

	<b>Page</b>
<b>Executive summary</b>	1
<b>Introduction</b>	4
<b>Annexes</b>	
Annex A	8
Annex B	9
Annex C	14
Annex D	17
Annex E	18
Annex F	19
Annex G	23
Annex H	32
	35
<b>Technical appendices (available on the web)</b>	
Appendix 1	
Appendix 2	
Appendix 3	
Appendix 4	
Appendix 5	
Appendix 6	



# 2003-04 statistics derived from ILR data for the monitoring and allocation of funding in FECs

<b>To</b>	Heads of further education colleges directly funded by HEFCE Heads of lead institutions of HEFCE-recognised funding consortia
<b>Of interest to those responsible for</b>	Learner data, Funding, Audit
<b>Reference</b>	<b>2005/15</b>
<b>Publication date</b>	<b>March 2005</b>
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## **Executive summary**

### **Purpose**

1. This document describes:
  - a. How we will use 2003-04 Learning and Skills Council (LSC) learner data to monitor returns made to HEFCE.
  - b. The responses required to these monitoring processes.
  - c. How we will use the LSC's July 2003-04 Individualised Learner Record (2003-04 ILR F04) to inform the 2005-06 widening participation allocations.
  - d. How we will use the 2003-04 ILR F04 in HEFCE statistical publications.
2. This document is divided into three sections:
  - a. The comparison of Higher Education in Further Education: Students Survey 2003-04 (HEIFES03) and the 2003-04 ILR F04.
  - b. The use of the 2003-04 ILR F04 in informing the 2005-06 widening participation allocations.
  - c. The use of the 2003-04 ILR F04 in HEFCE statistical publications.

## Key points

### Data quality

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

### Funding monitoring

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

5. Our funding allocations are informed by the data provided by colleges. If we find, either through reconciliations with 2003-04 ILR F04 data, or any data audit, that the data do not reflect the outturn position for the year and that this has resulted in colleges receiving incorrect funding allocations, then we will adjust their funding accordingly. (This is subject to the appeals process and the availability of our funds.)

6. Any funding adjustments arising from the reconciliation of a re-creation of HEIFES03 from 2003-04 ILR F04 data (the HEIFES03 re-creation) are likely to affect the funding previously announced for 2003-04 and all subsequent years.

7. In some cases the funding adjustments may be significant. Therefore it is important for colleges to ensure that sufficient time and resources are allocated to allow the exercise to be completed accurately and promptly. If colleges have not signed off their re-creations by the deadlines given below, then we will implement any reductions to 2005-06 grant that we expect to arise, pending completion of the reconciliation process. This is an interim measure to avoid grant adjustments accumulating to the point at which they become difficult for colleges to manage. The deadline is **31 August 2005** for

colleges selected to respond to the comparison of HEIFES03 and the HEIFES03 re-creation.

### Annexes and appendices

8. The annexes to this publication describe how we will use 2003-04 ILR F04 data for this exercise. The web-only appendices to this publication contain technical descriptions of the algorithms we will use. The appendices are on the HEFCE web-site [www.hefce.ac.uk](http://www.hefce.ac.uk), with this document under Publications.

### Action required

#### Funding monitoring

9. We will write to heads of colleges, copied to HEIFES contacts, by 1 April 2005 indicating whether a response is required.

10. Where we require a response, an action and implementation plan must be sent **by 22 April 2005** to:

Ben Grassby  
Analytical Services Group  
HEFCE  
Northavon House  
Coldharbour Lane  
BRISTOL  
BS16 1QD

11. The final deadline for receipt of amendments by HEFCE to 2003-04 ILR F04 data and overrides to derived fields, as detailed in the action and implementation plans, is 20 May 2005.

#### 2003-04 ILR F04 data used to inform 2005-06 widening participation allocations

12. If colleges wish to correct 2003-04 ILR F04 data that will be used to inform 2005-06 widening participation allocations they should submit amendments by 29 April 2005 to Ben Grassby.

#### 2003-04 ILR F04 data for verification of regional statistics

13. If colleges wish to correct 2003-04 ILR F04 data that will be used in HEFCE regional statistics they

should submit amendments by 29 April 2005 to Lisa Readdy. We will assume colleges are content for their 2003-04 ILR F04 data to be published if they do not submit amendments before this date.

### **Timetable**

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

1 April 2005	Issue of letter to all colleges requesting response to exercise where appropriate
22 April 2005	Deadline for receipt of action and implementation plan produced by each college required to respond
20 May 2005	Final deadline for receipt of 2003-04 ILR F04 amendments and overrides, as detailed in the action and implementation plan
29 April 2005	Final deadline for receipt of amendments which affect the 2005-06 WP allocations and HEFCE regional statistics
31 August 2005	For colleges asked to respond to the comparison of HEIFES03 and the HEIFES03 re-creation: deadline for confirmation that the HEIFES03 re-creation reasonably reflects the outturn position for 2003-04 to avoid interim grant adjustments (see paragraphs 25-27 of the Introduction)

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

## Introduction

16. This document describes how we will use 2003-04 ILR F04 data to monitor returns made to HEFCE. It also details the action required where either a response is requested or a college wishes to correct errors in its 2003-04 ILR F04 data.

## Annual data returns

17. HEIFES data are used to determine the funding allocations made for teaching. HEIFES is used both to monitor the year's teaching funding allocation and to determine the teaching funding allocation for the following year. ILR F04 data are used to:

- a. Monitor HEIFES through the re-creation of the HEIFES return. If we find, either through a college's response to our reconciliations using ILR F04 data, or any other method of assurance or data audit, that the HEIFES submission does not reflect the final outturn position for the year and that incorrect funding allocations have occurred as a result, then we will adjust the FEC's funding accordingly (subject to the appeals process and the availability of our funds.)
- b. Inform funding allocations where the necessary information is not collected on HEIFES (for example, qualification on entry and age data for determining the widening participation allocations).

18. Our monitoring processes are applied consistently to all colleges. We receive ILR F04 data 14 months after the equivalent year's HEIFES return. We expect all colleges to have used the HEIFES re-creation generated by the '2003-04 statistics derived from ILR data: guide to HEFCE web facility' to review their HEIFES return before submitting their ILR returns.

## Monitoring funding

### HEIFES03

19. 2003-04 ILR F04 data will be used to monitor HEIFES03. A re-creation of HEIFES03 is generated from 2003-04 ILR F04 data using the methods detailed in Annex B. HEIFES03 will be compared to

the HEIFES03 re-creation. Our copy of 2003-04 ILR F04 data was extracted on 30 November 2004.

20. We employ thresholds to select which colleges must respond to this comparison. These thresholds are set in terms of the funding differences arising between HEIFES03 and the HEIFES03 re-creation.

21. Each college that is required to make a response must provide an action and implementation plan. The plan must:

- a. Explain each constituent cause of difference between HEIFES03 and the HEIFES03 re-creation.
- b. Contain an estimate of the contribution that each constituent cause of difference makes to the discrepancy in terms of student numbers and FTEs and, where appropriate, in terms of contract range holdback, funds to be held back or funds due back.
- c. Detail all actions required to reconcile the two data sources broken down by each cause of difference.
- d. Detail the system or process changes that will be implemented to ensure that similar discrepancies do not recur.

22. After both the college and HEFCE are content that the discrepancies between the two data sources are explained, and where appropriate the necessary action has been taken to remove a discrepancy, we will ask for confirmation that the HEIFES03 re-creation reasonably reflects the outturn position for 2003-04.

23. Once confirmation has been asked for and received, the HEIFES03 re-creation will supersede HEIFES03 and any consequent grant adjustments will be calculated and made (subject to the appeals process and the availability of our funds). The thresholds we use to select colleges must not be interpreted as being the minimum grant adjustments that we might effect. These are set out in the relevant grant adjustments publication, for example 'HEFCE grant adjustments 2003-04' (HEFCE 2003/24).

## **Risk assessment**

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

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

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

## **HEIFES03 and the HEIFES03 re-creation comparison**

26. We will reduce monthly grant payments for colleges where:
- We have requested a response to the HEIFES03 and HEIFES03 re-creation; and
  - We have not asked for, or we have asked for and not received, confirmation that the HEIFES03 re-creation reasonably reflects the outturn position for 2003-04 by **31 August 2005**; and
  - The grant adjustment for 2005-06 that would result from the HEIFES03 re-creation position shown on **31 August 2005** would represent a reduction in the teaching funding allocation for 2005-06.
27. In these circumstances we will effect the change to 2005-06 grant by using our own reasonable estimates, as at **31 August 2005**, of the final outturn

position, reflecting the current HEIFES03 re-creation. The reduction in 2005-06 grant payments would be effected through the college's standard monthly grant payment profile.

## **Grant adjustment – not required for response**

28. We do not gain assurance, through this exercise, over the reliability of the HEIFES03 re-creation for colleges that have not been required to respond. For such colleges we would not expect to adjust teaching funding allocations based on the re-creation.

## **Further monitoring**

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

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

## **Funding allocations**

### **Widening participation funding allocation**

31. 2003-04 ILR F04 data will be used to inform the following WP funding allocations for 2005-06:

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

32. Annex C contains details of the methodology used to inform the 2005-06 widening participation allocations.

## **HEFCE publications**

### **Regional statistics**

33. We intend to publish regional statistics derived from 2003-04 ILR F04 during 2005. Details of the methods we intend to use to derive the regional statistics are given in Annex D.

## HEFCE web facility for 2003-04 statistics derived from ILR data

34. On 16 August 2004 we made available a HEFCE web facility for 2003-04 statistics derived from ILR data. This facility is designed both to assist further education colleges to return accurate data to the LSC, and to identify discrepancies between forecasting in HEIFES03 and the outturn position for 2003-04. This was the first year that we made the facility available. We expect to investigate any relationship between use of this facility and selection for this exercise at a later date.

## HEFCE -recognised funding consortium

35. Where the lead of a HEFCE-recognised funding consortium is a further education college, the HEIFES03 re-creation tables will incorporate data supplied by each consortium member. Data for provision in further education colleges included in the consortium will be sourced from the 2003-04 ILR F04.

## Next steps

36. We will write to heads of colleges by **1 April 2005**, copied to HEIFES contacts, indicating whether a response is required to this exercise. Enclosed with this letter will be the following sets of outputs:

- a. Output 1 – Comparison of HEIFES03 and the HEIFES03 re-creation.
- b. Output 2 - Statistics derived from ILR data used to inform the 2005-06 WP allocations.
- c. Output 3 – HEFCE regional statistics.

These data will also be available on the HEFCE extranet.

## Guidance

### HEFCE contact

37. Each college required to make a response to this exercise has been assigned a HEFCE contact. This contact will be able to provide guidance during the response process. Details of the contact will be

provided in a letter sent by Ben Grassby on 23 March 2005.

### Action and implementation plans

38. Guidance for producing action and implementation plans is given in Annex F. An example action and implementation plan is given in Appendix 6.

### Troubleshooting

39. Appendix 2 can assist with identifying the causes of discrepancies between HEIFES03 and the HEIFES03 re-creation.

### Supplementary data

40. Files can be accessed from the HEFCE extranet with details of how each student was classified in the re-creation, and HEFCE regional statistics. Details of how to access these files are in Annex E.

### FAQs

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

### SAS code

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

### Comments

43. All colleges may comment on any of the methods described in this publication. Comments should be sent to Ben Grassby, e-mail [b.grassby@hefce.ac.uk](mailto:b.grassby@hefce.ac.uk).

### Annexes and appendices

44. The annexes to this publication describe how we will use 2003-04 ILR F04 data for this exercise. The web-only appendices to this publication contain



technical descriptions of the algorithms we will use.  
The appendices are on the HEFCE web-site  
[www.hefce.ac.uk](http://www.hefce.ac.uk), with this document under  
Publications.

# Annex A

## Summary of changes since 2002-03 statistics derived from ILR data for the monitoring and allocation of funding in FECs (HEFCE 2004/39)

### Purpose

1. This annex describes the changes that have been made since the release of '2002-03 statistics derived from ILR data for the allocation and monitoring of funding in FECs' (HEFCE 2004/39).

### Division of technical and non-technical information

2. The annexes to this publication describe how we will use 2003-04 ILR F04 data for this exercise. The web-only appendices to this publication contain technical descriptions of the algorithms we will use. The appendices are on the HEFCE web-site [www.hefce.ac.uk](http://www.hefce.ac.uk), with this document under Publications.

### Enacting grant adjustments – interim adjustments

3. The monitoring process can take many months to complete. In some cases in the past, by the time that confirmation was received that a HEIFES re-creation reasonably reflected the outturn position for the given year, the consequential grant adjustments had affected funding allocations over a four-year period. We recognise that this can be difficult for colleges to manage. Therefore, to reduce the risk of grant repayments accumulating to the point where they become difficult to manage, we will reduce monthly grant payments for colleges in the circumstances set out in paragraphs 26-27 of the main text.

### Teaching funding allocations

4. A review is being undertaken in order to assess the relative costs of different types of provision for media studies and for sports science and leisure studies. This was announced in 'Funding method for teaching from 2004-05: outcomes of consultation' (HEFCE 2004/24). 2003-04 ILR F04 data will be used to validate institutions' survey returns for this exercise. In addition, if the review determines that sports science and leisure studies activity should be reassigned to price groups, then 2003-04 ILR F04 data will be used to incorporate any changes to the

mainstream teaching funding allocation for 2005-06.

5. If necessary the summaries of the ILR data used to inform the reassignments, along with details of the methodology used, will be made available to colleges in the near future. An appendix containing this information will be put on the HEFCE web-site when the information becomes available.

### Grant adjustment report

6. An explanation of the cover sheet has been included within the explanation of the algorithms used to derive the grant adjustment report, standard resource table and assumed fee income table in Appendix 1.

### Submitting overrides to derived fields

7. A procedure for submitting override files has been set up that is similar to the procedure for submitting amendment files. This procedure is explained in Annex H.

### Amendment check-list

8. An amendment check-list that contains the file name(s) of the amendment files that have been processed, the name of the ILR F04 field(s) and the number of records that have been amended has been added to the zipped archive that is available from the HEFCE extranet. Details of how to access this file are provided in Annex E.

### Re-ordering of fields within the individualised file

9. Fields within the individualised files have been re-ordered so that fields that are needed to re-create the tables are near the start of the file. After 2005 we are committed to not changing the order.

### New e-mail address

10. The e-mail address for all correspondence for this exercise has been changed to 'ilr\_heifes\_stats@hefce.ac.uk'.

# Annex B

## Comparison of HEIFES03 and the HEIFES03 re-creation

### Purpose

1. This annex details the process of making a response to the comparison of HEIFES03 and the HEIFES03 re-creation where one is required. It also specifies the thresholds we have used to select colleges for response, based upon discrepancies between their HEIFES03 and the corresponding HEIFES03 re-creation. Where a college's data leads to discrepancies that exceed any of the thresholds, we require a full response through an action and implementation plan that fully addresses all areas of discrepancy, including those causing the selection of the college. Guidance for completing an action and implementation plan is given in Annex F.

### Comparison

2. The HEIFES03 re-creation is derived from 2003-04 ILR F04 data. It is produced by applying the algorithms detailed in Appendix 1.
3. Once produced, we compare the HEIFES03 re-creation to the HEIFES03 return. This comparison takes place after the data have been passed as valid by the LSC.
4. We re-calculate a grant adjustment report for the HEIFES03 re-creation using formulae equivalent to that which were used to calculate the grant adjustment report from HEIFES03.
5. We select colleges to explain discrepancies between their HEIFES03 and the HEIFES03 re-creation using a comparison of the grant adjustment reports derived from each return. Notwithstanding the thresholds described in paragraph 6, we may also ask for further information from any college in respect of this comparison. This may result in adjustments to grant.

### Selection of colleges required to respond

6. We will require a full, timely and detailed response from colleges where any of the following thresholds are exceeded:
  - a. The difference between contract range holdback for HEIFES03 and the HEIFES03 re-creation exceeds £325,000.

- b. The difference in any net grant adjustment relating to funding conditional upon delivery of growth between HEIFES03 and the HEIFES03 re-creation exceeds £100,000.
7. In calculating the grant adjustment reports we have ignored any appeals for mitigation. Therefore, the grant adjustment report derived from HEIFES03 may differ from the final grant adjustment report notified for 2003-04. Before making adjustments to a college's funding as a result of this exercise, we will take into account any previously agreed mitigation. We have adopted this approach to allow us to apply consistent monitoring procedures to all colleges, irrespective of individual circumstances that have affected previously announced funding allocations.

### Action required

- b. We will write to heads of colleges, copied to HEIFES contacts, **by 1 April 2005** indicating whether a response is required.
  9. Where we require a response, an action and implementation plan must be sent **by 22 April 2005** to Ben Grassby detailing how the college will reconcile the two data sources. Guidance for submitting an action and implementation plan is included in Annex F. The final deadline for receipt by HEFCE of any amendments to 2003-04 ILR F04 data is **20 May 2005**.

### Action and implementation plan

10. Each college required to make a response will be required to provide an action and implementation plan. The plan must:
          - a. Explain differences between the HEIFES03 re-creation and its HEIFES03 return.
          - b. Detail all actions required to reconcile the two data sources.
          - c. Detail how the college will implement system or process changes to ensure that similar problems do not recur.
        11. If colleges do not provide satisfactory explanations for discrepancies, or do not respond according to the given timescales, we may carry out

further investigations. This may include visits to colleges by us or our agents, in order to gain assurances concerning one or more of the following:

- the reliability of data returns
- the methodologies used to compile data returns
- the ability to respond in a full and timely manner to this exercise.

12. In order to gain these assurances we may need to collect or review data as part of these visits.

13. Paragraph 28a of the Financial Memorandum (HEFCE 2003/54) provides for the cost of such investigations to be deducted from colleges' grant.

14. Explanations for discrepancies between the two data sources can fall into one or more of the following four categories:

- errors/estimation discrepancies in HEIFES03
- errors in 2003-04 ILR F04 data
- errors in the Learning Aim Database
- problems of fit with the HEFCE algorithms.

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

#### **Errors/estimation discrepancies in HEIFES03 data**

16. Where it is identified that HEIFES03 does not reflect the outturn position for 2003-04, the HEIFES03 re-creation will supersede HEIFES03, and this will result in any consequent grant adjustments being made (subject to the appeals process and the availability of funds). Therefore it may be necessary for a college to submit amendments to its 2003-04 ILR F04 data to ensure they reasonably reflect the outturn position for 2003-04. See paragraphs 17-24 for details about submitting amendments to 2003-04 ILR F04 data.

#### **Errors in 2003-04 ILR F04**

17. Where errors are found in 2003-04 ILR F04 data, we require colleges to submit amendments. Colleges are encouraged to submit amendments well

in advance of the deadline of **20 May 2005** in order to ensure that, if required, any additional amendments can be submitted within this timeframe.

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

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

20. The procedures for the quality assurance of 2003-04 ILR F04 data must take place before submitting the data to the LSC. Any amendments submitted for this exercise must be seen as exceptional, and not a routine part of a college's data quality assurance procedures.

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

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

23. Amendments to 2003-04 ILR F04 data will be incorporated in future HEFCE statistical publications and analyses.

24. The LSC will not amend its version of 2003-04 ILR F04 unless colleges re-submit their 2003-04 ILR F04 directly to the LSC. We expect any changes to be included in the college's December 2003-04 return (ILR F05). The LSC provides the following guidance:

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

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

### **Errors in the Learning Aim Database**

25. 2003-04 ILR F04 data has been linked to a copy of the LSC’s Learning Aim Database extracted on 30 November 2004 to obtain information about the learning aim. Where it is identified that information on the Learning Aim Database is incorrect, colleges must notify the LSC of the error, copied to Gemma Harper at HEFCE, and request that the relevant entry is corrected.

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

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

27. Both cases will require an amendment to the learning aim reference number on 2003-04 ILR F04 data. Where a new learning aim is requested we will require evidence that the request has been made, and details of the new learning aim.

28. Where changes to the Learning Aim Database are requested, colleges should notify Gemma Harper when the request is accepted by the LSC.

