been formally requested to respond to this element of the exercise.
12. Institutions that wish to make amendments to their 2006-07 HESA student data (for example to correct data that are likely to be used to inform the 2008-09 WP allocations) are required to complete the template APHESA06XXXX.xls. This Excel workbook contains the action plan template for general 2006-07 HESA amendments. It is available to all institutions. Lead institutions of HEFCE-recognised funding consortia that wish to make amendments to college data are required to complete the template APILR06XXXX.xls. Further details about this are provided in HEFCE 2008/08.
13. Details on how to access action and implementation plan templates for your institution are given in paragraph 9 of Annex I.
14. Action and implementation plans will be kept as a permanent record and audit trail of an institution's response to this exercise.

## **Detailed requirements for action and implementation plans**

15. Below are detailed instructions about the information that we require in each column of the action and implementation plan(s). Action and implementation plans should be downloaded from the HEFCE extranet. Example action and implementation plans are given in Appendix 13 for illustrative purposes only.

### **HESES06 re-creation, RAS06 re-creation and CFEE06 re-creation action plan templates**

16. The information that we require in the HESES06 re-creation action plan template, APHESR06XXXX.xls, the RAS06 re-creation action plan template, APRASR06XXXX.xls, and the CFEE06 re-creation action plan template, APCFEE06XXXX.xls is as follows.

#### Column 1

17. 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

18. 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'.

19. The troubleshooting guides contained in Appendices 2 and 9 for the HESES06 re-creation and the RAS06 re-creation respectively will allow institutions to identify specific areas of difference between the re-creation and the original return. We expect institutions to exercise their own judgement to decide when small differences between the two data sources do not warrant inclusion within the action plan. However, institutions need to be aware that small differences may accumulate. If their combined total becomes large, this will reduce our confidence in the institution's ability to identify areas of discrepancy between the two data sources.

#### Column 3

20. This column should contain the cause of the difference between the two data sources. The cause can be attributed to either:

- errors in HESA 2006-07 HESA student data
- errors/estimation discrepancies in HESES06/RAS06, or
- problems of fit with the re-creation algorithms.

21. Paragraphs 19-27 of Annex B and paragraphs 18-27 of Annex E give further descriptions of the causes of these broad types of difference for the HESES06 re-creation and the RAS06 re-creation respectively.

22. Only the following words should be entered into Column 3: 'HESA' (for errors in 2006-07 HESA student data), 'HESES' (for errors/estimation discrepancies in HESES06), 'RAS' (for errors in RAS06) or 'HEFCE' (for problems of fit with the re-creation algorithms).

#### Column 4

23. This column should contain a detailed description of the cause of the difference. The description should be sufficient to allow us to understand how this discrepancy occurred.

24. Where Column 3 is returned as 'HESA', 'HESES', or 'RAS' we require a brief explanation for the cause of the error. For example: 'The script in our student record system for generating MODE on the HESA return incorrectly assigned all students that became dormant during the academic year as code 64 "Dormant – previously part-time".'

25. Where Column 3 is returned as 'HEFCE', we require a brief explanation of 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'.

#### Column 5

26. If the cause of difference identified in Column 3 is 'HESA', select either 'CHANGE', 'ADD' or 'DELETE' to highlight the type of amendments that are being made to the HESA record.

#### Column 6

27. Where Column 5 is returned as 'CHANGE' and Column 3 is 'HESA', 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 7

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

#### Column 8

29. If the cause of difference identified in Column 3 is 'HESA', the date by which amended data will be submitted to HESA must be returned in Column 8. Guidance on how to submit

amendments to HESA data is at Annex K. Amended data should be submitted no later than **18 June 2008**.

#### Column 9

30. If the cause of difference identified in Column 3 is 'HEFCE' then a full list of the derived fields that require overrides must be identified by the institution and listed, for example 'RASUOA1'. For further information on which derived fields are affected by problems of fit with re-creation algorithms see Appendices 3 and 9 for the HESES06 re-creation and RAS06 re-creation respectively. For all other causes of difference given in Column 3, this column should remain blank.

#### Column 10

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

#### Column 11

32. 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 L. For all other causes of difference given in Column 3, Column 11 should remain blank. Override files should be submitted no later than **18 June 2008**.

#### Column 12

33. 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, FTEs and, where appropriate, funds due back, funds to be held back and/or an estimate of the effect on contract range holdback.

34. For the HESES06 re-creation, estimates of funds due back and funds to be held back can be made by multiplying the FTEs for the area of discrepancy by the rate per FTE (this rate is given in the HBK worksheet of the HESES06 re-creation workbook).

35. For the HESES06 re-creation, estimates of the effect on contract range holdback, in its simplest form, could be approximated as:

$$\text{FTE} \times ((\text{base price} \times \text{price group weighting}) - \text{regulated fee for the course})$$

36. For example, suppose an institution is outside the contract range in the HESES06 re-creation, where the area of difference is full-time and sandwich undergraduates in price group B with regulated full fee for the course, and the difference between HESES06 and the HESES06 re-creation is 10 FTEs. Using the calculation above, the difference in contract range holdback could be approximated by  $10 \times ((£3,721 \times 1.7) - 1,200) = £51,257$ . Institutions may need to include other premiums to increase the accuracy of the estimate.



37. For the RAS06 re-creation the contribution should be recorded on the plan in terms of the student FTE affected as well as the contribution this makes to the difference in quality-related research funding between the re-creation and the original RAS06.