### **Problems of fit with the HEFCE algorithms**

29. We do not believe that problems of fit with the HEFCE algorithms will fully explain discrepancies that exceed the thresholds in paragraph 6. However, where a problem of fit between our algorithms and HEIFES03 definitions contributes to a discrepancy, evidence of where the problem occurs, and its impact, will be required. Appendix 3 details all known problems of fit with the HEIFES03 re-creation.

### **Further action**

30. Amendments to 2003-04 ILR F04 data will be used to update the HEIFES03 re-creation. After the amendments have been processed, if we are not content that all discrepancies between HEIFES03 and the HEIFES03 re-creation have been reasonably explained, we will ask the college to submit a further action and implementation plan to explain any remaining discrepancies between the two data sources.

31. Once all amendments have been processed and we are content that all discrepancies between HEIFES03 and the HEIFES03 re-creation have been reasonably explained, we will ask the college to confirm:

- that the HEIFES03 re-creation reasonably reflects the outturn position for 2003-04
- the accuracy of the amendments to 2003-04 ILR F04 data.

### **HEIFES03 re-creation tables**

32. The HEIFES03 re-creation tables and HEIFES03 tables can be downloaded from the HEFCE extranet. Annex E describes how to access the Excel workbook ‘HEIR03’, which contains the worksheets listed in Table 1.

Table 1 **Excel workbook ‘HEIR03’**

<b>Page number</b>	<b>Worksheet (see tabs on spreadsheet)</b>	<b>Description</b>
1	Coversheet	Title page
2	Summary	HEIFES03 re-creation comparison summary table
3	PRGCMP	HEIFES03 re-creation price group comparison summary table
4	Excl	HEIFES03 re-creation exclusion table
5	FTS	HEIFES03 re-creation Table 1a: Full-time and sandwich years of programme of study
6	SWOUT	HEIFES03 re-creation Table 2: Sandwich year-out years of programme of study
7	PT	HEIFES03 re-creation Table 3: Part-time years of programme of study
8	FEE	HEIFES03 re-creation Table 4: Home and EC fees
9	HBK	HEIFES03 re-creation grant adjustment report
10	STD	HEIFES03 re-creation standard resource table
11	F03	HEIFES03 re-creation assumed fee income table
12	hFTS	HEIFES03 Table 1a: Full-time and sandwich years of programme of study
13	hSWOUT	HEIFES03 Table 2: Sandwich year-out years of programme of study
14	hPT	HEIFES03 Table 3: Part-time years of programme of study
15	hFEE	HEIFES03 Table 4: Home and EC fees
16	hHBK	HEIFES03 grant adjustment report
17	hSTD	HEIFES03 standard resource table
18	hF03	HEIFES03 assumed fee income table

## Guidance

### HEFCE contact

33. Each college required to make a response to this exercise will be 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.

### Action and implementation plan

34. Guidance for producing an action and implementation plan is provided in Annex F. An

example action and implementation plan can be found in Appendix 6.

### Troubleshooting

35. Appendix 2 will assist with identifying the causes of discrepancies between HEIFES03 and the HEIFES03 re-creation. Colleges selected to respond to this exercise are expected to have consulted the troubleshooting guide.

### Supplementary data

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

## **FAQs**

37. FAQs for this exercise can be found on the HEFCE web-site under Learning & teaching/Data collection. We encourage colleges to refer to the FAQs for guidance in the first instance. We will only use our e-mail list of HEIFES contacts to notify colleges of significant changes or updates. Colleges can contact their HEFCE higher education advisor to confirm that we have their HEIFES contact details.

## **SAS code**

38. We use the SAS programming language to generate the HEIFES03 re-creation. The SAS code we use to do this can be found on the HEFCE web-site under Learning & teaching/Data collection.

## **Comments**

39. All colleges are invited to comment on the algorithms described in Appendix 1, and to suggest how they can be improved. Comments should be sent to Ben Grassby, e-mail [b.grassby@hefce.ac.uk](mailto:b.grassby@hefce.ac.uk).

## **Deadline for responses**

40. Action and implementation plans must arrive no later than **22 April 2005** and must be sent to:

Ben Grassby

HEFCE

Northavon House

Analytical Services Group

Coldharbour Lane

BRISTOL

BS16 1QD

41. The final deadline for receipt of amendments to 2003-04 ILR F04 data detailed in the action and implementation plan is **20 May 2005**.

# Annex C

## Statistics derived from ILR data used to inform the 2005-06 widening participation allocations

### Purpose

1. This annex describes how we will use 2003-04 ILR F04 data to inform the widening participation (WP) allocations for 2005-06. Further details of the algorithms are given in Appendix 4.

### Widening access for students from disadvantaged backgrounds

2. This is a formula-based allocation of funding for teaching to recognise the extra costs associated with recruiting and supporting undergraduate students from disadvantaged backgrounds who are currently under-represented in higher education. The funds are allocated on the basis of higher education participation rates and average educational achievement for census wards. They are calculated for each college using its 2003-04 ILR F04 data. The method is as follows.

3. Firstly, using postcode information from 2003-04 ILR F04 data, each student is mapped to a ward. These wards are then ranked in terms of their higher education participation rate (for young, under 21, full-time students) or average educational achievement (for mature full-time students and all part-time students), split into quintiles, and weighted as follows.

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

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

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

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

The population is defined as:

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

Some students are excluded from the population:

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

6. These students are counted in the next step (see paragraph 7), and therefore receive an average weight for the purpose of allocating funds.

7. The average weight derived from paragraphs 5-6 is London weighted (8 per cent for inner London and 5 per cent for outer London) and applied to the assumed UG (including foundation degree) FTE for 2005-06.

### Improving retention

#### Full-time

8. As well as allocating funding to widen access, we are also allocating funding to improve retention. For full-time undergraduate students, this is based on their pre-entry qualifications and age. Some changes to the method have been implemented for 2005-06, in particular to assign



students with unknown entry qualifications to the lowest weighted risk category. There have also been some slight changes to the boundaries affecting how students with particular A-level points are assigned to risk categories. These changes are intended to ensure as much consistency as possible with the methodology used for HEIs, where students are assigned to risk categories using the new UCAS tariff point system. The allocations are calculated as follows.

9. Firstly, using age and pre-entry qualification information from 2003-04 ILR F04 data, full-time undergraduate entrants are assigned to one of six categories which are then weighted as shown below.

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

10. For this allocation, mature students are those aged 21 or over on entry. The assignment of students to risk categories based on entry qualifications is shown in Table 2 below.

11. We calculate an ‘improving retention average weight’ as:

English-domiciled full-time and sandwich  
undergraduate entrants, weighted according to age  
and pre-entry qualification

---

All English-domiciled full-time and sandwich  
undergraduate entrants

12. The average weight derived from paragraph 11 is given a London weighting and applied to the assumed FTS UG (including foundation degree) FTE for 2005-06.

Table 2 **The assignment of students to risk categories based on entry qualifications**

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

\*Entrants whose highest qualification on entry is A-levels but who did not enter via UCAS, so do not have A-level points recorded, are allocated to medium risk.

<sup>†</sup>Entrants with ‘unknown’ entry qualifications have been assigned to the ‘low risk’ category. Colleges should ensure that entry qualifications are fully recorded, if students are to be weighted appropriately in the allocation method for this stream of funding.

## Part-time

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

## Widening access for students with disabilities

14. This allocation has been calculated using 2003-04 ILR F04 data as follows.

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

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

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

17. Colleges' share of the money available is pro rata to the assumed FTE for 2005-06, weighted according to the quartile in which they fall and a London weighting, although the following minimum allocations apply.

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

18. The rate of funding per weighted FTE is £4.

## Widening participation tables

19. The output files can be downloaded from the HEFCE extranet. Annex E describes how to access the Excel workbook 'IHWP03'.

## Errors in 2003-04 ILR F04 data

20. The procedures for the quality assurance of ILR F04 data should take place prior to an institution signing off the ILR F04 data as correct. Any amendments accepted after this point to recalculate funding should be seen as exceptional, and not as part of quality assurance procedures.

21. If institutions wish to correct their 2003-04 ILR F04 data used to inform the widening participation allocation they should submit amendments **by 29 April 2005** to Ben Grassby at [ilr\\_heifcs\\_stats@hefce.ac.uk](mailto:ilr_heifcs_stats@hefce.ac.uk). Colleges should inform us by 15 April 2005 if they intend to submit amendments to correct their 2003-04 ILR F04 data used to inform the widening participation allocation.

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

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

24. Amendments to 2003-04 ILR F04 data will be incorporated in future HEFCE statistical publications and analyses.

# Annex D

## HEFCE regional statistics

### Purpose

1. This annex describes the data we intend to publish, or use to inform policy decisions. Colleges may comment on the data presented here and correct any errors as appropriate.
2. We will derive data from 2003-04 ILR F04 data to be used in producing information on provision by location. These data may also be used for regional analysis and to inform future policy decisions.
3. Full details of the algorithms used in generating the data for publication are given in Appendix 4. Where appropriate we have included derived fields on the individualised student data file, to allow colleges to better understand the derivation of the data.

### Provision by location

4. Last year a database of provision by location, derived from the Individualised Learner Record (ILR) and the Higher Education Statistics Agency (HESA) student record, was used for regional analyses. It is likely that we will continue to use similar data in the future. Therefore, it is essential that we have accurate data about where students are taught.

5. The location where students are taught is derived from the institution's postcode.
6. The following geographical categories based on the teaching college's postcode were included in the database: region, county, county/unitary authority, local education authority and the LSC area.
7. Students who study via distance learning are not included in the database of provision by location.
8. The database also contains details of the students' mode and level of study as well as broadly grouped subject of study.

### Publication tables

9. The output files can be downloaded from the HEFCE extranet. Annex E describes how to access the Excel workbook 'IHPUB03' which contains the worksheets listed in Table 3.

### Deadline for responses

10. If colleges are concerned about the suitability for publication of the data they should contact Lisa Readdy at [ilr\\_heifes\\_stats@hefce.ac.uk](mailto:ilr_heifes_stats@hefce.ac.uk) by 15 April 2005. The deadline for submitting amendments to correct data for publication is **29 April 2005**.

Table 3 **Excel workbook 'IHPUB03'**

Page number	Worksheet (see tabs on spreadsheet)	Description
1	Cover_sheet	Title page
2	Pub	Number of students by subject area, mode and level using 2003-04 ILR F04 data
3	PubFTE	Number of full-time equivalents by subject area, mode and level using 2003-04 ILR F04 data

# Annex E

## Obtaining data from the HEFCE extranet

1. Output files can be downloaded from the HEFCE extranet at <https://extranet.hedata.ac.uk>.
2. Where amendments are made to individualised data, and these amendments have been successfully incorporated into a college's HEIFES03 re-creation, the version of the re-creation available on our extranet will be updated accordingly. Therefore, if colleges wish to retain intermediate versions of the re-creation they will need to make copies of the files on their own system.
3. The first time you visit the site, in order to access the data on the HEFCE extranet, you will need to register. This can be done by clicking the register link on the log in screen. In order to register, you will require an 'organisation key' and a 'group key', details of which were provided in a letter sent by Ben Grassby on 23 March 2005.
4. Once you have registered, you should be able to log in by entering the e-mail address you used when you registered, and the password that you created.
5. After verifying the e-mail address and password, your browser will be directed to the 'All resources' page and by following the 'HEFCE resources' link, colleges will have access to their output files.
6. You can also log in to the HEFCE extranet using your Athens Single Sign On account (if this is available at your organisation):
  - a. Follow the 'Log in via Athens SSO' link on the log in page.
  - b. Log in to Athens as normal.
  - c. When Athens has authenticated you, your browser will be directed to the 'HEFCE extranet – available resources page' where colleges will have access to their output files.
7. Under the 'Folders' heading there will be an 'Statistics derived from ILR data' link. After clicking on this link a '2003-04 statistics derived from ILR data' link will be visible. 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. Clicking on '2003-04 statistics derived from ILR data' will start the download of a zipped file containing the following:

- STU03XXXXXXX.ind – HEIFES03 re-creation individualised student data file
- HEIR03XXXXXXX.xls – HEIFES03 re-creation tables
- WP03XXXXXXX.ind – 2005-06 widening participation individualised student data file
- IHWP03XXXXXXX.xls – 2005-06 widening participation allocation tables
- PUB03XXXXXXX.ind – regional statistics individualised student data file
- IHPUB03XXXXXXX.xls – summarised regional statistics

where XXXXXX is the UPIN for the college.

8. 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.
9. Colleges are reminded that the individualised data are covered by the Data Protection Act. In order for these data to be accessible to someone, they need to have both the organisation key and the appropriate group key for the data. You should not pass these keys to unauthorised personnel.

# Annex F

## Guidance for action and implementation plans

1. All colleges that are required to respond to this exercise must submit an action and implementation plan. This annex describes the information that we require.

2. Example action and implementation plans are given in Appendix 6. Templates are also provided in Figures 1 and 2 of this annex.

3. In order for us to gain assurance about a college's ability to identify and remedy areas and causes of discrepancy between two data sources, we expect to receive an action and implementation plan which contains all of the following as appropriate:

- a. Identification of areas of difference between the two data sources.
- b. Identification of causes of difference between the two data sources which have resulted in the areas of difference. The causes must be fully considered and detailed appropriately.
- c. A list of all 2003-04 ILR F04 fields requiring amendment for each area of difference (where appropriate).
- d. A date for submitting amendments to 2003-04 ILR F04 data (where appropriate), within the deadlines given for the comparison.
- e. Estimate of contribution to the overall discrepancy. The summation of each cause of difference must amount to the overall discrepancy between the two data sources.
- f. An implementation plan of how changes to systems or processes will eliminate the likelihood of similar errors recurring in future returns. The implementation plan must specify the date by which each change will be made.

### Action plan

#### Identification of the areas of difference

4. The troubleshooting guide contained in Appendix 2 will assist in identifying specific areas of difference. We expect colleges to exercise their own judgement to decide when small differences between the two data sources do not warrant

inclusion within the action and implementation plan. However, small differences may accumulate, and will reduce our confidence in the college's ability to identify areas of discrepancy between the two data sources.

#### 2003-04 ILR F04 fields requiring amendment

5. Where errors in 2003-04 ILR F04 data are the cause of a discrepancy between two data sources, a full list of the fields that require amendment must be identified by the college and supplied within the action and implementation plan.

#### Date for submitting 2003-04 ILR F04 amendments

6. If the cause of a discrepancy is erroneous ILR data, the action and implementation plan must indicate the date by which an amendment file to correct the error, in the format and structure described in Annex G will be submitted. Typically the process of submitting and receiving feedback for an amendment file will take up to 10 working days. Occasionally, more than one attempt is necessary to reconcile differences between data sources, therefore we advise that amendment files are submitted early enough to ensure that a full and adequate response can be made by the final deadline.

#### Estimate of contribution to discrepancy

7. The action and implementation plan must include an estimate of the contribution each cause of difference makes to the discrepancy in terms of student numbers and FTEs, and where appropriate, contract range holdback, funds to be held back or funds due back. Where the summation of the contributions to the discrepancy does not account for the whole discrepancy, our confidence in the college's ability to identify areas of discrepancy between the two data sources will be reduced.

#### Implementation

8. Errors in data usually arise from deficiencies in the systems and processes used for ensuring data quality and consistency on the college's student

record system. For each difference caused by erroneous data, details of implementations describing all change to systems or processes to eliminate the likelihood of similar errors recurring must be included. The implementation section of the action and implementation plan must also include a date by which the changes will be made. We will pass all details of implementation, together with all other details in the plan, to our assurance service.

### **Further action**

9. Where an action and implementation plan does not fulfil our expectations, in that we are unable to gain assurance about the college's ability to identify and remedy areas and causes of discrepancy from it, we will take appropriate action to gain assurance.

10. We may carry out further investigations. This may include visits to colleges by us or our agents, in order to gain assurances concerning one or more of the following:

- the reliability of data returns
- the methodologies used to compile data returns
- the ability to respond in a full and timely manner to this exercise.

11. In order to gain these assurances we may need to collect or review data as part of these visits.

12. Paragraph 28a of the Financial Memorandum (HEFCE 2003/54) provides for the cost of such investigations to be deducted from colleges' grant.

Figure 1 **Action plan: HEIFES03 and 2003-04 ILR F04 data**

College name:

LSC code:

**Area(s), cause(s), contribution to discrepancy and date\* for correction of differences**

Reference number	Area of difference (eg, Column 1 full-time undergraduates HEFCE-funded price group D)	Cause of difference (eg, HEIFES, 2003-04 ILR F04, Learning Aim Database, algorithm)	2003-04 ILR F04 fields requiring amendment (eg, 623 changes to A11)*	Date for submitting 2003-04 ILR F04 amendment *	Estimate of contribution to discrepancy		
					Funding adjustment (eg, £300,000 funds due back)	Student numbers	FTE

\* Where appropriate.

Figure 2 **Implementation plan**

College name:

LSC code:

Area of discrepancy:

Change to system or process:

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Signed: \_\_\_\_\_

Name (please print): \_\_\_\_\_

Position in organisation: \_\_\_\_\_

Date: \_\_\_\_\_



# Annex G

## Submitting amendments to 2003-04 ILR F04 data

### Purpose

1. This annex details the data structure and format for amendments to 2003-04 ILR F04 data. Colleges must only supply 2003-04 ILR F04 amendment files using the file structure and format detailed within this annex.

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

- change file – corrects field values for records on the 2003-04 ILR F04 return
- addition file – adds records omitted from the 2003-04 ILR F04 return
- deletion file – deletes records incorrectly included on the 2003-04 ILR F04 return.

3. Examples of these three types of amendment file can be found at the end of this annex (see Figures 3-5), as well as a summary of the information we require for each type of amendment file (see Table 4).

4. These specifications are necessary to ensure we can process amendments to 2003-04 ILR F04 data in a timely and accurate manner. We will require colleges to re-submit amendment files that differ, either in structure or format, to the specifications detailed in this annex.

### Format

5. Amendments to 2003-04 ILR F04 data must be sent as a comma-separated file via the HEFCE extranet, or as an e-mail attachment sent to [ilr\\_heifex\\_stats@hefce.ac.uk](mailto:ilr_heifex_stats@hefce.ac.uk).

### Structure

6. The structure of an amendment file depends on the type of amendments being submitted. Details of the structure of change, addition and deletion files are given in paragraphs 7-11, 12-20 and 21-25 respectively. Each amendment file must only contain records for one 2003-04 ILR F04 data set (learner, learning aim or HE).

### Change file

7. This amendment type allows values of fields to be corrected at the individual record level in our copy of 2003-04 ILR F04 data. Typically change files correct a small number of fields which contain incorrect values.

8. Change files must be given a file name in the form `chgXXXXXDNN.csv`, where:

- XXXXX is the old LSC institution identifier for your college
- D is the identifier of the ILR dataset being changed
- NN is a sequential number starting at 01. For instance, a first set of amendments in a change file must be submitted in the form `chgXXXXXD01.csv`, and a second set of different amendments must be submitted in the form `chgXXXXXD02.csv`.

D must take one of the following values:

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

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

10. Only 2003-04 ILR F04 fields must be included in amendment files. Where changes to derived fields are required, the underlying 2003-04 ILR F04 fields must be changed. For example, if HEFLEVEL is incorrect then H15 would need to be changed.

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

**line 1** – amendment reference in the form `chgXXXXXDNN` as explained in paragraph 8; this will be the same as the filename with the ‘.csv’ file extension removed.

**line 2** – creation date of the amendment file in the form `ddmmyyyy`. For example `03052005` for a file created on 3 May 2005.

**line 3** – brief description of the correction, and the reference number of the area of difference on the action plan that it rectifies. For example ‘Changes to 2003-04 ILR F04 fields H14 and H15 – reference number 1’.

**line 4** – this line must contain the word CHANGE.

**line 5** – the 2003-04 ILR F04 fields used to uniquely identify records on the amendment file, comma-separated. For example H01, H03, H09.

**line 6** – the 2003-04 ILR F04 fields being changed, comma-separated. For example H14, H15.

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

**line 8** – the 2003-04 ILR F04 field used to calculate the file check sum (see paragraph 31 for an explanation of the file check sum).

**line 9** – file check sum.

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

**line 12** – 2003-04 ILR F04 fields included in the amendment file. These fields must appear in the same order as each row of the data and must be comma-separated. For example H01, H03, H09, H14, H15.

**line 13** – amendment data must begin on this line.

### Addition file

12. This amendment type allows full records that were omitted from the 2003-04 ILR F04 return to be added to our copy of the data. Each addition file must only contain additional records for one data set, that is, learner, learning aim or HE. In this case all 2003-04 ILR F04 fields for that data set must be included in the addition file even if they are blank. These data must be validated by 2003-04 ILR F04 validation rules.

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

- XXXXX is the old LSC institution identifier for your college
- D is the identifier of the ILR dataset being added to

- T is the type of addition
- NN is a sequential number starting at 01. For instance, a first set of amendments in an addition file must be submitted in the form addXXXXXDT01.csv, and a second set of different amendments must be submitted in the form addXXXXXDT02.csv.

D must take one of the following values:

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

T must take one of the following values:

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

### Adding student records

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

### Example 1

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

- addXXXXXL301.csv containing the data for the ILR learner data set for all four students
- addXXXXXA301.csv containing all data for the learning aim data set for the five learning aims
- addXXXXXH301.csv containing all data for the HE data set for the five learning aims.

### **Adding learning aims to existing student records**

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

#### **Example 2**

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

- addXXXXXA202.csv containing all data for the learning aim data set for the three learning aims
- addXXXXXH202.csv containing all data for the HE data set for the two learning aims which are HE.

### **Adding HE data to existing qualification aim records**

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

#### **Example 3**

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

- addXXXXXH103.csv containing all data for the HE data set data for the five HE learning aims.

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

**line 1** – amendment reference in the form addXXXXDTNN as explained in paragraph 13; this will be the same as the filename with the ‘.csv’ file extension removed.

**line 2** – creation date of the amendment file in the form ddmyyyy. For example 03012005 for a file created on 3 January 2005.

**line 3** – brief description of the additional records, and the reference number of the area of difference on the action plan that it rectifies. For example ‘Learner data set data for HNCs omitted from original 2003-04 ILR F04 return – reference number 2 on the action plan’.

**line 4** – this line must contain the word ADD.

**line 5** – this line must be left blank.

**line 6** – this line must be left blank.

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

**line 8** – the 2003-04 ILR F04 field used to calculate the file check sum (see paragraph 31 for an explanation of the file check sum).

**line 9** – file check sum.

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

**line 12** – a list of all fields in the relevant 2003-04 ILR F04 data set. These fields must appear in the same order as each row of the data and must be comma-separated.

**line 13** – additional records must begin on this line.

### **Deletion file**

21. This amendment type allows records incorrectly included on 2003-04 ILR F04 to be removed from our copy of the data.

22. Deletion files must be given a file name in the form delXXXXDNN.csv.

Where:

- XXXXX is the LSC 2003-04 college identifier
- D is the identifier of the ILR data set being deleted from
- NN is a sequential number starting at 01. For instance, a first set of amendments in a deletion file must be submitted in the form delXXXXD01.csv, and a second set of different amendments must be submitted in the form delXXXXD02.csv.

D must take one of the following values:

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

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

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

**line 1** – amendment reference in the form delXXXXDNN as explained in paragraph 22; this will be the same as the filename with the ‘.csv’ file extension removed.

**line 2** – creation date of the amendment file in the form ddmmYYYY. For example 03052005 for a file created on 3 May 2005.

**line 3** – brief description of the correction, and the reference number of the area of difference on the action plan that it rectifies. For example ‘Learning aim data set data for HNCs incorrectly included in 2003-04 ILR F04 – reference number 3’.

**line 4** – this line must contain the word DELETE.

**line 5** – 2003-04 ILR F04 fields that uniquely identify records on the amendment file, comma-separated. For example A01, A03, A05, A48.

**line 6** – this line must be left blank.

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

**line 8** – the 2003-04 ILR F04 field used to calculate the file check sum (see paragraph 31 for an explanation of the file check sum).

**line 9** – file check sum.

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

**line 12** – 2003-04 ILR F04 fields included in the amendment file. These fields must appear in the

same order as each row of the data and must be comma-separated. For example A01, A03, A04, A05, A48, A11 (for file check sum).

**line 13** – the data must begin on this line.

### Uniquely identifying records

25. To enable us to link change or deletion files to our master 2003-04 ILR F04 data sets, we must be able to identify each record on the amendment file in such a way that it uniquely identifies the record on the 2003-04 ILR F04 return. The field, or combination of fields, enabling us to achieve this must be listed, comma-separated, in line 5 of the amendment file.

26. We recommend colleges use the following four fields to uniquely identify 2003-04 ILR F04 learner data set records:

- L01
- L02
- L03
- L42a, L42b

27. We recommend colleges use the following four fields to uniquely identify 2003-04 ILR F04 learning aim data set records:

- A01
- A03
- A05
- A48a, A48b

28. We recommend colleges use the following three fields to uniquely identify 2003-04 ILR F04 HE data set records:

- H01
- H03
- H09

### Validation

29. We will use the LSC’s validation software to ensure that all amendments are valid and do not cause validation failures elsewhere in our master

data sets. We will ask colleges to re-submit amendments if validation failure occurs.

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

### **Check sums**

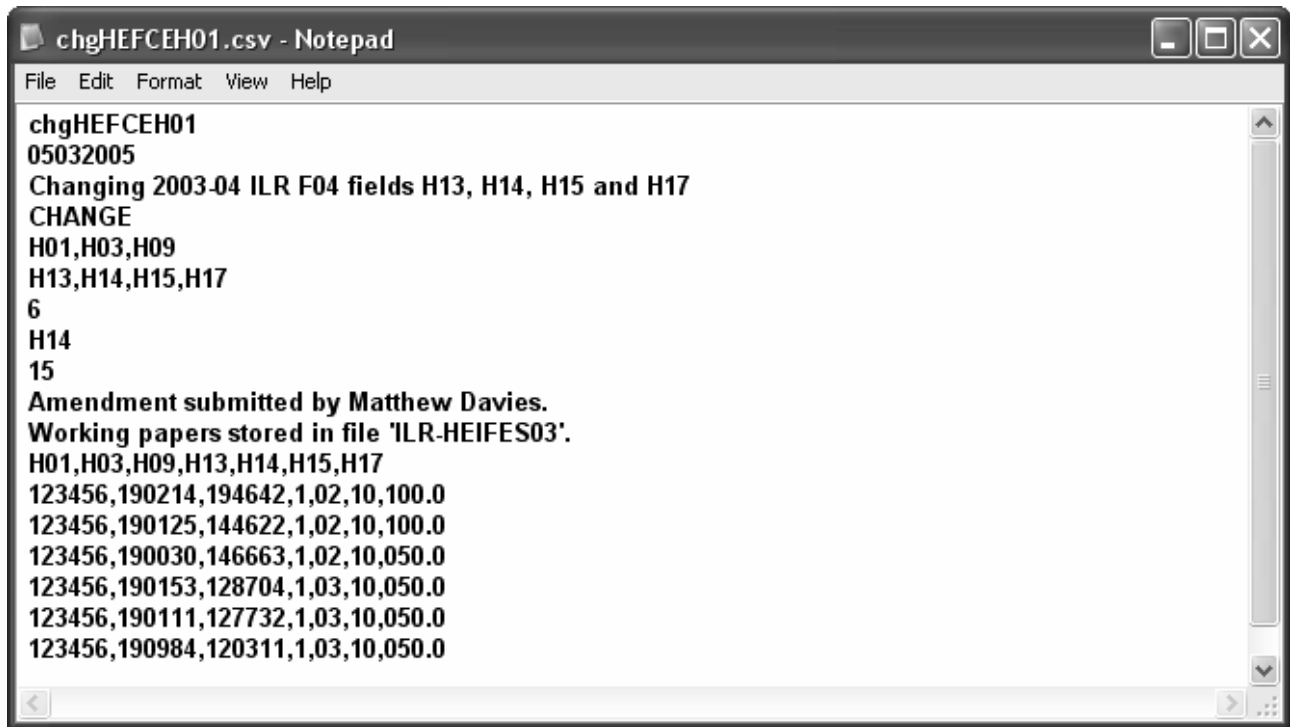
31. To ensure amendment files have not been corrupted during transit, we will check that the sum of values in a field is equal to the same calculation made by the college before submission. The field used must be returned in line 8. The sum of values in this field must be returned in line 9. If an amendment file does not contain any numeric fields suitable for calculating a check sum, an additional field from the appropriate 2003-04 ILR F04 data set must be included solely for that purpose, for example A11. Numeric fields that contain values greater than 20,000 (approximately) are unsuitable for calculating the check sum.

### **Outcome**

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

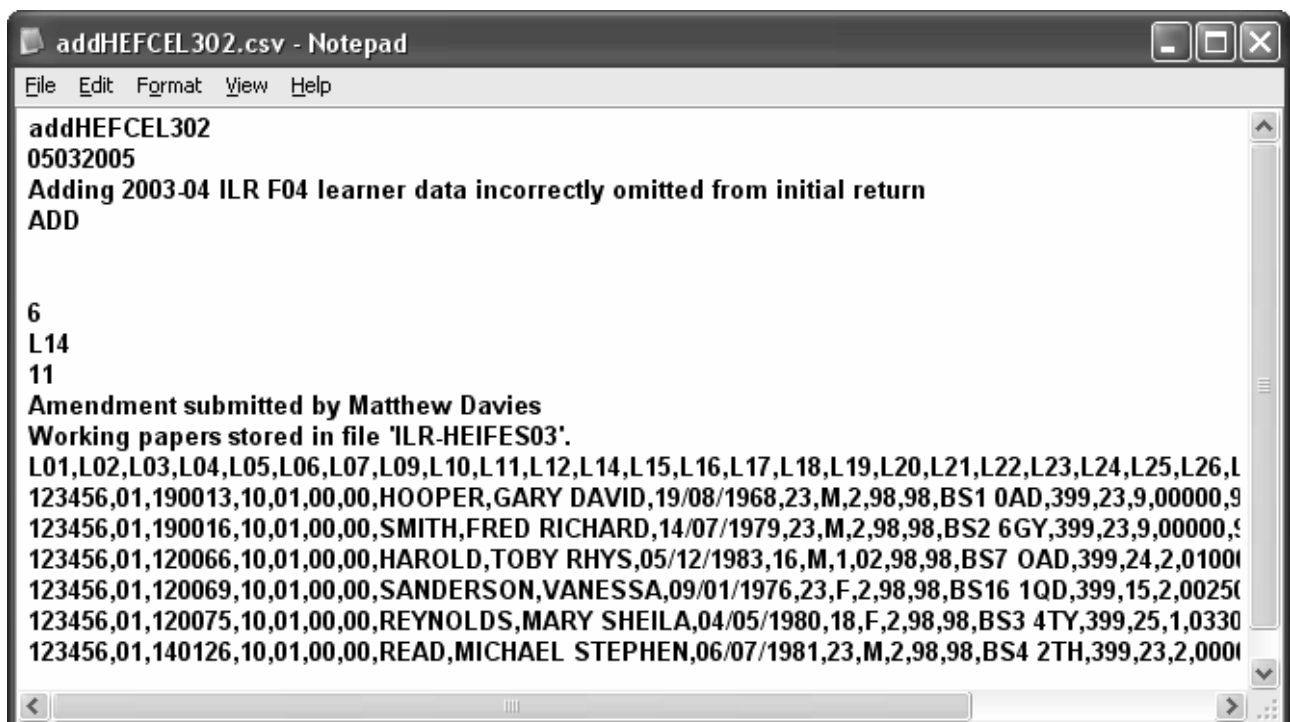
## Examples of amendment files

Figure 3 An HE data set change file



```
chgHEFCEH01
05032005
Changing 2003-04 ILR F04 fields H13, H14, H15 and H17
CHANGE
H01,H03,H09
H13,H14,H15,H17
6
H14
15
Amendment submitted by Matthew Davies.
Working papers stored in file 'ILR-HEIFES03'.
H01,H03,H09,H13,H14,H15,H17
123456,190214,194642,1,02,10,100.0
123456,190125,144622,1,02,10,100.0
123456,190030,146663,1,02,10,050.0
123456,190153,128704,1,03,10,050.0
123456,190111,127732,1,03,10,050.0
123456,190984,120311,1,03,10,050.0
```

Figure 4a A learner data set addition file



```
addHEFCEL302
05032005
Adding 2003-04 ILR F04 learner data incorrectly omitted from initial return
ADD

6
L14
11
Amendment submitted by Matthew Davies
Working papers stored in file 'ILR-HEIFES03'.
L01,L02,L03,L04,L05,L06,L07,L09,L10,L11,L12,L14,L15,L16,L17,L18,L19,L20,L21,L22,L23,L24,L25,L26,L
123456,01,190013,10,01,00,00,HOOPER,GARY DAVID,19/08/1968,23,M,2,98,98,BS1 OAD,399,23,9,00000,9
123456,01,190016,10,01,00,00,SMITH,FRED RICHARD,14/07/1979,23,M,2,98,98,BS2 6GY,399,23,9,00000,9
123456,01,120066,10,01,00,00,HAROLD,TOBY RHYS,05/12/1983,16,M,1,02,98,98,BS7 OAD,399,24,2,01000,9
123456,01,120069,10,01,00,00,SANDERSON,VANESSA,09/01/1976,23,F,2,98,98,BS16 1QD,399,15,2,00250,9
123456,01,120075,10,01,00,00,REYNOLDS,MARY SHEILA,04/05/1980,18,F,2,98,98,BS3 4TY,399,25,1,03300,9
123456,01,140126,10,01,00,00,READ,MICHAEL STEPHEN,06/07/1981,23,M,2,98,98,BS4 2TH,399,23,2,00000,9
```