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

#### Column 13

39. If Column 3 is 'HESA', 'HESES' or 'RAS' 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: 'We will hold training sessions for staff in each research department that are involved in entering data into the student record system. The sessions will focus on the coverage of RAS and its general definitions. In particular, we will place special emphasis on the importance of entering withdrawal information on the student record system as soon as it is known that a student has withdrawn.'

#### Column 14

40. If Column 3 is 'HESA', 'HESES' or 'RAS' we require a date by which any future improvements will be implemented.

#### **Differences between the HESES06 re-creation and HESES06 re-creation based on cost centre sector norms**

41. The action plan template includes two sheets: AP1 for the HESES06 re-creation and HESES06 re-creation based on cost centre sector norms; and AP2 for the HESES06 re-creation and HESES06. Both of these should be filled in and submitted to HEFCE. The information that we require in the action plan template, APSNCC06XXXX.xls, for the comparison of the HESES06 re-creation based on cost centre sector norms and the HESES06 re-creation is as follows.

#### Column 1

42. We have pre-completed this column. It contains a sequential number starting at 1 which is used to reference each area of difference identified on the action plan.

#### Column 2

43. We have pre-completed this column. It contains the subject area and JACS code, where:

- the cost centre sector norm for the subject area is different to the cost centre returned on the 2006-07 HESA student record
- the price group for the cost centre sector norm is different to the price group for the cost centre returned on the 2006-07 HESA record, and
- HEFCE-funded FTEs for the principal subject area (that is, the first two characters of SBJ01-16 are used) are greater than 100.

### Column 3

44. We have pre-completed this column. It contains the cost centre returned on the 2006-07 HESA student record for the subject area listed in Column 2.

### Column 4

45. We have pre-completed this column. It contains the cost centre sector norm for the subject area listed in Column 2.

### Column 5

46. This column should contain the cause of the difference between the two re-creations. The cause can be attributed to either:

- errors in 2006-07 HESA student data
- problems of fit with the HESES06 re-creation based on cost centre sector norms algorithms because the subject area is small
- problems of fit with the HESES06 re-creation based on cost centre sector norms algorithms because the subject area is not the primary subject area for the member of staff teaching the activity, or
- problems of fit with the HESES06 re-creation based on cost centre sector norms algorithms, because the sector norm cost centre for the subject area is not appropriate for the activity.

47. Paragraphs 32-46 of Annex C give detailed descriptions of these broad types of cause.

48. Only the following words should be entered into Column 5:

- 'HESA' (for errors in 2006-07 HESA student data)
- 'HEFCE-SMALL' (for problems of fit with the re-creation algorithms because the subject area is small; in this case we would expect staff FTEs to be less than 20)
- 'HEFCE-SECONDARY' (for problems of fit with the re-creation algorithms because the subject area is not the primary subject area for the member of staff teaching the activity) or
- 'HEFCE-MAPPING' (for problems of fit with the re-creation algorithms because the sector norm cost centre for the subject area is not appropriate for the institution concerned).

## Column 6

49. This column should contain a detailed cause of the difference, unless 'HEFCE-SMALL' was returned in Column 5. The description should be sufficient to allow us to understand how this difference occurred.

50. Where Column 5 is returned as 'HESA' we require a brief description of the cause of the error. For example: 'The script in our student record system for generating COSTCN01 on the HESA return incorrectly assigned all students on mathematics modules to cost centre 24 (Mathematics), whereas some of these modules were taught by members of staff from our engineering department and therefore should have been returned as cost centre 16 (General engineering).'

51. Where Column 5 is returned as 'HEFCE-SECONDARY', we require the name(s) of the department(s) of the members of staff teaching the activity, as well as an indication of the extent of teaching in the subject area by members of staff where this is not their primary subject area. For example: 'Modules in this subject area are taught by the Engineering, Physics, Earth Science and Statistics departments, and a member of staff may teach up to two modules per year in this subject area, out of a typical teaching timetable of eight modules per year.'

52. Where Column 5 is returned as 'HEFCE-MAPPING', we require the name(s) of the department(s) to which the members of staff teaching the activity are assigned.

53. Where Column 5 is returned as 'HEFCE-SMALL', Column 6 should be left blank.

## Column 7

54. If the cause of difference identified in Column 5 is 'HESA', a full list of the fields that the institution expects to correct must be identified and included: for example 'COSTCN01-08'. Erroneous COSTCN01-16 and SBJ01-16 data are the only 2006-07 HESA fields that can cause differences between the two re-creations.

55. For all other causes of difference given in Column 5, this column should remain blank.

## Column 8

56. If the cause of difference identified in Column 5 is 'HESA', the number of records to be amended must be included, for example, '99'.

## Column 9

57. If the cause of difference identified in Column 5 is 'HESA', the date by which amended data will be submitted to HESA must be returned in Column 8. Guidance on how to submit amendments to HESA data is given in Annex K.

58. For all other causes of difference given in Column 5, this column should remain blank.

#### Column 10a

59. We have pre-completed the student FTEs in this column. Where Column 5 is 'HEFCE-SMALL', the staff FTEs for the subject area should be returned. Otherwise the staff FTEs should remain blank.