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

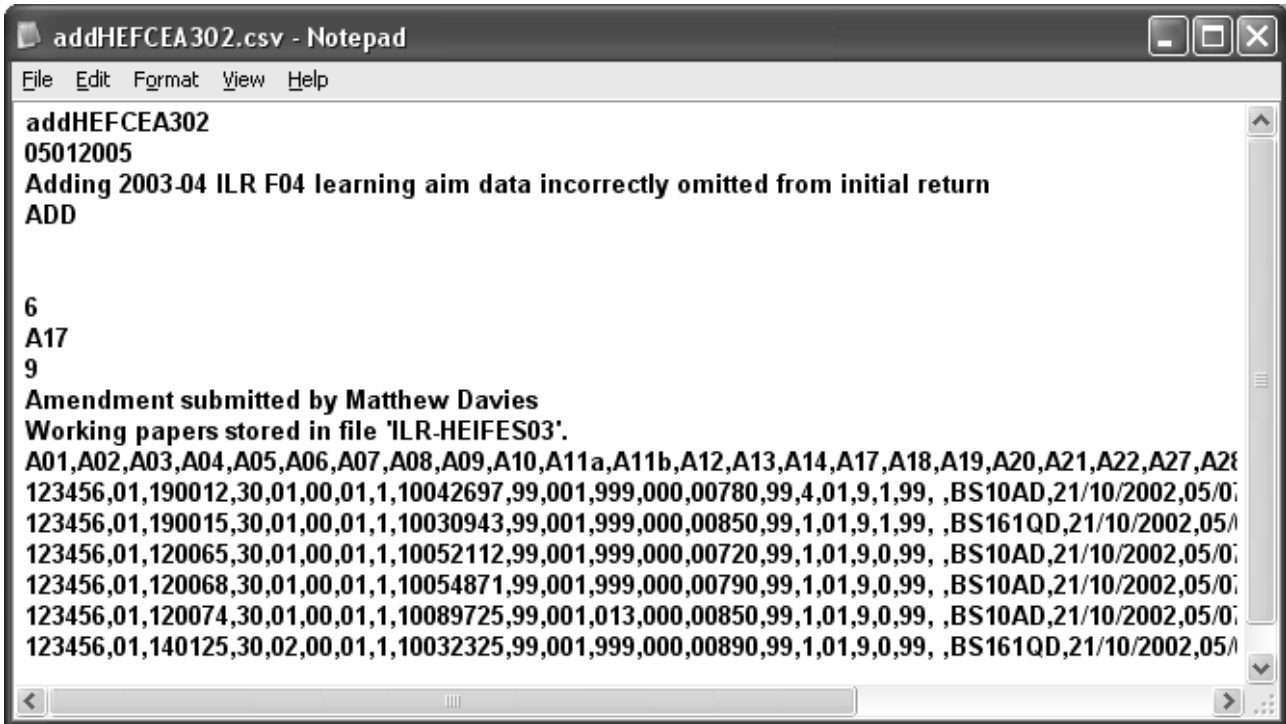


Figure 4c **An HE data set addition file**

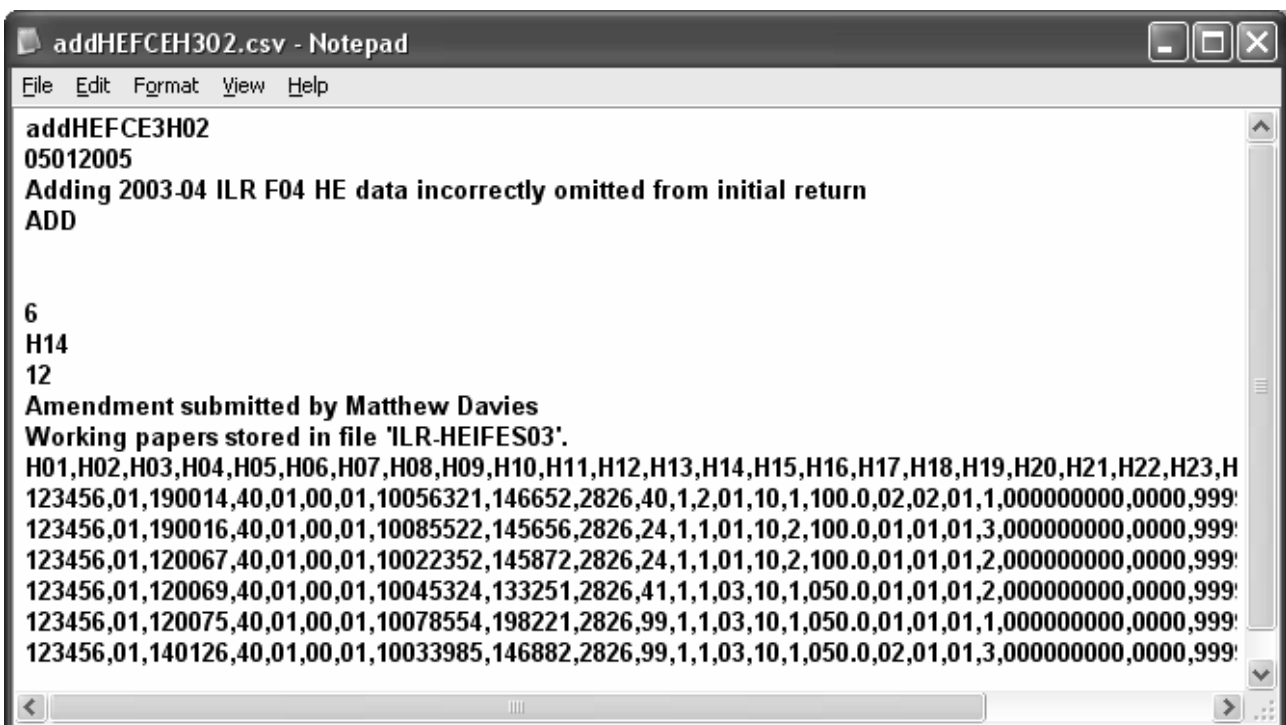


Figure 5 **An HE data set deletion file**

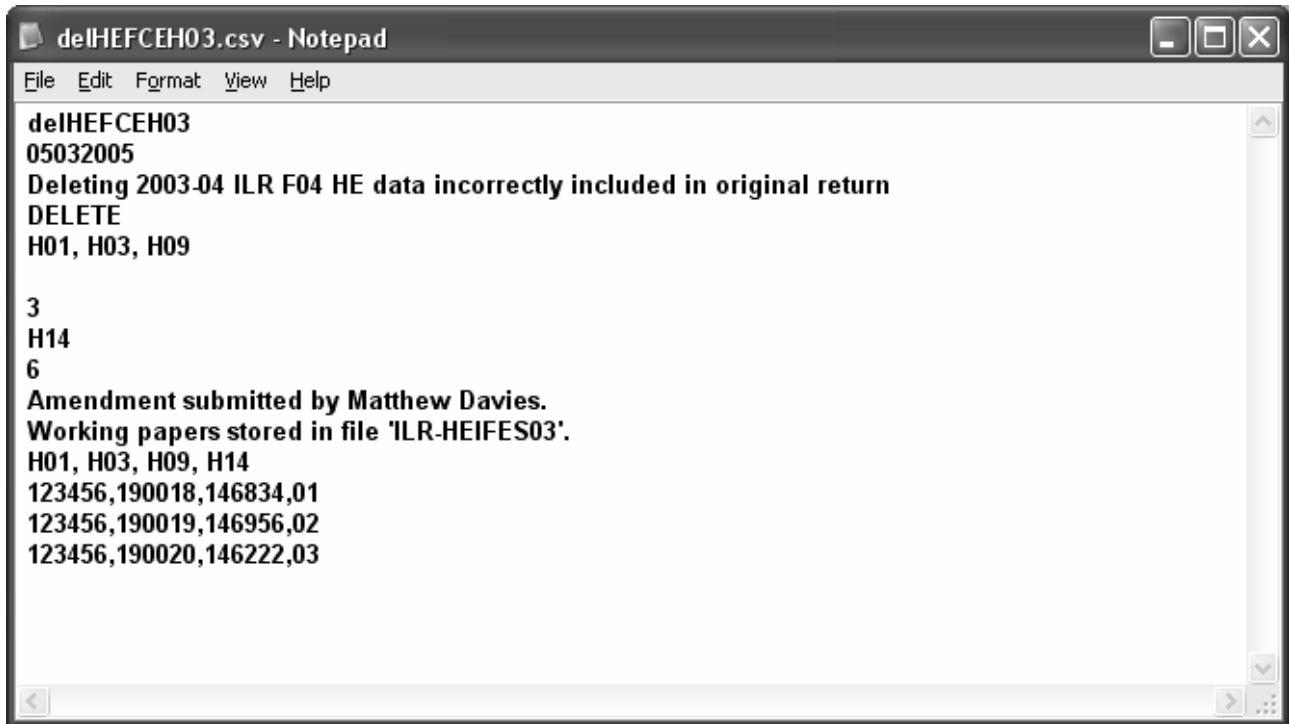




Table 4 **Summary of header information for amendment files**

<b>Line</b>	<b>Change</b>	<b>Addition</b>	<b>Deletion</b>
1	Amendment reference. For example: 'chgXXXXXA01'	Amendment reference. For example: 'addXXXXXH101'	Amendment reference. For example: 'delXXXXXL01'
2	File creation date. For example 01052005	File creation date. For example 01052005	File creation date. For example 01052005
3	Brief description. For example 'Changing 2003-04 ILR F04 learning aim data set fields A11 and A27'	Brief description. For example 'Adding 2003-04 ILR F04 HE data set records incorrectly omitted from original return'	Brief description. For example 'Deleting ILR F04 student data set records incorrectly included in original return'
4	CHANGE	ADD	DELETE
5	Unique identifying fields. For example, A01, A03, A05, A48	This line must be left blank	Unique identifying fields. For example, L01, L02, L03, L42
6	Fields to be corrected. For example, A11, A27	This line must be left blank	This line must be left blank
7	Number of records in the amendment file, excluding header	Number of records in the amendment file, excluding header	Number of records in the amendment file, excluding header
8	2003-04 ILR F04 field for check sum. Must be numeric	2003-04 ILR F04 field for check sum. Must be numeric	2003-04 ILR F04 field for check sum. Must be numeric
9	File check sum value	File check sum value	File check sum value
10	Any notes you wish to include	Any notes you wish to include	Any notes you wish to include
11	Any notes you wish to include	Any notes you wish to include	Any notes you wish to include
12	List of 2003-04 ILR F04 fields in the same order as the data	List of 2003-04 ILR F04 fields in the same order as the data	List of 2003-04 ILR F04 fields in the same order as the data
13	The data must begin on this line	The data must begin on this line	The data must begin on this line

# Annex H

## Submitting overrides to the algorithms

### Background

1. An override file would only be applied where the data submitted to the 2003-04 ILR F04 return is correct but there is a problem of fit with the HEFCE algorithms. Therefore changes need to be made to derived fields that generate the re-creations rather than to the underlying 2003-04 ILR F04 data.
2. All known problems of fit with the HEIFES03 re-creation algorithms are described in Appendix 3.
3. The problem of fit that the override is rectifying should be stated clearly on the action plan. We will only apply overrides where we agree that they are appropriate. Therefore we may seek further information where necessary.

### Purpose

4. This annex details the data structure and format for overrides to derived fields. Colleges must only supply override files using the file structure and format detailed within this annex.
5. Override files should contain the data structure and format which is described in paragraphs 8 to 11, with slight modifications for overrides provided in the special case of proportion of countable year in each price group (PRGB, PRGC, PRGD, PRGMEDIA, PRGPSYCH, PRGITT, PRGINSET).
6. An example of a typical override file, and an example of a proportion of countable year in each price group override file, can be found at the end of this annex (see Figures 6-7).
7. These specifications are necessary to ensure we can process overrides to derived fields in a timely and accurate manner. We will require colleges to re-submit override files that differ, either in structure or format, to the specifications detailed in this annex.

### Format and naming

8. Overrides to derived fields must be sent as a comma-separated file in an e-mail attachment to [ilr\\_heifes\\_stats@hefce.ac.uk](mailto:ilr_heifes_stats@hefce.ac.uk). We will also accept overrides on a 3.5" floppy disk or CD-ROM.

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

- XXXXX is the old LSC institution identifier for the college
- n is a sequential number starting at 1.

For example, the first override file submitted would be called `ovrXXXXX1.amd`, and the second would be called `ovrXXXXX2.amd`.

### Structure

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

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

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

**line 1** – override reference in the form `ovrXXXXXn` where XXXXX is the old LSC 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 `01032005` for a file created on 1 March 2005.

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

**line 4** – this line must contain the words `OVERRIDE`, `NORMAL`, and either the word `TEMPORARY` or `PERMANENT`. If the override is temporary then the last academic year that it applies to should be entered. For example ‘`OVERRIDE, NORMAL, TEMPORARY, 2004`’ indicates that the override will be applied in academic year 2004-05 but not in 2005-06 onwards.

**line 5** – the 2003-04 ILR F04 fields used to identify records on the override file, comma-separated. For example: A01, A09 could be used to identify records on a course level; or L01, L02, L03 can be used to identify records on a student level.

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

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

**line 8** – the 2003-04 ILR F04/derived field used to calculate the file check sum (see paragraph 15 for an explanation of the file check sum).

**line 9** – file check sum.

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

**line 12** – 2003-04 ILR F04/derived fields included in the override file. These fields must appear in the same order as each row of the data and must be comma-separated. For example: A09, HEFFEELV on one line.

**line 13** – override data must begin on this line.

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

## Special case

### Proportion of countable year in each price group

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

## Identifying records

13. To enable us to link override files to our derived ILR dataset, we must be able to identify the records on the 2003-04 ILR F04 return where the override should be applied. The field, or combination of fields, enabling us to achieve this must be listed, comma-separated, on line 5 of the override file.

## Saving files

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

## Check sum

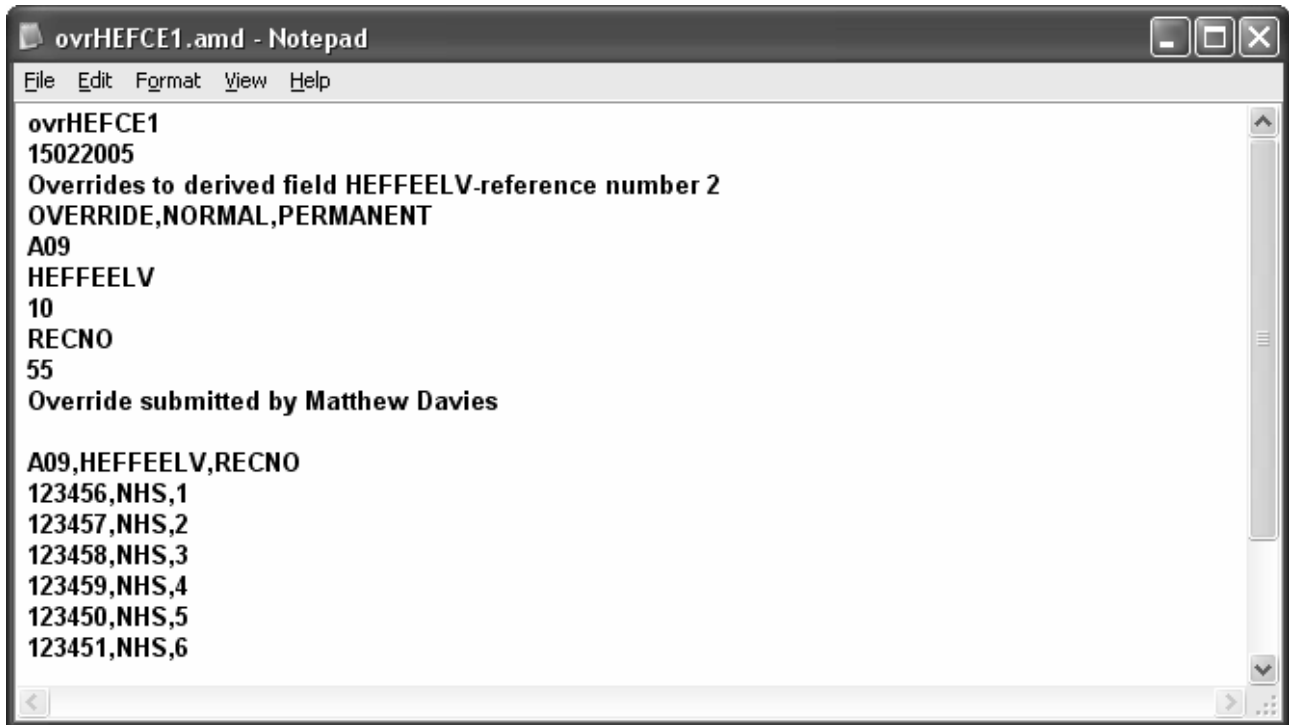
15. To ensure override files have not been corrupted during transit, we will check that the sum of values in this field match the value returned on line 9. If an override file does not contain any numeric fields suitable for calculating a check sum, an additional field from the appropriate 2003-04 ILR F04 record must be included solely for this purpose, for example A11. Numeric fields that contain values greater than 20,000 (approximately) are unsuitable for calculating the check sum. If information is not being changed at the student level, then a sequential field called RECNO may be created for the purpose of the check sum. For example RECNO may contain 1, 2, 3, 4, 5 etc.

## Outcome

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

## Examples of override files

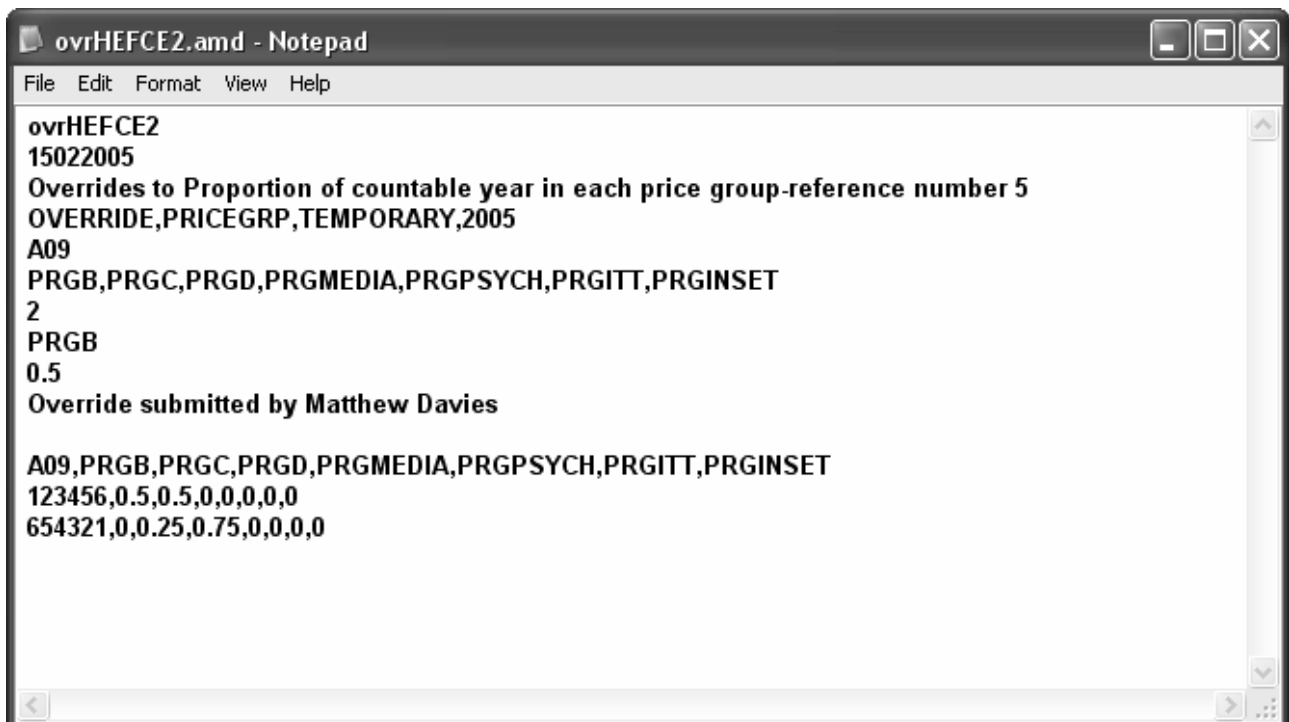
Figure 6 **A typical override file**



```
ovrHEFCE1
15022005
Overrides to derived field HEFFEELV-reference number 2
OVERRIDE,NORMAL,PERMANENT
A09
HEFFEELV
10
RECNO
55
Override submitted by Matthew Davies

A09,HEFFEELV,RECNO
123456,NHS,1
123457,NHS,2
123458,NHS,3
123459,NHS,4
123450,NHS,5
123451,NHS,6
```