#### Column 10b

60. Where Column 5 is returned as 'HEFCE-SMALL' a value less than 20 FTEs should be entered.

#### Column 11

61. If Column 5 is 'HESA', 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: 'We will hold training sessions for staff in each research department that is involved in entering data into the student record system. The sessions will focus on the coverage of RAS and its general definitions. In particular, we will place emphasis on the importance of entering withdrawal information on the student record system as soon as it is known that a student has withdrawn'.

#### Column 12

62. If Column 5 is 'HESA', we require a date by which any future improvements will be implemented.

### **Institutions that wish to make amendments to their 2006-07 HESA student data**

63. The information that we require in the action plan template, APHESA06XXXX.xls, for institutions that wish to make amendments to their 2006-07 HESA student data (for example to correct data that are likely to inform the 2008-09 WP allocations) is as follows.

#### Column 1

64. 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.

#### Column 2

65. This column should contain a detailed description of the nature of the amendment to 2006-07 HESA 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’.

### Column 3

66. Either ‘CHANGE’, ‘ADD’ or ‘DELETE’ should be selected to highlight the type of amendments that are being made to the HESA record.

### Column 4

67. Where Column 3 is returned as ‘CHANGE’, this column should contain a list of the fields that the institution expects to correct, for example ‘QUALENT2’. If Column 5 is ‘ADD’ or ‘DELETE’ then the words ‘All fields’ should be entered.

### Column 5

68. The number of records to be overwritten should be included, for example, ‘30’.

### Column 6

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

## **Submitting action and implementation plans**

70. Click ‘HEFCE Resources’ under the ‘Folders’ heading to be directed to the ‘HEFCE extranet – HEFCE resources’ page. Next click ‘2006-07 Statistics derived from HESA data’ to be directed to the ‘HEFCE extranet – 2006-07 Statistics derived from HESA 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 group key (see paragraph 3 of Annex I for further details). Click the appropriate link to the action plan. For example the ‘APHESR06 data collection’ link. Next click the upload button, browse to the location that the action and implementation plan is saved and click ‘Upload’.

71. Lead institutions of HEFCE-recognised consortia who wish to submit action plans containing information about the member colleges (APHEIR06XXXX.xls or APILR06XXX.xls) will need to access the ‘2006-07 Statistics derived from ILR data’ page from the HEFCE extranet. To log onto this site you will need to join the group for the 2006-07 Statistics derived from ILR data. Instructions with details of the 2006-07 Statistics derived from ILR group key and how to submit the action plans APHEIR06XXXX.xls and APILR06XXXX.xls will be sent in future correspondence and as an FAQ on the HEFCE web-site.

72. Institutions using Office 2007 who wish to submit action plans should ensure that the file is saved using the file extension .xls as files with the extension .xlsx will not upload to our web facility. You should save your action and implementation plan as file type "Excel 97-2003 workbook (\*.xls)".

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

## **Annex K**

### **Procedure for submitting amendments to HESA data**

1. This annex describes the procedure for making amendments to 2006-07 HESA data after they have been collected from HEIs. Institutions were notified of the procedure for making post-collection amendments to HESA returns in HESA Student Circular 07/03 '2006/07 HESA Student Record Collection (ref: C06011).
2. Previously we accepted post-collection amendments to HESA data and only passed these on to HESA after they were signed off by the institution. For 2004-05 onwards such exceptional amendments are collected via HESA. The agreement between HESA and HEFCE allows for the costs of processing such exceptional amendments to be recovered from institutions by HESA. It has been agreed that for the student record this charge is set at 20 per cent of the institution's annual HESA subscription. Please see HESA Student Circular 07/03 (<http://www.hesa.ac.uk/index.php/content/view/494/233/>) for further details of this charge.
3. Amendments submitted via this route will not be used to inform routine publications such as the HESA 'students in higher education institutions' volumes, performance indicators, or the Teaching Quality Information statistics until April 2009. HESA has indicated that it will not use these data for ad-hoc analysis before April 2009.

#### **Submitting amendments to HESA data**

4. Institutions required to make corrections to their 2006-07 HESA student data are initially required to submit an action and implementation plan to HEFCE before we will consider whether to authorise HESA to receive amendments. This also applies to institutions that wish to make amendments to their 2006-07 HESA student data (for example, to correct data that are likely to be used to inform the 2008-09 WP allocations). Guidance on submitting and completing action and implementation plans is given in Annex J.
5. Once we have approved an action and implementation plan, we will e-mail HESA, copied to the institution, authorising HESA to accept post-collection amendments to HESA 2006-07 student data. This authorisation will also summarise the nature of the amendments to be made (for example, the HESA fields that we expect to be amended along with an approximation of the number of records that will be affected) and a date by which we expect the revised data to be submitted. This information will be extracted directly from the approved action and implementation plan. HESA will only open its post-collection system when it has received explicit instructions from us to do so, and will only accept amendments that are consistent with the summary that we have approved.
6. HESA's post-collection processing is in other ways analogous to the normal collection process. HESA will carry out the same data quality assurance processes that apply for the standard collection of data from HEIs. A full description of the HESA data collection system is at <http://submit.hesa.ac.uk/help>. Note that post-collection submissions will only be accepted during a limited period (as described at <http://submit.hesa.ac.uk>).

7. Shortly after data are committed (as described at <http://submit.hesa.ac.uk>) during the post-collection process, we will produce updated 2006-07 derived statistics outputs. These outputs will be made available to the institution via the HEFCE extranet. If we are content with the outputs, where appropriate, we will ask the institution to confirm:

- that the re-creation reasonably reflects the outturn position for 2006-07
- the accuracy of overrides to primary derived fields.