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



```
ovrHEFCE2
15022005
Overrides to Proportion of countable year in each price group-reference number 5
OVERRIDE,PRICEGRP,TEMPORARY,2005
A09
PRGB,PRGC,PRGD,PRGMEDIA,PRGPSYCH,PRGITT,PRGINSET
2
PRGB
0.5
Override submitted by Matthew Davies

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

## List of abbreviations

<b>FAQ</b>	Frequently asked question
<b>FE</b>	Further education
<b>FEC</b>	Further education college
<b>FTE</b>	Full-time equivalent
<b>ILR F04</b>	Learning and Skills Council July Individualised Learner Record
<b>HEFCE</b>	Higher Education Funding Council For England
<b>HEIFES</b>	Higher Education in Further Education: Students Survey
<b>HESA</b>	Higher Education Statistics Agency
<b>ITT</b>	Initial teacher training
<b>LSC</b>	Learning and Skills Council
<b>QTS</b>	Qualified teacher status
<b>UPIN</b>	Contract/allocation provider number
<b>WP</b>	Widening participation

# Appendix 1

## HEIFES03 re-creation algorithms

### Purpose

1. This appendix describes the method used to generate the data used to re-create HEIFES03 from the submitted 2003-04 ILR F04 data. It also describes the method used to generate the report on adjustments to grant for 2003-04 using 2003-04 ILR F04 data.
2. This appendix is aimed at expert readers with in-depth knowledge of the data. Readers are advised to have a copy of 'Specification of the individualised learner record for 2003/04' (available from the LSC) and 'HEIFES03' (HEFCE 2003/45) to hand when using this appendix. They should also have copies of their institution's finalised 2003-04 grant tables.

### Extraction and manipulation of 2003-04 ILR F04 data

3. All 2003-04 ILR F04 data returned to and passed as valid by the LSC before **30 November 2004** have been processed using the methods described in this document.

### 2003-04 ILR F04 fields used in the re-creation

4. Only certain fields, detailed below, were used to generate the comparison between HEIFES03 and 2003-04 ILR F04 data. Fields from the learner data set take the prefix ST\_; those from the learning aim data set have the prefix QA\_; those from the HE data set have the prefix HQ\_; and all other fields are from the Learning Aim Database.
5. Throughout this appendix, fields taken from the 2003-04 ILR F04 return are shown in capitals using the names given in Table 5.

### Using the individualised file

6. When working through this appendix it is necessary to use the individualised file, STU03XXXXXX.ind, where XXXXXX is the UPIN (contract/allocation provider number) for the college. Full details of how to download this file are given in Annex E. The individualised file contains the allocation of students to cells within

the HEIFES03 re-creation tables or, where relevant, details of why they were excluded. For institutions with individualised files that do not contain more than 65,530 records (the maximum number of records that can be viewed in Excel), the following guidance will assist them in the troubleshooting process:

- a. Open the individualised file STU03XXXXXX.ind, and click File, Open. You will need to specify 'All files' in the 'Files of type' box before the individualised file will appear in the list. Once you have selected the file, the 'Text Import Wizard' will appear. Ensure that 'Delimited' is selected near the top of the window, then click 'Next'. On the next page, uncheck 'Tab' and check 'Comma'. Click 'Finish' to open the file.
- b. Select the row containing the field headings.
- c. Select <filter> from the data menu and then <autofilter>.
- d. Click on the arrow in the column containing the data which you want to filter.
- e. Either select a specific value or select <custom> to apply a comparison operator other than equality.

To select records using multiple fields, repeat steps d and e for each field.

Table 5 **Fields used in the re-creation**

<b>Field code</b>	<b>Description</b>	<b>Name</b>	<b>Data set</b>	<b>Column in individualised file*</b>
L01	Contract/Allocation provider number	ST_UPIN	Learner	A
L02	Contract/Allocation type	ST_ALLNO	Learner	C
L03	Learner reference number	ST_REF	Learner	D
L24	Country of domicile	ST_DOMIC	Learner	BQ
L42 <sup>†</sup>	Provider specified learner data	ST_COLL1/ ST_COLL2	Learner	G H
A05	Sequence number	QA_SEQNO	Learning aim	E
A09	Learning aim reference	QA_AIM_R	Learning aim	L
A11	Source of funding other than the LSC	QA_FEHE1/ QA_FEHE2	Learning aim	BL BM
A27	Learning start date	QA_ST_DA	Learning aim	BN
A31	Learning actual end date	QA_EN_DA	Learning aim	BO
A48 <sup>†</sup>	Provider specified learning aim data	QA_COLL1/ QA_COLL2	Learning aim	I J
H09	Learner instance number	HQ_NUMHU	HE	F
H13	Type of programme year	HQ_PYTYP	HE	BE
H14	Mode applicable to HEIFES	HQ_MHESE	HE	AZ
H15	Level applicable to HEIFES	HQ_LHESE	HE	BY
H16	Completion of year of programme of study	HQ_COMPY	HE	AV
H17	Learner FTE	HQ_FTEHE	HE	AX
H18	Year of programme of study	HQ_PROGY	HE	BD
H19	Fee band	HQ_FEBND	HE	AW
H33, H34, H35	Proportion taught in Superclass 1, 2 and 3 subject	HQ_PERS1, HQ_PERS2, HQ_PERS3	HE	BA BB BC
AWARDING_BODY_ CODE	Awarding body code	AWARD_BO	Learning Aim Database	AN
ENGLAND_FE_HE_ STATUS_CODE	England FE/HE status	ENG_LEVE	Learning Aim Database	AQ
LEARNDIRECT_CODE	Learndirect code	LDCS_COD	Learning Aim Database	BW
LEARNING_AIM_TYPE_ CODE	Learning aim type	QUAL_TYP	Learning Aim Database	BP

SUPERCLASS_CODE,	The Superclass II subject	SUPERCL1,	Learning Aim	BT
SUPERCLASS2_CODE,	classification	SUPERCL2,	Database	BU
SUPERCLASS3_CODE		SUPERCL3		BV

\* The individualised data file, STU03XXXXXX.ind, downloadable from the web (see Annex E for further details).

† These fields are not used in the comparison but are included in the individualised file to assist identification of learning aims.

### Linking between years

7. We have linked the 2003-04 ILR F04 data to data from 2001-02 onwards using the fields ST\_REF, ST\_ALLNO, ST\_UPIN, QA\_SEQNO and HQ\_NUMHU.

8. The link was used to help determine the following:

- a. Programme of study attributes for the first countable year for students who are generating two countable years.
  - b. FTE for final year students on non-standard academic years of programmes of study.
  - c. Whether the student's course includes an integrated foundation year at HE level (year 0).
9. For sub-paragraph 8a above, only records from 2002-03 were included in the linking process. For 8b and 8c, records from 2001-02 onwards were used.

### Description of derived fields

10. This section contains details of the derived fields contained in the individualised data file. These fields are used to build the key dimensions of the HEIFES03 re-creation.

Table 6 **Derived fields**

Field name	Description	Paragraph	Column in individualised file*
ANNIV	Anniversary of start date in academic year	18	AK
ATT_LINK	Flag indicating whether linking was used for course attributes	19	AL
AVRGLOAD	Average load	35	AM
BSPLITB	Proportion of price group B activity assigned to price group B	44	AO
BSPLITC	Proportion of price group B activity assigned to price group C	45	AP
DUPMATCH	Flag for successful duplicate match	62	CB
DUPPOP	Flag for duplicate matching publication	61	CA
EXCL1 – EXCL64	Flags indicating reason(s) for a learning aim's exclusion	50	N-T
FOU_LINK	Flag indicating whether course includes an integrated foundation year	23	AR
FTE_CASE	Non-standard academic year case	31	AS
FTE_LINK	Flag indicating whether a link was used to calculate FTE	28	AT
HEFCOL4	Flag indicating whether the student was included in HEIFES Column 4	57	W
HEFCOMP	Completion of year of programme of study indicator	47	X



HEFESFTE	FTE consistent with HEIFES definitions	36	AB
HEFEXCL	Exclusion reason(s)	48-49	M
HEFFEELV	Fee level	22	AJ
HEFLEVEL	Level of study	15	Z
HEFMODE	Mode of study	14	U
HEFQAIM	Recognised HE qualification aim	13	AU
HEFREG	Column 1 or 2 indicator	46	V
HEFTYPE	Fundability status	16	Y
ILRKEY	Unique learning aim identifier	12	K
LENGTH	Long or standard length years of programme of study	26	AA
MEDIAB	Proportion of media activity assigned to price group B	39	BF
MEDIAC	Proportion of media activity assigned to price group C	40	BG
MEDIAD	Proportion of media activity assigned to price group D	41	BH
PRGB	Proportion of countable year in each price group	37	AC-AI
PRGC			
PRGD			
PRGMEDIA			
PRGPSYCH			
PRGITT			
PRGINSET			
PROP	Proportion of FTE allocated to second countable year	34	BI
PSYCHB	Proportion of psychology activity assigned to price group B	42	BJ
PSYCHD	Proportion of psychology activity assigned to price group D	43	BK
ST_INST	Old LSC college identifier	11	B
STUBID	Unique year of programme of study identifier	20-21	BR
STULOAYY	HQ_FTEHE in year YRSTULOA	29	BS
TAIL	Flag indicating last year programme of study	27	BX
YEARONE	New entrant flag	24-25	BY
YRSTULOA	Year STULOAYY taken from	30	BZ

\* The individualised data file, STU03XXXXXX.ind, downloadable from the web (see Annex E for further details).

### ST\_INST

11. This field contains the old LSC institution identifier.

### ILRKEY

12. This field uniquely identifies learning aims on the 2003-04 ILR F04 return.

### HEFQAIM

13. This field allocates qualification aims to broad recognised HE qualification aims.

Value	Description	Definition
FIRST	First degree	QUAL_TYP = 0394, 1406, 1407, 1408, 1409, 9000, 9002, 9107, E007

		and ENG_LEVE = H
MASTER	Masters	QUAL_TYP = 0393, 1410, 2001, 9100, 9101, 9109 and ENG_LEVE = H
HIGHER	Higher degree	QUAL_TYP = E008, 1411, 1412 and ENG_LEVE = H
DIPHE	DipHE	QUAL_TYP = 9112 and ENG_LEVE = H
PGCE	PGCE	QUAL_TYP = 9103 and ENG_LEVE = H
CERTED	CertEd	QUAL_TYP = 9111 and ENG_LEVE = H
FOUDEG	Foundation degree	QUAL_TYP = 9110 and ENG_LEVE = H
FDBC	Foundation degree bridging course	QUAL_TYP = 9113 and ENG_LEVE = H
DIPSW	DipSW	QUAL_TYP = 1427 and ENG_LEVE = H
PGDIP	Postgraduate diploma	QUAL_TYP = 0125, 0126 and ENG_LEVE = H
HNC	HNC	QUAL_TYP = 0031 and ENG_LEVE = H and (AWARD_BO = EDEXCEL, SQA and UK higher education institutions*)
HND	HND	QUAL_TYP = 0032 and ENG_LEVE = H and (AWARD_BO = EDEXCEL, SQA and UK higher education institutions*)
UGOTHER	Other undergraduate	College specific approvals for inclusion as recognised-HE in HEIFES (undergraduate)
PGOTHER	Other postgraduate	College specific approvals for inclusion as recognised-HE in HEIFES (postgraduate)
OTHER	Other qualifications	Otherwise

\* UK higher education institutions are identified where AWARD\_BO = APU, BIRKBECK, BNU, BU, CAF, CITY, CU, DU, HAUC, HUAVA, HUDDU, HULLU, KACAA, KCL, LANU, LEEDU, LJM, LMU, LONDON, LOUUI, LU, MIDU, MMU, NTU, OBU, OU, PU, RAM, RCA, RCM, SALFU, SBU, SHU, SIAD, SINST, STAFFU, TCM, TVU, UCC, UCLAN, UCE, UEA, UK, UNIEXE, UNORTH, UOB, UOG, UOH, UOK, UOM, UON, UOS, UOSH, UOST, UOSX, UOSY, UOT, UOW, UOWR, UOY, UW, UWE, WU.

## HEFMODE

14. This field allocates students to mode of study.

Value	Description	Definition
FTS	Full-time and sandwich	HQ_MHESE = 01
SWOUT	Sandwich year-out	HQ_MHESE = 02
PT	Part-time	HQ_MHESE = 03

## HEFLEVEL

15. This field allocates students to level of study.

Value	Description	Definition
UG	Undergraduate	HQ_LHESE = 10, 11
PG	Postgraduate	HQ_LHESE = 20, 21, 30, 31

## HEFTYPE

16. This field allocates students to fundability and status.

Value	Description	Definition
HOMEF	Home and EC HEFCE funded	QA_FEHE1 = 001 or QA_FEHE2 = 001
HOMEIF	Home and EC independently funded	QA_FEHE1= 002 or QA_FEHE2 = 002 and not above
HOMENF	Home and EC non-fundable	ST_DOMIC = EC* and QA_FEHE1 ≠ 001, 002 and QA_FEHE2 ≠ 001, 002
ISOV	Island and overseas	Otherwise

\* EC domiciled is identified where ST\_DOMIC = 099, 299, 399, 599, 610, 614, 641, 651, 653, 656, 659, 661, 676, 678, 693, 710, 728, 751, 755.

## Second countable years of programme of study

17. Programmes of study that mainly consist of non-standard academic years but where all activity for the final year of programme of study falls entirely within an academic year will generate two countable years of programme of study in the final academic year.

## ANNIV

18. This field contains the anniversary of the start date during the 2003-04 academic year.

## ATT\_LINK

19. This field indicates whether a link has been made to improve our estimate of attributes for the first year of programme of study, when two years of programme of study are generated.

Value	Description	Definition
1	Two years of programme of study generated	<u>In 2003-04 data</u> HQ_PYTYP = 1 and QA_ST_DA < 1 August 2003 and QA_EN_DA < 1 August 2004 and QA_EN_DA > ANNIV + 14 days <u>In linked 2002-03 data</u> HQ_PYTYP = 2, 3, 4
0	Single year of programme of study generated	Otherwise

## STUBID

20. This field uniquely identifies years of programme of study when used in conjunction with ILRKEY. Where a learning aim generates two years of programme of study within a single academic year we create two records. These records are distinguished using STUBID.

Value	Description
1	First year of programme of study
2	Second year of programme of study
0	One year of programme of study

21. When STUBID = 1 we use 2002-03 ILR F04 data to populate the following fields:

HQ_COMPY	QUAL_TYP	HQ_PROGY	HQ_LHESE
HQ_MHESE	HQ_FEBND	QA_FEHE1	HQ_PYTYP

### HEFFEELV

22. This field contains the level of tuition fee chargeable to the student. The table below shows the hierarchy of values we use, with NHS bursaried courses being first in the hierarchy.

Value	Description	Definition
NHS	NHS bursaried courses	((QA_FEHE1 = 013 or QA_FEHE2 = 013) and QA_FEHE1 ≠ 001, 002 and QA_FEHE2 ≠ 001, 002) or (QA_FEHE1 = 009 or QA_FEHE2 = 009)) and (HEFQAIM = FIRST or (QA_ST_DA < 31 December 2001 and HEFQAIM = DIPHE)) and (SUPERCL1* = PB, PF, PH, PJ or SUPERCL2* = PB, PF, PH, PJ or SUPERCL3* = PB, PF, PH, PJ)
FDBC	Foundation degree bridging course	HEFQAIM = FDBC and not above
1125	Undergraduate full fee	HQ_FEBND = 01 and not above
550	Undergraduate half fee	HQ_FEBND = 02 and not above
0	ERAMUS/SOCRATES students	HQ_FEBND = 03 and not above
OTHER	Other fee charged	Otherwise

\* The first two characters of the field are used.

### FOU\_LINK

23. This field indicates whether the programme of study includes an integrated foundation year at HE level.

Value	Description	Definition
1	Programme of study includes a foundation year	<a href="#">In linked data</a> HQ_PROGY = 00
0	Otherwise	Otherwise

### YEARONE

24. This field indicates whether a student is a new entrant.

Value	Description	Definition
1	New entrant	(HQ_PYTYP = 1 and (HQ_PROGY = 00 or (HQ_PROGY = 01 and FOU_LINK = 0))) or (HQ_PYTYP = 2, 4, 5 and ((HQ_PROGY = 02 and FOU_LINK = 0) or (HQ_PROGY = 01 and FOU_LINK = 1)))
0	Not new entrant	Otherwise

25. For students on a course for which a programme year is not a recognised concept, that is HQ\_PROGY = 99, we calculated an indicative HQ\_PROGY as one plus the number of elapsed years between QA\_ST\_DA and 31 July 2004 for use in the above calculations. Details about this assumption are given in paragraph 20 of Appendix 3.

## LENGTH

26. This field indicates whether the student is on a standard or long year of programme of study.

Value	Description	Definition
L	Long	HQ_LHESE = 11, 21, 31
S	Standard	Otherwise

## TAIL

27. This field indicates whether the year of programme of study is the end of a sequence of non-standard years of programme of study reported.

Value	Description	Definition
1	Last year of split FTE course	STUBID = 2 or (HQ_PYTYP = 2, 5 and QA_EN_DA $\geq$ 1 August 2003 and QA_EN_DA < 1 August 2004)
0	Otherwise	Otherwise

## FTE\_LINK

28. This field indicates whether a successful link was made to improve our estimates of FTE for students studying on non-standard academic years. The link has only been made for students starting such courses after 31 July 2001 and completing them during the academic year 2003-04.

Value	Description	Definition
1	Student load from first year used in calculating HEFESFTE	<u>In 2003-04 data</u> TAIL = 1 <u>In linked data</u> HQ_PYTYP = 2, 3 and QA_ST_DA in academic year
0	Otherwise	Otherwise

## STULOAYY

29. This field contains the value of HQ\_FTEHE, capped at 100, from the year of linked FTE data. The year the HQ\_FTEHE is taken from is given in YRSTULOA. This field is only completed where FTE\_LINK = 1.

## YRSTULOA

30. This field contains the year the value in STULOAYY is taken from. For example if YRSTULOA = 2001 then STULOAYY was taken from the ISR July 2001-02 record. This field is only completed if FTE\_LINK = 1.

## FTE\_CASE

31. For non-standard academic years or when two years of programme of study are generated, the method used to calculate HEFESFTE is dependent on the following factors:

- Duration of the programme of study.
- Number of years of programme of study generated in HEIFES03.
- Whether the year of programme of study is the last or not.

32. This field indicates which case of non-standard academic years of programme of study the year of programme of study satisfies.

Value	Description	Definition
0	Standard academic year	HQ_PYTYP = 1 and ATT_LINK = 0
1	Non-standard academic year, one year generated in HEIFES03 and the programme of study is in the final year and a link was made to the first year	FTE_LINK = 1 and ATT_LINK = 0
2	Non-standard academic year, one year generated in HEIFES03 and the programme of study is in the final year and a link was not made to the first year	FTE_LINK = 0 and ATT_LINK = 0 and TAIL = 1
3	Non-standard academic year, one year generated in HEIFES03, and the programme of study is not the final year	FTE_LINK = 0 and ATT_LINK = 0 and TAIL = 0
<u>Two years generated in HEIFES03 and a link was made to the first year</u>		
4a	First year	FTE_LINK = 1 and ATT_LINK = 1 and STUBID = 1
4b	Second year	FTE_LINK = 1 and ATT_LINK = 1 and STUBID = 2
<u>Two years generated in HEIFES03 and a link was not made to the first year</u>		
5a	First year	FTE_LINK = 0 and ATT_LINK = 1 and STUBID = 1
5b	Second year	FTE_LINK = 0 and ATT_LINK = 1 and STUBID = 2

33. We do not attempt to link across years to obtain FTE for full-time and sandwich and sandwich year-out students (HEFMODE = FTS, SWOUT) that do not generate two years of programme of study.

#### PROP

34. This field contains the proportion of HQ\_FTEHE that is allocated to the second year of programme of study where two years are generated. PROP is calculated as  $(QA\_EN\_DA - ANNIV) / (QA\_EN\_DA - 31 \text{ July } 2003)$ .

#### AVRGLOAD

35. This field contains the arithmetic mean of HQ\_FTEHE for all students on non-standard academic years of programme of study in their first academic year, with the same HQ\_MHESE and QUAL\_TYP at the same college.

#### HEFESFTE

36. This field contains the FTE we assume for the year of programme of study. The table below shows the method of calculating HEFESFTE for different groups of non-standard academic years of programme of study. The table shows the hierarchy of values used, with 100 being first in the hierarchy.

Value	Definition
100	HEFMODE = FTS
50	HEFMODE = SWOUT
30	HEFQAIM = FDBC

HQ_FTEHE	FTE_CASE = 0 and not above
HQ_FTEHE + STULOAYY	FTE_CASE = 1 and not above
HQ_FTEHE + AVRGLoad	FTE_CASE = 2 and not above
HQ_FTEHE	FTE_CASE = 3 and not above
(HQ_FTEHE + STULOAYY) - (HQ_FTEHE × PROP)	FTE_CASE = 4a and not above
HQ_FTEHE × PROP	FTE_CASE = 4b and not above
(HQ_FTEHE + AVRGLoad) - (HQ_FTEHE × PROP)	FTE_CASE = 5a and not above
HQ_FTEHE × PROP	FTE_CASE = 5b and not above

### Price groups

#### PRGB, PRGC, PRGD, PRGMEDIA, PRGPSYCH, PRGITT, PRGINSET

37. Price group is assigned by mapping the three Superclass II fields, SUPERCL1 - SUPERCL3, to price groups as indicated in the table below. For initial teacher training (ITT) and INSET students the distribution based upon superclass codes is not used and all activity is assigned to the ITT and INSET price groups respectively.

Field name	Superclass II code (SUPERCL1, SUPERCL2, SUPERCL3)	Value*
PRGB	PB, PE, RA, RC - RF, RH, SA, SB, SK, TL, TM, XH - XL, XP - XR, XT, YC - YE	sum of HQ_PERSX/100
PRGC <sup>†</sup>	CA - CH, CY, DC, FK, J, L, M, NA - NH, PA, PC, PD, PF - PJ, PL - PQ, RB, RG, SC - SJ, SL - SP, TA - TK, W, XA - XF, XM, XN, XS, YA, YB	sum of HQ_PERSX/100
PRGD	A, B, CX, CZ, DA, DB, DD, DE, E, FB, FC, FJ, FL, G, H, KA - KD, KH, NK - NN, Q, V, Z	sum of HQ_PERSX/100
PRGPSYCH	PK	sum of HQ_PERSX/100
PRGMEDIA	KE - KG	sum of HQ_PERSX/100
PRGITT	College specific	1
PRGINSET	QA_FEHE1 = 025 or QA_FEHE2 = 025	1

\* Where HQ\_PERSX is HQ\_PERS1, HQ\_PERS2, HQ\_PERS3. If HQ\_PERS1-3 are set to 0 or blank, and HEFQAIM does not equal OTHER, we use the learndirect code from the Learner Aims Database to assign price group. Annex G of HEFCE 2003/45 contains details of which price group learndirect codes map to.

<sup>†</sup> All Certificate of Education activity (HEFQAIM = CERTED) is assigned to price group C

38. For example, if the qualification a student is linked to has SUPERCL1 = PB, SUPERCL2 = DC and SUPERCL3 = RH and HQ\_PERS1 = 060.0, HQ\_PERS2 = 030.0 and HQ\_PERS3 = 010.0; the price group fields will be completed as: PRGB = 0.6 + 0.1 = 0.7, PRGC = 0.3.

#### MEDIAB

39. This field contains the proportion of media activity assigned to price group B.

#### MEDIAC

40. This field contains the proportion of media activity assigned to price group C.

#### MEDIAD

41. This field contains the proportion of media activity assigned to price group D.

**PSYCHB**

42. This field contains the proportion of psychology activity assigned to price group B.

**PSYCHD**

43. This field contains the proportion of psychology activity assigned to price group D.

**BSPLITB**

44. This field contains the proportion of activity returned as price group B that is treated as price group B in funding calculations.

**BSPLITC**

45. This field contains the proportion of activity returned as price group B that is treated as price group C in funding calculations.

**HEFREG**

46. This field indicates whether the student will appear in Column 1 or 2.

<b>Value</b>	<b>Description</b>	<b>Definition</b>
1	Included in Column 1	HQ_PYTYP = 2 to 5 or (HQ_PYTYP = 1 and ANNIV < 2 November 2003)
2	Included in Column 2	Otherwise

**HEFCOMP**

47. This field indicates whether the student will appear in Column 3 or 4.

<b>Value</b>	<b>Description</b>	<b>Definition</b>
3	Included in Column 3	HQ_COMPY = 2
4	Included in Column 4	Otherwise



## HEFEXCL

48. This field contains the exclusion reason(s) for the learning aim. Learning aims included have HEFEXCL = 0.

Value	Description	Definition
1	Not active in academic year	QA_ST_DA > 31 July 2004 or QA_EN_DA < 1 August 2003
2	Non-recognised HE, FE, NVQ or QTS students	HEFQAIM = OTHER
4	Students explicitly excluded from the HEIFES03 population	HQ_LHESE = 99, blank or HQ_MHESE = 99, blank or HQ_COMPY = 9, blank
8	Students with an FTE of less than 3%	HEFESFTE < 3
16	Students on a non-standard academic year in the first academic year	QA_ST_DA > 31 July 2003 and QA_ST_DA < 1 August 2004 and HQ_PYTYP = 2, 3
32	Students who withdrew before 2 November 2003	QA_EN_DA < 2 November 2003 and HQ_COMPY = 2
64	No price group information	PRGB + PRGC + PRGD + PRGPSYCH + PRGMEDIA + PRGINSET + PRGITT = 0 and HEFESFTE ≥ 3

49. The value in HEFEXCL will be the sum of all applicable exclusion codes for the learning aim. For example, if HEFEXCL = 13, then subtracting figures from the above table starting at the bottom, we see that the learning aim has an FTE of less than 3 per cent (HEFEXCL = 8), is explicitly excluded from the HEIFES03 learning aim population (HEFEXCL = 4) and is not active in the academic year (HEFEXCL = 1).

## EXCL1

50. Flag indicating students excluded due to non-activity in the academic year.

Value	Description	Definition
1	Not active in academic year	QA_ST_DA > 31 July 2004 or QA_EN_DA < 1 August 2003
0	Active in academic year	Otherwise

## EXCL2

51. Flag indicating students excluded because they are studying for a non-recognised HE, FE (further education), NVQ (National Vocational Qualification) or QTS (qualified teacher status) programme of study.

Value	Description	Definition
1	Non-recognised HE, FE, NVQ or QTS qualification aim	HEFQAIM = OTHER
0	Recognised HE qualification aim	Otherwise

**EXCL4**

52. Flag indicating students explicitly excluded by the college as 'Not in HEIFES population'.

Value	Description	Definition
1	Student explicitly excluded from the HEIFES03 student population	HQ_LHESE = 99, blank or HQ_MHESE = 99, blank or HQ_COMPY = 9, blank
0	Student not explicitly excluded from the HEIFES03 student population	Otherwise

**EXCL8**

53. Flag indicating whether a student was excluded due to an FTE of less than 3 per cent.

Value	Description	Definition
1	FTE of less than 3%	HEFESFTE < 3
0	FTE of at least 3%	Otherwise

**EXCL16**

54. Flag indicating students excluded because they are in the first academic year of a non-standard academic years programme of study.

Value	Description	Definition
1	Students on non-standard years of programme of study in the first academic year	QA_ST_DA > 31 July 2003 and QA_ST_DA < 1 August 2004 and HQ_PYTYP = 2, 3
0	Not above	Otherwise

**EXCL32**

55. Flag indicating whether a student was excluded due to withdrawing before 2 November 2003.

Value	Description	Definition
1	Early withdrawal	QA_EN_DA < 2 November 2003 and HQ_COMPY = 2 and QA_EN_DA ≠ blank
0	Not above	Otherwise

**EXCL64**

56. Flag indicating whether a student has a mismatch between price group apportioning and Superclass II code fields.

Value	Description	Definition
1	No price group information	PRGB + PRGC + PRGD + PRGPSYCH + PRGMEDIA + PRGINSET + PRGITT = 0 and HEFESFTE ≥ 3
0	Not above	Otherwise

## HEFCOL4

57. This field indicates whether the student is included in Column 4.

Value	Description	Definition
1	Included in Column 4	HEFCOMP = 4 and HEFEXCL = 0
0	Not included in Column 4	Otherwise

## Methods used for identifying potential franchised-in students

58. We have compared 2003-04 ILR F04 data to the Higher Education Statistics Agency's (HESA's) 2003-04 student record to identify potential franchised-in students. We have attempted to identify instances where students are franchised-in from an HEI and therefore have been incorrectly returned on 2003-04 ILR F04. We have matched students between the two data sources over the following student characteristics:

- gender (ST\_SEX)
- date of birth (ST\_DOB)
- postcode (ST\_POSTC)
- surname (ST\_SURNA).

## ST\_SURNA

59. The LSC anonymises surname information before supplying us with the data. The soundex is a coded surname (last name) index based on the way a surname sounds rather than the way it is spelled. Surnames that sound the same, but are spelled differently, like SMITH and SMYTH, have the same code and are filed together. The soundex coding system was developed so that you can find a surname even though it may have been recorded under various spellings. For further information please see [www.archives.gov/research\\_room/genealogy/census/soundex.html](http://www.archives.gov/research_room/genealogy/census/soundex.html).

60. The matching process is attempted using soundexed 2003-04 ILR F04 and HESA surname data. While the matching process is inexact we believe that we have removed the likelihood of random mismatches causing selection by setting a threshold for the number of matches for the same recognised HE qualification aim (HEFQAIM).

## DUPPOP

61. This field indicates whether the student is included in the duplicate matching population.

Value	Description	Definition
1	Included in the duplicate matching population	HEFEXCL = 0 and (ST_POSTC does not contain ZZ99 or 9ZZ or ST_POSTC ≠ blank) and ST_DOB ≠ blank
0	Not included in the duplicate matching population	Otherwise

## DUPMATCH

62. This field indicates whether the student has been matched to one or more records contained on the HESA 2003-04 student record.

Value	Description
1	Student has matched to a record on HESA
0	Student has not matched to a record on HESA

## Funding for teaching

63. As part of the HEIFES03 re-creation we produce the following reports which show the calculation of grant adjustments:

- a. Report on adjustments to grant for 2003-04 using 2003-04 July Individualised Learner Record (ILR F04).
- b. Standard resource for 2003-04 using 2003-04 July Individualised Learner Record (ILR F04).
- c. Assumed fee income for 2003-04 using 2003-04 July Individualised Learner Record (ILR F04).

64. Further details on the calculation of teaching grant can be found in 'Funding higher education in England: How HEFCE allocates its funds', (HEFCE 2003/29).

## Cover sheet

65. The cover sheet of the HEIFES03 re-creation workbook consists of the following key statistics that are used in the thresholds to select colleges to respond to the exercise:

- difference in holdback for exceeding contract range
- difference in any grant adjustments relating to funding conditional upon delivery of growth
- difference in grant adjustment.

66. The data in the report on adjustments to grant (see paragraph 63a) are provided to help institutions identify errors in their data, not to present our definitive statement on grant adjustments.

## Difference in holdback for exceeding contract range

67. The difference in holdback for exceeding contract range is calculated by subtracting 'Contract range holdback' in the HEIFES03 grant adjustments report from the 'Contract range holdback' in the 'Report on adjustments to grant for 2003-04 using 2003-04 July Individualised Learner Record (ILR F04)'.

## Difference in any grant adjustments relating to funding conditional upon delivery of growth

68. The difference in any grant adjustments relating to funding conditional upon delivery of growth is calculated by adding the 'Funds due back' to the 'Funds to be held back' in the HEIFES03 grant adjustments report and subtracting the sum of the 'Funds due back' and the 'Funds to be held back' in the 'Report on adjustments to grant for 2003-04 using 2003-04 July Individualised Learner Record (ILR F04)'.

## Difference in grant adjustment

69. The difference in grant adjustment before moderation is calculated by subtracting the 'Total funding adjustment for 2003-04 before moderation' in the HEIFES03 grant adjustment report from the 'Provisional total funding adjustment for 2003-04 before moderation generated by the HEIFES03 re-creation' in the 'Report on adjustments to grant for 2003-04 using 2003-04 July Individualised Learner Record (ILR F04)'.

## Grant adjustment report

70. The figures shown in 'Report on adjustments to grant for 2003-04 using 2003-04 July Individualised Learner Record (ILR F04)' are sourced from 2003-04 ILR F04 data and the final 2003-04 individual grant tables. Figures that are sourced from the 2003-04 individual grant tables are described in the annex to Bridget Josselyn's letter of 4 March 2003.

The report on adjustments to grant is made up of the following sections:

- funding conditional upon delivery of growth
- contract range holdback/divergence
- adjustment to 2003-04 and 2004-05 grants.

## Funding conditional upon delivery of growth

### Actual FTEs (HEFCE-fundable)

71. The students used to derive 'Actual FTEs (HEFCE-fundable)' can be identified by selecting HEFCOL4 = 1 and HEFTYPE = HOMEF, HOMEIF. 'Actual FTEs (HEFCE-fundable)' can be found by summing HEFESFTE and dividing by 100 for these students.

### Funds due back

72. If the 'Associated maximum funding (£)' for 'FTEs required to fully recover reductions in ASN funding' is 'Not applicable' then we set 'Funds due back' to £0. Otherwise, if 'Actual FTEs (HEFCE-fundable)' is greater than '2003-04 Baseline FTEs', we subtract '2003-04 Baseline FTEs' from 'Actual FTEs (HEFCE-fundable)' and multiply this difference by 'Rate per FTE (£)' to give 'Funds due back'. If this calculation of 'Funds due back' is greater than the 'Associated maximum funding (£)', then we adjust 'Funds due back' to equal the 'Associated maximum funding (£)'.

### Funds to be held back

73. If the 'Associated maximum funding (£)' for 'FTEs required to avoid reduction in ASN funding' is 'Not applicable' then we set 'Funds to be held

back' to £0. Otherwise, if 'Actual FTEs (HEFCE-fundable)' is less than 'FTEs required to avoid reduction in ASN funding', we subtract 'Actual FTEs (HEFCE-fundable)' from 'FTEs required to avoid reduction in ASN funding' and multiply this difference by 'Rate per FTE (£)' to give 'Funds to be held back'. If this calculation of 'Funds to be held back' is greater than the 'Associated maximum funding (£)', then we adjust 'Funds to be held back' to equal the 'Associated maximum funding (£)'.

## Contract range holdback/divergence

74. 'Net mainstream teaching funds' is calculated by subtracting 'Funds to be held back' from 'Total mainstream teaching funds for 2003-04' and then adding 'Funds due back'.

75. 'Recalculated assumed fee income for 2003-04' is the total 'Fee estimate (average fee x the HEIFES03 re-creation FTE)' as described in paragraphs 99-106.

76. 'Recalculated assumed resource for 2003-04' is calculated by adding 'Net mainstream teaching funds' to 'Recalculated assumed fee income for 2003-04'.

77. 'Adjustment due to the postgraduate fee level' only affects colleges whose standard resource for postgraduate students on standard length courses in price group D is less than their assumed fee income. For such colleges, the increase in standard resource is shown. Where no adjustment is required, £0 is shown.

78. 'Recalculated standard resource for 2003-04 (including PG fee level adjustment)' is the sum of the total '2003-04 Standard resource' as described in paragraphs 88-98 and 'Adjustment due to the postgraduate fee level'.

79. 'Difference' is calculated by subtracting 'Recalculated standard resource for 2003-04 (including PG fee level adjustment)' from 'Recalculated assumed resource for 2003-04'.

80. To calculate 'Percentage difference', 'Difference' is divided by 'Recalculated standard resource for 2003-04 (including PG fee level

adjustment)' and multiplied by 100. If 'Percentage difference' falls within the '2003-04 Contract range' then 'Divergence from contract range' is 0.0 per cent. If 'Percentage difference' is outside the '2003-04 Contract range', 'Divergence from contract range' is the variance between the 'Percentage difference' and the '2003-04 Contract range'.

81. 'Divergence from contract range after small institution adjustment' only affects institutions with more than 50, but no more than 400, HEFCE-funded FTEs. For such colleges we divide 'Recalculated standard resource for 2003-04 (including PG fee level adjustment)' by the total '2003-04 FTEs from the HEIFES03 re-creation' and multiply by 10. We also divide the 'Recalculated assumed fee income for 2003-04' by the total '2003-04 FTEs from the HEIFES03 re-creation' and multiply by 10.

82. We add (for colleges above the contract range) or subtract (for colleges below it) these figures from 'Recalculated standard resource for 2003-04 (including PG fee level adjustment)' and 'Recalculated assumed fee income for 2003-04' respectively. 'Percentage difference' is recalculated and 'Divergence from contract range after small institution adjustment' is recalculated as 'Divergence from contract range'.

83. 'Contract range holdback/divergence' is generated depending on whether the college is above or below its contract range. If the college is above its contract range, 'Contract range holdback' is calculated by multiplying 'Divergence from contract range after small institution adjustment' by 'Recalculated standard resource for 2003-04 (including PG fee level adjustment)'. If the college is below its contract range, 'Contract range divergence' is also calculated by multiplying 'Divergence from contract range after small institution adjustment' by 'Recalculated standard resource for 2003-04 (including PG fee level adjustment)'.