8. Upon receipt of this confirmation we will e-mail HESA, copied to the institution, notifying it that we are content with the revised data. HESA will continue the exceptional data collection processing (for example, credibility checking) until the process is complete.

9. Throughout this process, if we or the institution identify further 2006-07 HESA data amendments that are required (for example, if the amendments made do not result in the expected elimination of a particular difference between HESES06 and the HESES06 re-creation), we will ask the institution to submit a revised action and implementation plan and the procedure described in paragraphs 5-8 will be repeated. Similarly, if during credibility checking, or at any other point during the processing, HESA identifies that further amendments to 2006-07 HESA data are required, HESA will request that the data are de-committed and any necessary revisions to the data made before the data are once again committed, at which point the procedure described in paragraphs 7 and 8 will be repeated.

10. At the end of the process, HESA will mark the return as 'credible' to allow the institution to record a 'sign-off' transaction (as described at <http://submit.hesa.ac.uk>).

11. We will identify and contact institutions that have not submitted valid files by the expected date or where there are other significant delays, for example in achieving a valid 'commit' transaction.



## **Annex L**

### **Submitting overrides to primary derived fields**

#### **Background**

1. We will only apply an override where the data submitted on the HESA return are correct but there is a problem of fit with the HEFCE algorithms. In these instances it is the derived fields that generate the re-creations which require amendment rather than the underlying HESA data.
2. Problems of fit occur where the derived field that we generate is based upon an assumption which may not necessarily fit with the institution's actual position. All known problems of fit with the HESES06 re-creation algorithms are described in Appendix 3. All known problems of fit with the HESES06 re-creation based on cost centre sector norms are described in Appendix 6. And all known problems of fit with the RAS06 re-creation algorithms are described in Appendix 11.
3. We will only apply overrides where we agree that they are appropriate, and (in the case of an override to the sector norm cost centre mapping) where we have made a decision based on evidence provided. Therefore we may seek further information where necessary. For example, in the case of the sector norm cost centre mapping we may seek further module information. It may not always be possible to determine whether an override is appropriate until we have examined the students affected. Therefore we may not accept an override once submitted, or we may seek further clarification.

#### **Purpose**

4. This annex details the data structure and format for overrides to derived fields. Institutions must only supply override files using the file structure and format detailed within this annex.
5. Override files should contain the data structure and format described in paragraphs 10-21 of this annex. These specifications are necessary to ensure we can process overrides to derived fields in a timely and accurate manner. We will require institutions to re-submit override files that differ, either in structure or format, from the specifications detailed in this annex. An example of a typical override file can be found in Figure 1 towards the end of this annex.
6. This year we will only accept overrides to primary derived fields. Primary derived fields are those which are directly used to populate the re-creation tables. For example, the value of HESEXCL determines whether a record is included in the HESES re-creation. It is therefore a primary derived field. In contrast, the fields EXCL1-EXCL64 are not directly used to populate the re-creation tables; we refer to such fields as 'secondary' derived fields. For example, HESEXCL is determined by the values in the secondary derived fields EXCL1-EXCL64. A list of primary derived fields is given in Table K.

7. Since each override will only alter primary derived fields, this may give rise to inconsistencies with secondary derived fields. For example, if the value of HESEXCL is altered by an override file, its value will be inconsistent with the values of EXCL1-EXCL64.

8. To allow institutions to check that an override file has had the desired effect, a new field, 'OVERRIDE', is included in the individualised file. This takes the value 1 if an override has been applied to the record; otherwise its value is 0. This field also allows institutions to determine which records may have inconsistent secondary derived fields, as a result of an override.

9. We also require that certain primary derived fields are returned as a group, in order to maintain data integrity. If any field in the group requires an override, all members of that group should be included in the override file, even if the values of some fields in the group remain unchanged. Full details of the primary derived fields which must be returned as a group in override files are given in Table K. For example, if an override to amend price group information is being submitted, we require that the file contains FTEB-D, FTEMEDIA, FTEITT and FTEINSET; even if the values of some fields remain unchanged.

**Table K Primary derived fields**

<b>Primary derived field name</b>	<b>Description</b>	<b>Column in individualised file</b>	<b>Re-creation tables</b>	<b>Paragraph in appendix 1</b>
HESCOMP	HESES completion of year of programme of study indicator	V	HESES re-creation	68
HESEXCL	Reason for exclusion from the HESES population	G	HESES re-creation	70-71
HESFEELV	Fee level	AI	HESES re-creation	37
HESLEVEL	Level of study	X	HESES re-creation	24
HESMED	Table 1b inclusion field	Y	HESES re-creation	59
HESMODE	Mode of study	S	HESES re-creation	23
HESREG	Column 1 or 2 indicator	T	HESES re-creation	67
HESTYPE	Fundability status	W	HESES re-creation	25
LENGTH	Field indicating long or standard length programme of study	BC	HESES re-creation	38