### **In-year moderation**

84. 'Provisional total funding adjustment for 2003-04 before moderation generated by the HEIFES03 re-creation' is calculated as 'Funds due back' minus the sum of 'Funds to be held back' and 'Contract range holdback'.

85. 'Provisional total funding adjustment for 2003-04 before moderation generated by the HEIFES03 re-creation' is moderated so that, in general, no college receives a reduction in resource (HEFCE funding for teaching plus regulated fee income) in 2003-04 compared with the equivalent unmoderated figure for 2002-03. We apply a minimum threshold of £100,000, below which moderation does not apply.

86. 'Provisional net funding adjustment to be applied in 2003-04 generated by the HEIFES03 re-creation' is calculated as the sum of 'Provisional total funding adjustment for 2003-04 before moderation generated by the HEIFES03 re-creation' and 'Provisional in-year moderation due to 2003-04 holdback generated by the HEIFES03 re-creation'.

87. 'Provisional adjustment to 2004-05 baseline grant generated by the HEIFES03 re-creation' is calculated as 'Funds due back' minus 'Funds to be held back' minus 'Contract range holdback'.

### **Calculation of standard resource**

88. We calculate standard resource based on 2003-04 ILR F04 student data using:

- 2003-04 FTEs from the HEIFES03 re-creation
- 2003-04 Base-weighted FTE students
- premiums applied to FTEs weighted by price group
- base price.

### **2003-04 FTEs from the HEIFES03 re-creation**

89. '2003-04 FTEs from the HEIFES03 re-creation' are identified by summing the FTE of students in each combination of length (LENGTH), level (HEFLEVEL), mode (HEFMODE) and price

group. Examples of the assignment to price groups are described below.

### Price group B

90. To identify HEFCE-funded, long, full-time and sandwich, and sandwich year-out undergraduates assigned to price group B, from the individualised file, select HEFTYPE = HOMEF and LENGTH = L and HEFMODE = FTS, SWOUT and HEFLEVEL = UG and HEFCOL4 = 1, and PRGB > 0 or PRGMEDIA > 0 or PRGPSYCH > 0. The number of '2003-04 FTEs from the HEIFES03 re-creation' can be found by adding the following totals:

- multiply HEFESFTE by PRGB and BSPLITB, sum the values and divide by 100 where PRGB > 0
- multiply HEFESFTE by PRGMEDIA and MEDIAB, sum the values, and divide by 100 where PRGMEDIA > 0
- multiply HEFESFTE by PRGPSYCH and PSYCHB, sum the values, and divide by 100 where PRGPSYCH > 0.

### Price group C

91. To identify HEFCE-funded, long, full-time and sandwich, and sandwich year-out undergraduates assigned to price group C, from the individualised file, select HEFTYPE = HOMEF and LENGTH = L and HEFMODE = FTS, SWOUT and HEFLEVEL = UG and HEFCOL4 = 1, and PRGB > 0 or PRGC > 0 or PRGMEDIA > 0. The number of '2003-04 FTEs from the HEIFES03 re-creation' can be found by adding the following totals:

- multiply HEFESFTE by PRGB and BSPLITC, sum the values, and divide by 100 where PRGB > 0
- multiply HEFESFTE by PRGC, sum the values, and divide by 100 where PRGC > 0
- multiply HEFESFTE by PRGMEDIA and MEDIAC, sum the values, and divide by 100 where PRGMEDIA > 0.

### Price group D

92. To identify HEFCE-funded, long, full-time and sandwich, and sandwich year-out undergraduates assigned to price group D, from the individualised file, select HEFTYPE = HOMEF and LENGTH = L and HEFMODE = FTS, SWOUT and HEFLEVEL = UG and HEFCOL4 = 1, and PRGD > 0 or PRGMEDIA > 0 or PRGPSYCH > 0. The number of '2003-04 FTEs from the HEIFES03 re-creation' can be found by adding the following totals:

- multiply HEFESFTE by PRGD, sum the values, and divide by 100 where PRGD > 0
- multiply HEFESFTE by PRGMEDIA and MEDIAD, sum the values, and divide by 100 where PRGMEDIA > 0
- multiply HEFESFTE by PRGPSYCH and PSYCHD, sum the values, and divide by 100 where PRGPSYCH > 0.

### 2003-04 Base-weighted FTE students

93. We calculate the '2003-04 Base-weighted FTE students' by multiplying '2003-04 FTEs from the HEIFES03 re-creation' by their price group weighting, for each combination of mode, level and length. The price group weightings are given in Table 7.

Table 7 Price group cost weighting description

Price group	Description	Cost weighting
B	Laboratory-based subjects (science, engineering and technology)	2.0
C	Subjects with a studio, laboratory or fieldwork element	1.5
D	All other subjects	1.0

## Premiums applied to FTEs weighted by price group

### Long courses >= 45 weeks (25%)

94. We calculate 'Long courses >= 45 weeks (25%)' by multiplying '2003-04 Base-weighted FTE students' by 0.25 for each combination of mode and level, where LENGTH = L.

### London weighting (inner = 8%, outer = 5%)

95. We calculate 'London weighting (inner = 8%, outer = 5%)' by multiplying '2003-04 Base-weighted FTE students' by 0.08 for inner London colleges and 0.05 for outer London colleges for each combination of price group, mode, level and length.

### Total fundable weighted student FTE

96. 'Total fundable weighted student FTE' is the sum of:

- 2003-04 Base-weighted FTE students
- Long courses >= 45 weeks (25%)
- London weighting (inner = 8%, outer = 5%).

### Base price

97. We calculate a basic amount of resource for a full-time student by dividing all the money available to fund teaching (HEFCE grant plus assumed tuition fees) by the total number of weighted FTEs in the whole sector. This basic amount of resource is called the base price and is the standard FTE rate in price group D. In 2003-04, the base price was calculated to be £2,808.

### 2003-04 Standard resource

98. We calculate '2003-04 Standard resource' by multiplying 'Total fundable weighted student FTE' by the base price for each combination of price group, mode, level and length.

### Calculation of assumed fee income

99. We calculate assumed fee income based on 2003-04 ILR F04 student data using:

- 2003-04 Estimated FTE students described in paragraph 100

- assumed fee income per FTE, shown in Table 9
- 2003-04 FTEs from the HEIFES03 re-creation.

### 2003-04 Estimated FTE students

100. The headcount of students used to derive '2003-04 Estimated FTE students' is identified by selecting Home and EC (HEFTYPE ≠ ISOV) and non-ITT students (PRGITT = 0) included in the re-creation (HEFEXCL = 0) in each combination of level (HEFLEVEL) and mode (HEFMODE) for the fee levels (HEFFEELV) given in Table 8.

Table 8 Fee levels

HEFMODE	HEFLEVEL	HEFFEELV
FTS	UG	1125, 550, 0
FTS	PG	1125, 550, OTHER
SWOUT	UG	550
SWOUT	PG	550, OTHER
PT	UG	1125, 550, 0, OTHER
PT	PG	1125, 550, OTHER

101. For the sandwich year-out and part-time students selected above, the '2003-04 Estimated FTE students' is calculated by halving the number of students.

### Total fee income

102. We assume the fees for each combination of mode (HEFMODE), level (HEFLEVEL) and fee level (HEFFEELV) as given in Table 8.

103. For each estimated FTE we assume a fee for their mode, level and fee level. See Table 9 for a breakdown of the assumed fees. To calculate 'Total fee income' for each combination of mode and level, we sum the assumed fees for each estimated FTE within that mode and level.

### Derived average fee per estimated FTE

104. We calculate the 'Derived average fee per estimated FTE' by dividing the 'Total fee income' by the '2003-04 Estimated FTE students' for each combination of mode and level.



### 2003-04 FTEs from the HEIFES03 re-creation

105. The students used to derive '2003-04 FTEs from the HEIFES03 re-creation' can be identified for each combination of mode (HEFMODE) and level (HEFLEVEL) by selecting HEFCOL4 = 1 and HEFTYPE = HOMEF. '2003-04 FTEs from the HEIFES03 re-creation' can be found by summing HEFESFTE and dividing by 100 for these students. This total will match the '2003-04 FTEs from the

HEIFES03 re-creation' total on the standard resource table.

### Fee estimate (average fee x the HEIFES03 re-creation FTE)

106. We calculate 'Fee estimate (average fee x the HEIFES03 re-creation FTE)' for each combination of mode and level by multiplying 'Derived average fee per estimated FTE' by '2003-04 FTEs from the HEIFES03 re-creation.'

Table 9 **Assumed fees**

HEFMODE	HEFLEVEL	HEFFEELV	Assumed fees (£)
FTS	UG	1125	1125
FTS	UG	550	550
FTS	UG	0	0
FTS	PG	1125	1125
FTS	PG	550	550
FTS	PG	OTHER	2940
SWOUT	UG	550	1100
SWOUT	PG	550	1100
SWOUT	PG	OTHER	2940
PT	UG	1125	1100
PT	UG	550	1100
PT	UG	OTHER	830
PT	PG	1125	1100
PT	PG	550	1100
PT	PG	OTHER	2940

# Appendix 2

## Troubleshooting the comparison of HEIFES03 and the HEIFES03 re-creation

### Purpose

1. This appendix aims to help colleges identify the cause of any discrepancies between their 2003-04 ILR F04 data and HEIFES03 return. It is expected that colleges will have worked through this appendix and consulted the web-based FAQ page for this exercise (which can be found on the HEFCE web-site under Learning & teaching/Data collection), before seeking assistance from HEFCE on resolving discrepancies.

### Using this appendix

2. Figure 8 provides a systematic method for identifying at what point discrepancies between the returns occur. The subsequent paragraphs give possible causes for each discrepancy. These causes can be grouped into two categories:

- errors in completing specific fields on the 2003-04 ILR F04 return
- problems of fit with the HEIFES03 re-creation algorithms (addressed in Appendix 3).

3. Throughout this appendix, fields taken from the 2003-04 ILR F04 return or derived as part of the re-creation are shown in capitals using the names given in Tables 5 and 6 of Appendix 1.

4. The match between HEIFES and 2003-04 ILR F04 data is unlikely to be exact, due to estimates made when returning HEIFES and approximations made in the re-creation algorithms (see Appendix 3 for further details). Therefore, when using the diagnostic flowchart in Figure 8 we expect colleges to exercise their own judgement to decide when small differences between the two data sources are not significant. Colleges need to be aware that small differences may accumulate and become significant. When the cause of a significant difference cannot be determined, it may be necessary to backtrack to find the root of the problem.

5. The description in this appendix is aimed at identifying weaknesses in 2003-04 ILR F04 data rather than HEIFES. Therefore it is possible to follow the diagnostic flowchart in Figure 8 without

resolving the discrepancies if they are due to errors in HEIFES03.

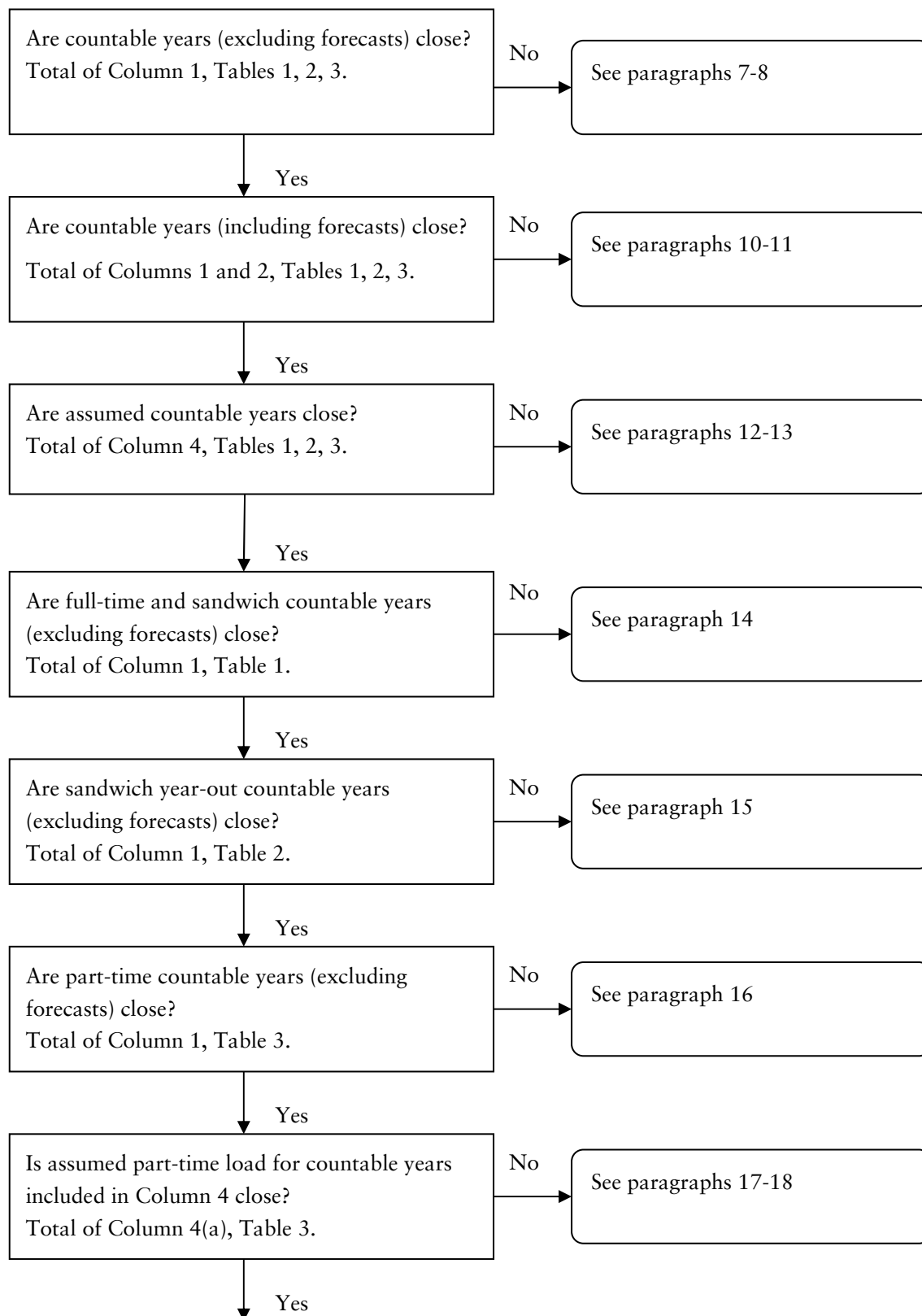
### Using the individualised file

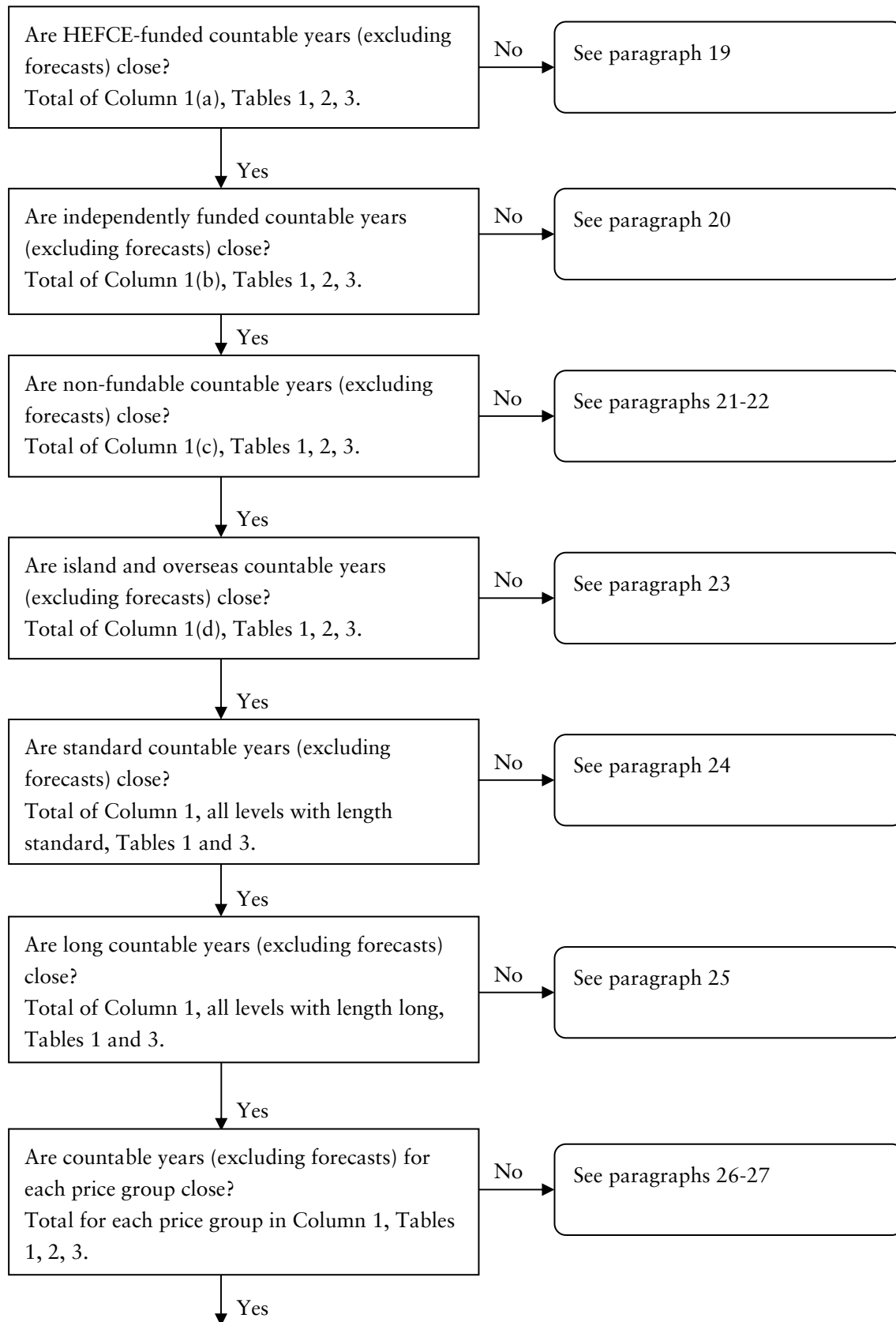
6. When working through this appendix it is necessary to use the individualised file, STU03XXXXXX.ind, where XXXXXX is the UPIN (contract/allocation provider number) for the college. Full details of how to download this file are given in Annex E. The individualised file contains the allocation of students to cells within the HEIFES03 re-creation tables or, where relevant, details of why they were excluded. For institutions with individualised files that do not contain more than 65,530 records (the maximum number of records that can be viewed in Excel), the following guidance will assist them in the troubleshooting process:

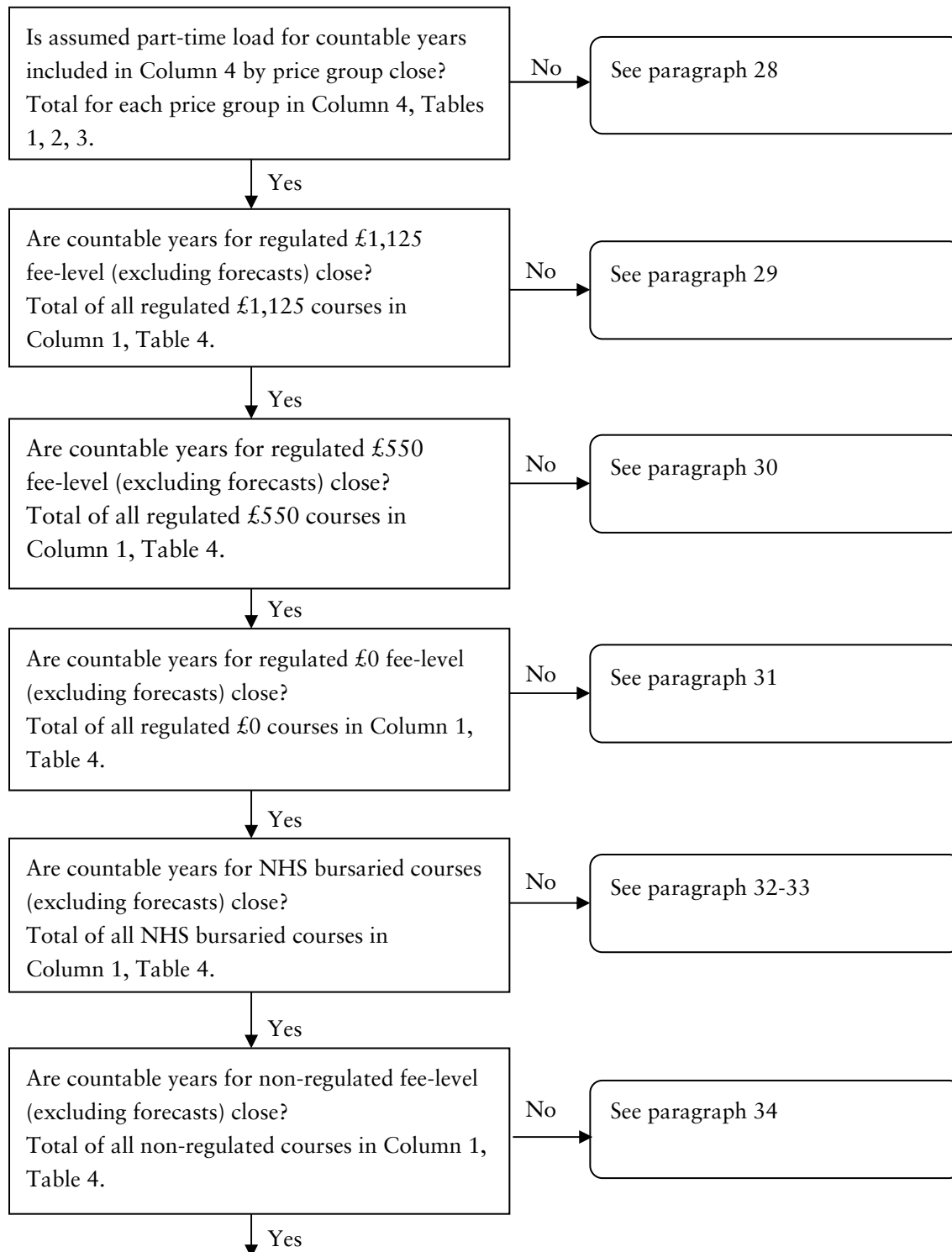
- a. Open the individualised file STU03XXXXXX.ind, in Excel and click File, Open. You will need to specify 'All files' in the 'Files of type' box before the individualised file will appear in the list. Once you have selected the file, the 'Text Import Wizard' will appear. Ensure that 'Delimited' is selected near the top of the window, then click 'Next'. On the next page, uncheck 'Tab' and check 'Comma'. Click 'Finish' to open the file.
- b. Select the row containing the field headings.
- c. Select <filter> from the data menu and then <autofilter>.
- d. Click on the arrow in the column containing the data which you want to filter.
- e. Either select a specific value or select <custom> to apply a comparison operator other than equality.

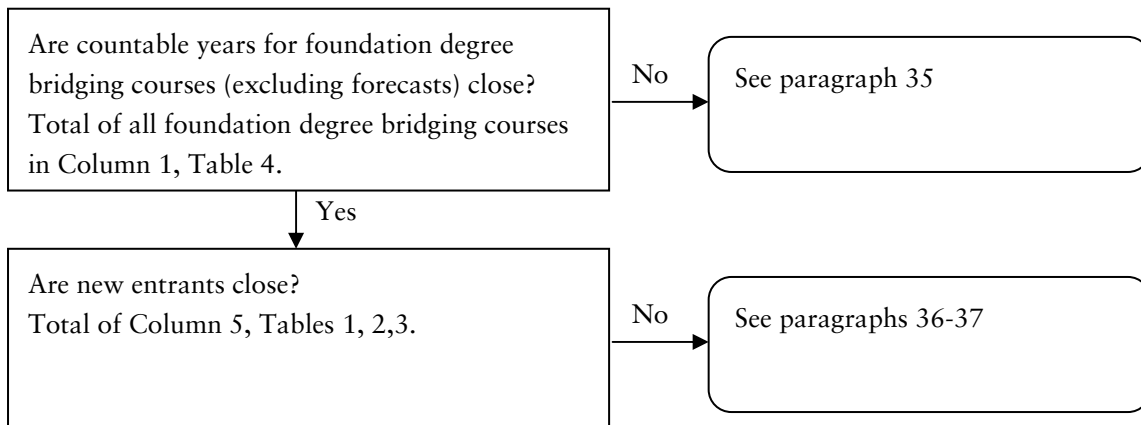
To select records using multiple fields, repeat steps d and e for each field.

Figure 8 **Diagnostic flowchart**









### Countable years (excluding forecasts)

7. To identify countable years (excluding forecasts) from the individualised file select HEFEXCL = 0 and HEFREG = 1. The algorithms for deriving HEFEXCL and HEFREG are given in paragraphs 48-49 and 46 respectively of Appendix 1.

8. Exceptionally a student generates two countable years of programme of study on the HEIFES return (see paragraph 13, Annex D of 'Higher Education in Further Education: Students Survey 2003-04', HEFCE 2003/45, for details). Students generating multiple years of programme of study are identified by STUBID = 1, 2. The algorithms for deriving STUBID are given in paragraphs 20-21 of Appendix 1.

9. Franchised-in students should not be returned in the ILR. Paragraph 40 of the FE provider support manual for the Individualised Learner Record (ILR) 2003/04 (available from the LSC) refers to the return of franchised-in students. We have identified students that are potential franchised-in students. These are identified by DUPMATCH = 1. The algorithm for deriving DUPMATCH is given in paragraph 62 of Appendix 1.

### Countable years (including forecasts)

10. To identify countable years (including forecasts) from the individualised file select HEFEXCL = 0. Forecast countable years are identifiable by HEFEXCL = 0 and HEFREG = 2. The algorithms for deriving HEFEXCL and HEFREG are given in paragraphs 48-49 and 46 respectively of Appendix 1.

11. There may be a small variance as a result of forecasting countable years on HEIFES03.

### Assumed countable years

12. To identify assumed countable years from the individualised file select HEFCOL4 = 1. Forecast non-completions are identifiable by HEFEXCL = 0 and HEFCOMP = 3. The algorithms for deriving HEFCOL4, HEFEXCL and HEFCOMP are given in paragraphs 57, 48-49 and 47 respectively of Appendix 1.

13. There may be a small variance as a result of forecasting non-completions on HEIFES03.

### Full-time and sandwich countable years (excluding forecasts)

14. To identify full-time and sandwich countable years (excluding forecasts) from the individualised file select HEFEXCL = 0 and HEFREG = 1 and HEFMODE = FTS. The algorithms for deriving HEFEXCL, HEFREG and HEFMODE are given in paragraphs 48-49, 46 and 14 respectively of Appendix 1.

### Sandwich-year out countable years (excluding forecasts)

15. To identify sandwich-year out countable years (excluding forecasts) from the individualised file select HEFEXCL = 0 and HEFREG = 1 and HEFMODE = SWOUT. The algorithms for deriving HEFEXCL, HEFREG and HEFMODE are given in paragraphs 48-49, 46 and 14 respectively of Appendix 1.

#### **Part-time countable years (excluding forecasts)**

16. To identify part-time countable years (excluding forecasts) from the individualised file select HEFEXCL = 0 and HEFREG = 1 and HEFMODE = PT. The algorithms for deriving HEFEXCL, HEFREG and HEFMODE are given in paragraphs 48-49, 46 and 14 respectively of Appendix 1.

#### **Assumed part-time load for countable years included in Column 4**

17. To identify part-time countable years included in Column 4 from the individualised file select HEFCOL4 = 1 and HEFMODE = PT. To obtain the load for these countable years sum the values of HEFESFTE and divide by 100. The algorithms for deriving HEFCOL4, HEFMODE and HEFESFTE are given in paragraphs 57, 14 and 36 respectively of Appendix 1.

18. The calculation of HEFESFTE may result in differences between the two data sources for students on non-standard academic years. We make an assumption that years of programme of study are in a steady state. Details of this assumption are given in paragraph 6 of Appendix 3.

#### **HEFCE-funded countable years (excluding forecasts)**

19. To identify HEFCE-funded countable years (excluding forecasts) from the individualised file select HEFEXCL = 0 and HEFREG = 1 and HEFTYPE = HOMEF. The algorithms for deriving HEFEXCL, HEFREG and HEFTYPE are given in paragraphs 48-49, 46 and 16 respectively of Appendix 1.

#### **Independently funded countable years (excluding forecasts)**

20. To identify independently funded countable years (excluding forecasts) from the individualised file select HEFEXCL = 0 and HEFREG = 1 and HEFTYPE = HOMEIF. The algorithms for deriving HEFEXCL, HEFREG and HEFTYPE are given in paragraphs 48-49, 46 and 16 respectively of Appendix 1.

#### **Non-fundable countable years (excluding forecasts)**

21. To identify non-fundable countable years (excluding forecasts) from the individualised file select HEFEXCL = 0 and HEFREG = 1 and HEFTYPE = HOMENF. The algorithms for deriving HEFEXCL, HEFREG and HEFTYPE are given in paragraphs 48-49, 46 and 16 respectively of Appendix 1.

22. We make an assumption about non-fundable students. Details of this assumption are given in paragraph 12 of Appendix 3.

#### **Island and overseas countable years (excluding forecasts)**

23. To identify island and overseas countable years (excluding forecasts) from the individualised file select HEFEXCL = 0 and HEFREG = 1 and HEFTYPE = ISOV. The algorithms for deriving HEFEXCL, HEFREG and HEFTYPE are given in paragraphs 48-49, 46 and 16 respectively of Appendix 1.

#### **Standard countable years (excluding forecasts)**

24. To identify standard countable years (excluding forecasts) from the individualised file select HEFEXCL = 0 and HEFREG = 1 and LENGTH = S. The algorithms for deriving HEFEXCL, HEFREG and LENGTH are given in paragraphs 48-49, 46 and 26 respectively of Appendix 1.