Primary derived field name	Description	Column in individualised file	Re-creation tables	Paragraph in appendix 1
FTEA-D, FTEITT, FTEINSET, FTEMEDIA	FTE in each price group (these fields must be returned as a group)	CR-CX	HESES re-creation	58
SNPRGA-D, SNINSET, SNITT	Proportion of countable year in each sector norm price group (these fields must be returned as a group)	P-W	HESES re-creation based on cost centre sector norms	10-14
MSUB	Submission identifier for UOAs where multiple submissions were made to the 2001 RAE	P	RAS re-creation	19
RASFTE	FTE consistent with RAS definitions	T	RAS re-creation	33-34
RASMODE	Mode of study for research degree	Q	RAS re-creation	8
RASTYPE	Fundability status	R	RAS re-creation	35
RASUOA1-3	Units of assessment (these fields must be returned as a group)	M-O	RAS re-creation	15-16
RASYEAR	Year of programme of study as returned to RAS06	S	RAS re-creation	9-11
RSTUEXCL	Reason for exclusion from RAS student population	G	RAS re-creation	37-38
UOAP1-3	Proportion of time spent in each subject area (these fields must be returned as a group)	AU-AW	RAS re-creation	17-18

### Format and naming

10. Overrides to primary derived fields must be sent as a comma-separated file via the HEFCE extranet. To submit via the extranet go to the 'HEFCE resources' page at <https://extranet.hedata.ac.uk/>, click on '2006-07 statistics derived from HESA data', then on 'HESA0VR06 data collection'. From here click on the 'Upload' button and then, on the subsequent page, click on the 'Browse' button to find the file you wish to submit. Once you

have selected this file and the pathname has appeared in the entry field, click on 'Upload File' to complete the upload. Details of how to log on to the extranet are given in Annex I.

11. Override files must be given a file name in the form ovrXXXXn.amd, where:

- XXXX is the HESA institution identifier for the institution
- n is a sequential number starting at 1.

For example, the first override file submitted would be called ovrXXXX1.amd, and the second would be called ovrXXXX2.amd.

### **Structure**

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

13. Only primary derived fields listed in Table K should be included in the change line (see line 6 below) for override files.

14. Override files must contain a header in the following form:

line 1 – override reference in the form ovrXXXXn where XXXX is the HESA institution identifier 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 01032008 for a file created on 1 March 2008

line 3 – a brief description of the override. For example: 'Overrides to primary derived field HESFEELV'

line 4 – this line must contain the words OVERRIDE and either the word TEMPORARY or PERMANENT. If the override is temporary then the last academic year that it applies to should be entered. For example: 'OVERRIDE, TEMPORARY, 2006' indicates that the override will be applied in academic year 2006-07 but not in 2007-08 onwards

line 5 – the fields used to identify records on the override file, comma-separated. For example OWNPSD could be used to identify records on a course level; HUSID, NUMHUS, and RECID can be used to identify records on a student level

line 6 – the primary derived fields being changed, comma-separated. For example: HESFEELV, HESEXCL

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

line 8 – the field used to calculate the file check-sum (see paragraph 20 for an explanation of the file check-sum)

line 9 – file check-sum

lines 10 and 11 – any notes the institution wishes to include

line 12 – 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:  
OWNPSD, HESFEELV 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 cases**

#### FTE in each price group

15. If overrides are being applied to the FTE in a particular price group then we require information to be provided about all of the price group fields FTEA, FTEB, FTEC, FTED, FTEMEDIA, FTEITT, FTEINSET (even if a particular price group FTE is not being changed).

#### Proportion of FTE in each sector norm price group

16. If permission has been granted by HEFCE, and overrides are being applied to the sector norm price groups, then the override file should contain information about all of the sector norm price group fields SNPRGA, SNPRGB, SNPRGC, SNPRGD, SNMEDIA, SNITT, SNINSET (even if a particular sector norm price group is not being changed). We would recommend that a field called SBJ that contains the JACS code of the subject of the area of study is used as the linking field. If required, we will construct the sector norm price group override file on behalf of the institution. This will be implemented when the institution has checked and confirmed that the override file that we construct is correct.

#### UOAs

17. If permission has been granted by HEFCE, and overrides are being applied to RASUOA1-3, then we would recommend that the subject of qualification aim fields SBJQA1-3 are used as the linking fields. If required, we will construct the UOA override file on behalf of the institution. This will be implemented when the institution has checked and confirmed that the override file we construct is correct.

### Proportion of time spent in each subject area, used to scale FTE

18. If overrides are being applied to UOAP1, UOAP2, UOAP3 then we require information about all of these fields. We would recommend that the subject of qualification aim fields SBJQA1-3 are used as the linking fields.

### **Identifying records**

19. To enable us to link override files to our derived HESA dataset, we must be able to identify the records on the HESA 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**

20. 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 recommend that override files are viewed and saved using a text editor, for example Notepad.

### **Check-sum**

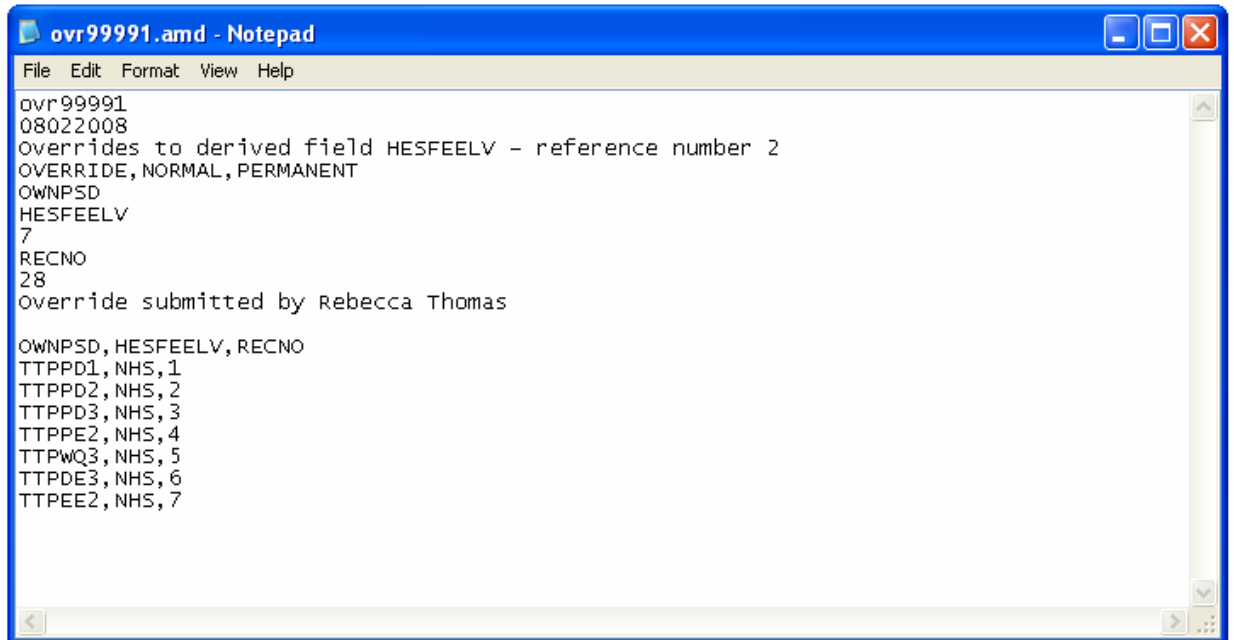
21. To ensure override files have not been corrupted during transit, we will check that the sum of values in the field specified on line 8 of the override file matches the value returned on line 9. If an override file does not contain any numeric fields suitable for calculating a check-sum, an additional field must be included solely for this purpose, for example QUALAIM. 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 etc.

### **Outcome**

22. 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. Institutions will be notified by e-mail when the revised re-creation tables and individualised file will be available via the HEFCE extranet.

## Examples of override files

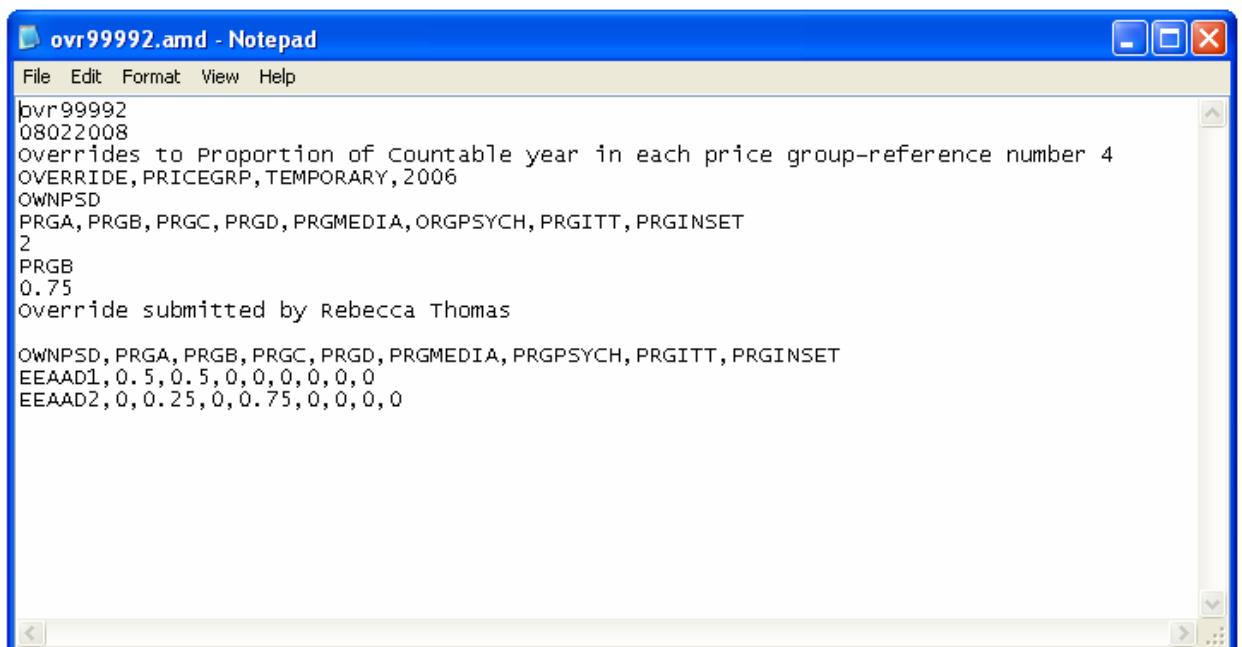
Figure 1 A typical override file



```
ovr99991
08022008
Overrides to derived field HESFEELV - reference number 2
OVERRIDE,NORMAL,PERMANENT
OWNPSD
HESFEELV
7
RECNO
28
Override submitted by Rebecca Thomas

OWNPSD,HESFEELV,RECNO
TTPPD1,NHS,1
TTPPD2,NHS,2
TTPPD3,NHS,3
TTPPE2,NHS,4
TTPWQ3,NHS,5
TTPDE3,NHS,6
TTPPE2,NHS,7
```

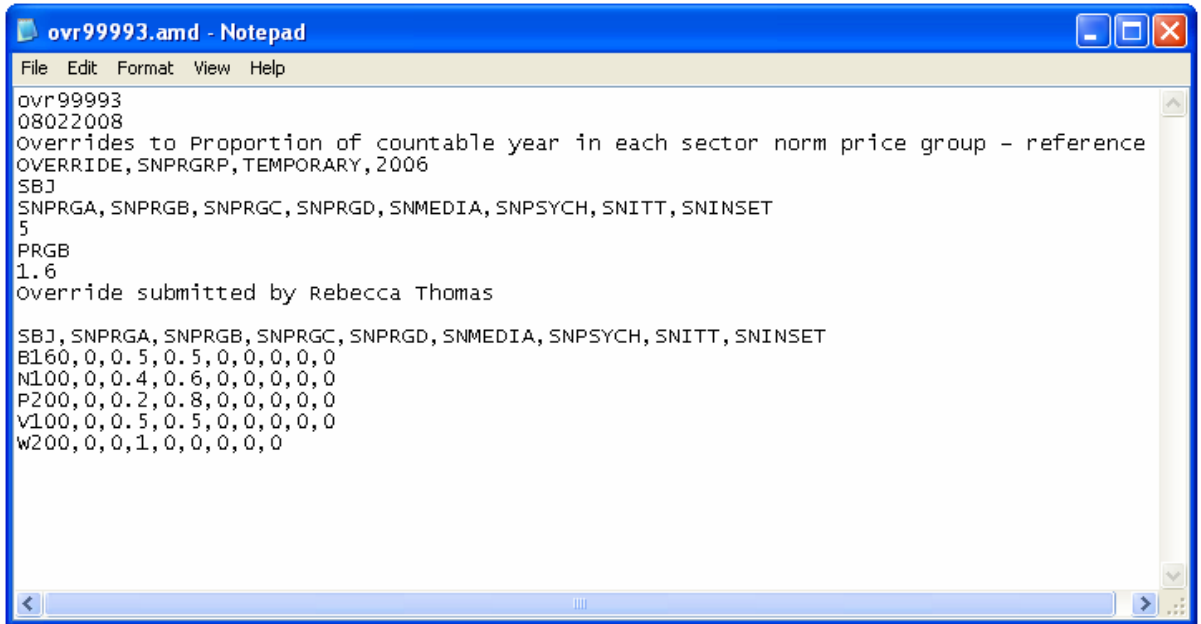
Figure 2 Proportion of countable year in each price group file



```
ovr99992
08022008
Overrides to Proportion of Countable year in each price group-reference number 4
OVERRIDE,PRICEGRP,TEMPORARY,2006
OWNPSD
PRGA,PRGB,PRGC,PRGD,PRGMEDIA,ORGPSYCH,PRGITT,PRGINSET
2
PRGB
0.75
Override submitted by Rebecca Thomas

OWNPSD,PRGA,PRGB,PRGC,PRGD,PRGMEDIA,ORGPSYCH,PRGITT,PRGINSET
EEAAD1,0.5,0.5,0,0,0,0,0,0
EEAAD2,0,0.25,0,0.75,0,0,0,0
```

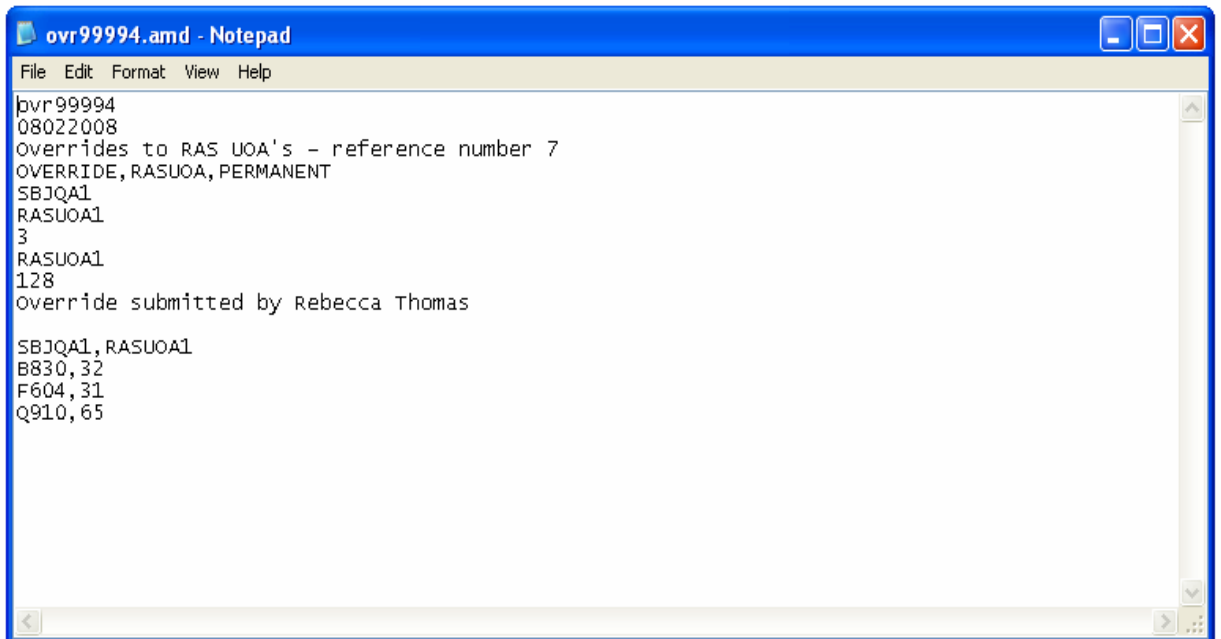
Figure 3 Proportion of countable year in each sector norm price group file



```
ovr99993
08022008
Overrides to Proportion of countable year in each sector norm price group - reference
OVERRIDE,SNPRGRP,TEMPORARY,2006
SBJ
SNPRGA,SNPRGB,SNPRGC,SNPRGD,SNMEDIA,SNPSYCH,SNITT,SNINSET
5
PRGB
1.6
Override submitted by Rebecca Thomas

SBJ,SNPRGA,SNPRGB,SNPRGC,SNPRGD,SNMEDIA,SNPSYCH,SNITT,SNINSET
B160,0,0.5,0.5,0,0,0,0,0
N100,0,0.4,0.6,0,0,0,0,0
P200,0,0.2,0.8,0,0,0,0,0
V100,0,0.5,0.5,0,0,0,0,0
W200,0,0,1,0,0,0,0,0
```

Figure 4 RAS UOAs file

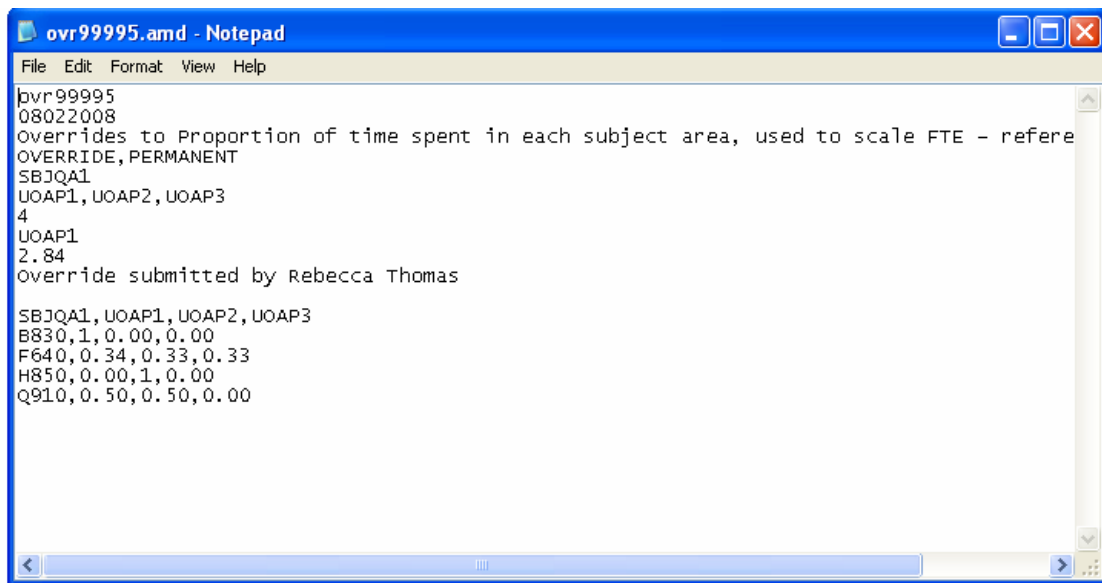


```
ovr99994
08022008
Overrides to RAS UOA's - reference number 7
OVERRIDE,RASUOA,PERMANENT
SBJQA1
RASUOA1
3
RASUOA1
128
Override submitted by Rebecca Thomas

SBJQA1,RASUOA1
B830,32
F604,31
Q910,65
```



Figure 5 Proportion of time spent in each subject area, used to scale FTE



```
ovr99995.amd - Notepad
File Edit Format View Help
ovr99995
08022008
Overrides to Proportion of time spent in each subject area, used to scale FTE - refere
OVERRIDE,PERMANENT
SBJQA1
UOAP1,UOAP2,UOAP3
4
UOAP1
2.84
Override submitted by Rebecca Thomas

SBJQA1,UOAP1,UOAP2,UOAP3
B830,1,0.00,0.00
F640,0.34,0.33,0.33
H850,0.00,1,0.00
Q910,0.50,0.50,0.00
```

## **Annex M**

### **List of abbreviations**

<b>CFEE</b>	Co-funded employer engagement
<b>DSA</b>	Disabled Students' Allowance
<b>EC</b>	European Community
<b>ELQ</b>	Equivalent or lower qualification
<b>FAQ</b>	Frequently asked question
<b>FE</b>	Further education
<b>FEC</b>	Further education college
<b>FTE</b>	Full-time equivalent
<b>FTS</b>	Full-time and sandwich
<b>HE</b>	Higher education
<b>HESA</b>	Higher Education Statistics Agency
<b>HESES</b>	Higher Education Students Early Statistics survey
<b>HIN</b>	HUSID X INSTID X NUMHUS
<b>ILR</b>	Individualised Learner Record
<b>JACS</b>	Joint Academic Coding System
<b>LSC</b>	Learning and Skills Council
<b>RAS</b>	Research Activity Survey
<b>SIVS</b>	Strategically important and vulnerable subjects
<b>UCAS</b>	Universities and Colleges Admissions Service
<b>UKPRN</b>	United Kingdom Provider Reference Number
<b>UOA</b>	Unit of Assessment
<b>UPIN</b>	Unique Provider Identification Number
<b>WP</b>	Widening participation