#### **Long countable years (excluding forecasts)**

25. To identify long countable years (excluding forecasts) from the individualised file select HEFEXCL = 0 and HEFREG = 1 and LENGTH = L. The algorithms for deriving HEFEXCL, HEFREG and LENGTH are given in paragraphs 48-49, 46 and 26 respectively of Appendix 1.

#### **Countable years (excluding forecasts) by price group**

26. To identify countable years (excluding forecasts) by price group from the individualised file select HEFEXCL = 0 and HEFREG = 1. To obtain the

proportion of activity in each price group sum the values of each of the price group fields (PRGB, PRGC, PRGD, PRGMEDIA, PRGPSYCH, PRGITT, PRGINSET). The algorithms for deriving HEFEXCL, HEFREG and price groups are given in paragraphs 48-49, 46 and 37 respectively of Appendix 1.

27. The proportion of activity in each price group is assigned using HQ\_PERS1, HQ\_PERS2 and HQ\_PERS3. The algorithms for assigning this proportion are given in paragraphs 37-38 of Appendix 1.

#### **Assumed load for countable years included in Column 4 by price group**

28. To identify assumed countable years included in Column 4 from the individualised file select HEFCOL4 = 1. To obtain the load for these countable years multiply the values of each of the price group fields (PRGB, PRGC, PRGD, PRGMEDIA, PRGPSYCH, PRGITT, PRGINSET) with HEFESFTE, sum the values and divide by 100. The algorithms for deriving HEFCOL4, HEFESFTE and price groups are given in paragraphs 57, 36 and 37 respectively of Appendix 1.

#### **Regulated £1,125 fee-level countable years (excluding forecasts)**

29. To identify regulated £1,125 fee-level countable years (excluding forecasts) from the individualised file select HEFEXCL = 0 and HEFREG = 1 and HEFFEELV = 1125. The algorithms for deriving HEFEXCL, HEFREG and HEFFEELV are given in paragraphs 48-49, 46 and 22 respectively of Appendix 1.

#### **Regulated £550 fee-level countable years (excluding forecasts)**

30. To identify regulated £550 fee-level countable years (excluding forecasts) from the individualised file select HEFEXCL = 0 and HEFREG = 1 and HEFFEELV = 550. The algorithms for deriving HEFEXCL, HEFREG and HEFFEELV are given in paragraphs 48-49, 46 and 22 respectively of Appendix 1.

#### **Regulated £0 fee-level countable years (excluding forecasts)**

31. To identify regulated £0 fee-level countable years (excluding forecasts) from the individualised file select HEFEXCL = 0 and HEFREG = 1 and HEFFEELV = 0. The algorithms for deriving HEFEXCL, HEFREG and HEFFEELV are given in paragraphs 48-49, 46 and 22 respectively of Appendix 1.

#### **NHS bursaried courses fee-level countable years (excluding forecasts)**

32. To identify regulated NHS bursaried courses from the individualised file select HEFEXCL = 0 and HEFREG = 1 and HEFFEELV = NHS. The algorithms for deriving HEFEXCL, HEFREG and HEFFEELV are given in paragraphs 48-49, 46 and 22 respectively of Appendix 1.

33. We make an assumption about students in receipt of an NHS bursary. Details of this assumption are given in paragraph 18 of Appendix 3.

#### **Non-regulated fee-level countable years (excluding forecasts)**

34. To identify non-regulated fee-level countable years (excluding forecasts) from the individualised file select HEFEXCL = 0 and HEFREG = 1 and HEFFEELV = OTHER. The algorithms for deriving HEFEXCL, HEFREG and HEFFEELV are given in paragraphs 48-49, 46 and 22 respectively of Appendix 1.

#### **Foundation degree bridging courses countable years (excluding forecasts)**

35. To identify foundation degree bridging courses countable years (excluding forecasts) from the individualised file select HEFEXCL = 0 and HEFREG = 1 and HEFFEELV = FDBC. The algorithms for deriving HEFEXCL, HEFREG and HEFFEELV are given in paragraphs 48-49, 46 and 22 respectively of Appendix 1.



**New entrants**

36. To identify new entrants from the individualised file select HEFEXCL = 0 and YEARONE = 1. The algorithms for deriving HEFEXCL and YEARONE are given in paragraphs 48-49 and 24 respectively of Appendix 1.

37. We make an assumption about the programme of study of new entrants. Details of this assumption are given in paragraph 20 of Appendix 3.

# Appendix 3

## Problems of fit with the HEIFES03 re-creation algorithms

### Purpose

1. This appendix describes known problems of fit with the re-creation of HEIFES03 when using 2003-04 ILR F04 data.
2. It is aimed at expert readers with in-depth knowledge of the data. Readers are advised to have a copy of the Specification of the Individualised Learner Record for 2003/04 and the 'Higher Education in Further Education: Students Survey 2003-04' (HEFCE 2003/45) to hand when using this appendix.
3. Throughout this appendix, fields taken from the 2003-04 ILR F04 return are shown in capitals using the names given in Table 5 of Appendix 1.
4. Where a problem of fit occurs, an override file to rectify the problem of fit may be submitted. Details of the nature of the problem of fit and override file should be explained in the action plan. We will only apply overrides where we agree that they are appropriate. The override file should only contain changes to derived fields. Further details are provided under each of the following descriptions of problems of fit. Annex H contains details of the format of the override files.

### Differences between HEIFES03 and 2003-04 ILR F04 data

5. Due to problems of fit with ILR data, some of the data returned in HEIFES03 cannot be re-created exactly using the data supplied to the LSC. In such cases, reasonable approximations have to be made. Listed below are the specific areas where there may be uncertainty about the correspondence of 2003-04 ILR F04 to HEIFES03. Where possible, we have indicated the likely effects of the uncertainties.

### Description of problems of fit in algorithms

#### Part-time load

6. The calculation of HEFESFTE may result in differences between the two data sources for students on non-standard academic years. This is due to an assumption that years of programme of study are in a steady state. This may affect the load

for part-time students where  $HQ\_PYTYP = 2, 5$  and  $QA\_EN\_DA \leq 31$  July 2004. The following assumptions are made:

- a. For students not in their final year we assume that the load reported for the academic year is the same as for the year of programme of study being counted.
  - b. For students in their final year, where we are unable to link between years to establish the FTE, we assume the average load of similar students who are in their first year (see paragraph 35 of Appendix 1 for further details).
7. In both cases, where the intensity of the course varies over time, the FTE will not accurately reflect the FTE for the year of programme of study. However, over the programme of study as a whole the FTE will be consistent.
  8. Where the intensity of study in the first year of programme of study changes over time, the use of AVRGLOAD to estimate FTE in the final year will result in inconsistencies between the FTE on HEIFES and on the ILR return when summed over the whole programme of study.
  9. For the purposes of the override file, the description should be 'part-time load' and the field to be over-written is HEFESFTE.

#### Price groups

10. For the HEIFES03 re-creation we map activity to price groups using Superclass II codes. Therefore price groups may differ for the activity where the learndirect code maps to a different price group than the Superclass II code.
11. For the purposes of the override file, the description should be 'price groups' and the fields to be over-written are PRGB, PRGC, PRGD, PRGMEDIA, PRGPSYCH, PRGITT, PRGINSET.

#### Fundability status

12. We assume that students are non-fundable if they are not recorded as HEFCE-funded or independently funded and their domicile is EU. This assumption means that we may identify island and overseas students as non-fundable.

13. For the purposes of the override file, the description should be 'Fundability status' and the field to be over-written is HEFTYPE.

#### **Two years of programme of study – first year**

14. Where two years of programme of study are generated we have assumed some programme of study attributes from 2002-03 ILR data for the first year. See paragraphs 17-19 of Appendix 1 for further information. In general, data returned to the LSC should reflect the student status at the end of the academic year, therefore 2003-04 ILR F04 data relate to the second year of programme of study when two years are generated.

15. For the purposes of the override file, the description should be 'Countable year'. Please contact Gemma Harper at [ilr\\_heifes\\_stats@hefce.ac.uk](mailto:ilr_heifes_stats@hefce.ac.uk) to discuss the nature of the override and to agree the derived fields to override.

#### **Non-completions**

16. We make an assumption that all students returned with year of programme of study not yet completed, but not failed to complete (HQ\_COMPY = 3), have completed. Hence the number of non-completions may be understated.

17. For the purposes of the override file, the description should be 'Non-completions' and the field to be over-written is HEFCOMP.

#### **NHS bursaries**

18. The assumptions we make when identifying NHS bursaried courses means we may not identify all pre-registration students of nursing, midwifery, the allied health professions, dental auxiliaries, audiologists and operating department practitioners.

19. For the purposes of the override file, the description should be 'NHS bursaries' and the field to be over-written is HEFFEELV.

#### **New entrants**

20. Column 5 may not accurately reflect the numbers of new entrants where a year of programme is not a recognised concept of a course.

For example, HQ\_PROGY = 99, year of programme of study has been estimated using QA\_ST\_DA (see paragraphs 24-25 of Appendix 1).

21. For the purposes of the override file, the description should be 'New entrants' and the field to be over-written is YEARONE.

# Appendix 4

## Algorithms used to inform the 2005-06 widening participation allocations

### Purpose

1. This appendix details the algorithms used in calculating the 2005-06 widening participation (WP) allocations.

### 2003-04 ILR F04 fields used in the widening participation derived statistics algorithms

2. Only certain fields, detailed in Table 10, were used to generate the WP allocation fields.
3. Throughout this appendix, fields taken from the ILR F04 return or derived for the WP allocations are shown in capitals using the names given in Tables 10 and 11.

### Using the individualised file

4. When working through this appendix it is necessary to use the individualised file WP03XXXXXX.ind, where XXXXXX is the UPIN identifier for the college. Full details of how to access this file are given in Annex E. This will show the allocation of students to cells within the tables and, where relevant, details of why they were excluded.

Table 10 **ILR F04 fields used to inform the widening participation allocations**

<b>Field code</b>	<b>Description</b>	<b>Name</b>	<b>Dataset</b>	<b>Column in individualised file*</b>
L01	Provider number	ST_UPIN	Learner	A
L02	Contract / Allocation type	ST_ALLNO	Learner	C
L03	Learner reference number	ST_REF	Learner	D
L11	Date of birth	ST_DOB	Learner	Q
L17	Home postcode	ST_POSTC	Learner	S
L24	Country of domicile	ST_DOMIC	Learner	R
L29	Additional support	ST_SUPPA	Learner	T
A05	Sequence number	QA_SEQNO	Learning aim	E
A11	Source of funding other than the LSC (occurs twice)	QA_FEHE1 / QA_FEHE2	Learning aim	M, N
A27	Learning start date	QA_ST_DA	Learning aim	O
A28	Learning planned end date	QA_EXP_E	Learning aim	P
H09	Learner instance number	HQ_NUMHU	HE	F
H11	Highest qualification on entry	HQ_QUAL_	HE	J
H13	Type of programme year	HQ_PYTYP	HE	K
H22	UCAS applicant number	HQ_UCAS	HE	L
H26	Number of A-levels	HQ_ALEVS	HE	U
H27	A/AS level score	HQ_A_LEV	HE	V
H28	Number of SCE Highers and CSYS	HQ_HIGHR	HE	W

H29	Scottish Higher points score	HQ_HIGHP	HE	X
H30	Number of vocational qualifications	HQ_VOCQU	HE	Z

\* The individualised file WP03XXXXXX.ind, downloadable from the web (see Annex E for further details).

### Description of derived fields

5. This section contains details of the derived fields contained in the individualised data file. These fields are used in calculating the WP allocations.

Table 11 **Derived fields used to inform the WP allocation**

Field name	Description	Paragraph	Column in individualised file*
AGEGRP	Age group	13	AP
AHPTS	A-level / Scottish higher points	25	AY
CASWARD	2001 census ward of the student's home postcode	20	AZ
CRSELGTH	Length of course in years	6	AW
DISALLOC	Flag indicating inclusion to inform disability allocation	10	AL
DISPOP	Flag indicating inclusion in the disability allocation population	9	AK
EDMQUIN	Educational attainment quintile of mature full-time student's census ward	20	AU
EDPOPM	Flag indicating inclusion in mature full-time widening access allocation population	17	AR
EDPOPPT	Flag indicating inclusion in part-time widening access allocation population	18	AS
EDPTQUIN	Educational attainment quintile of part-time student's census ward	23	AV
ENTRANT	Flag indicating students in their first year of programme of study	11	AO
ENTRYAGE	Student's age on commencement of programme of study	12	BA
ENTQUAL	Grouping of student's highest qualification on entry	26	AJ
EQGRP	Entry qualification risk group	27	AH
EQPOP	Flag indicating whether the student is in the population for the full-time improving retention allocation	24	AG
EQWEIGHT	Entry qualification weighting	28	AI
EXCLPC	Flag indicating whether postcode was mapped to census data	15	AY

HEFCOL4 <sup>†</sup>	Flag indicating whether the student is included in Column 4	57	AE
HEFESFTE <sup>†</sup>	FTE for the year of programme of study	36	AC
HEFEXCL <sup>†</sup>	Exclusion reason(s)	48-49	I
HEFLEVEL <sup>†</sup>	Level of study	15	Z
HEFMODE <sup>†</sup>	Mode of study	14	AA
HEFQAIM <sup>†</sup>	Recognised as HE qualification aim	13	AB
HEFTYPE <sup>†</sup>	Fundability status	16	AD
HIGHQUAL	Flag indicating whether student has an equivalent or higher qualification than the current qualification aim	14	AF
ILRKEY <sup>†</sup>	Unique learning aim identifier	12	G
PGDSA	Postgraduate DSA eligibility	8	AL
STUBID <sup>†</sup>	Unique year of programme of study identifier	20-21	H
UGDSA	Undergraduate DSA eligibility	7	AK
WARD6_C	1991 census ward of the student's home postcode	19	BB
YNGPART	Flag indicating inclusion in young full-time widening access allocation population	16	AQ
YNGQUIN	Young participation quintile of young full-time student's census ward	21	AT

\* The individualised file WP03XXXXXX.ind, downloadable from the web (see Annex E for further details).

<sup>†</sup>The algorithms for deriving these fields are given in Appendix 1.

## CRSELGTH

6. This is the number of years between QA\_ST\_DA and QA\_EXP\_E rounded up.

## UGDSA

7. This field indicates the DSA (Disabled Student's Allowance) eligibility status for undergraduates, including students on Postgraduate Certificates of Education (PGCEs).

Value	Description	Definition
1	Undergraduate eligible for DSA	ST_DOMIC = 399, 599, 299, 099 and (HEFLEVEL = UG or HEFQAIM = PGCE) and (HEFMODE = FTS, SWOUT or (HEFMODE = PT and HEFESFTE ≥ 50))
0	Undergraduate ineligible for DSA	Otherwise

## PGDSA

8. This field indicates the DSA eligibility status for postgraduates, excluding students on PGCEs.

Value	Description	Definition
1	Postgraduate eligible for DSA	ST_DOMIC= 399, 599, 299, 099 and HEFLEVEL = PG and HEFQAIM ≠ PGCE and (QA_FEHE1 ≠ 007 or QA_FEHE2 ≠ 007) and ((HEFMODE = FTS, SWOUT and CRSELGTH ≥ 1) or (HEFMODE = PT and HEFESFTE ≥ 50))
0	Postgraduate ineligible for DSA	Otherwise

## DISPOP

9. This flag indicates whether the student was included in the denominator of the disability allocation proportions.

Value	Description	Definition
1	Included in the denominator of the disability allocation proportions	HEFCOL4 = 1 and HEFTYPE = HOMEF, HOMEIF, HOMENF and (UGDSA = 1 or PGDSA = 1)
0	Not included in the denominator of the disability allocation proportions	Otherwise

## DISALLOC

10. This flag indicates whether the student is likely to be included in the numerator of the disability allocation proportion calculations.

Value	Description	Definition
1	Included in the numerator of the disability allocation proportions	DISPOP = 1 and ST_SUPPA = 71
0	Not included in the numerator of the disability allocation proportions	Otherwise

## ENTRANT

11. This field identifies students in their first year of programme of study.

Value	Description	Definition
1	Entrant	(HQ_PYTYP = 1 and QA_ST_DA ≥ 1 August 2003 and QA_ST_DA ≤ 31 July 2004) or (HQ_PYTYP ≠ 1 and QA_ST_DA ≥ 1 August 2002 and QA_ST_DA ≤ 31 July 2003)
0	Not an entrant	Otherwise

## ENTRYAGE

12. This field contains the student's age at the commencement of the programme of study.

ENTRYAGE = (QA\_ST\_DA – ST\_DOB)/365.25 rounded down to the nearest whole number.

## AGEGRP

13. This field contains the student's age group using ENTRYAGE.

Value	Description	Definition
1	Less than 21 years of age	ENTRYAGE < 21
2	Greater than or equal to 21 and less than 25 years of age	ENTRYAGE ≥ 21 and ENTRYAGE < 25
3	Otherwise	Otherwise

## HIGHQUAL

14. This field identifies students that have not previously studied for their qualification aim, or a higher qualification aim.

Value	Description	Definition
1	Student has not previously studied for their qualification aim, or a higher qualification aim	(HQ_QUAL_ = 21, 22 and HEFQAIM ≠ OTHER) or (HQ_QUAL_ = 23 to 28, 31 and HEFQAIM = FIRST) or (HQ_QUAL_ = 30 and HEFQAIM = FIRST, FOUDEG) or HQ_QUAL_ = 29, 39 to 99
0	Student has previously studied for their qualification aim, or a higher qualification aim	Otherwise

## EXCLPC

15. This flag indicates whether the student's home postcode (ST\_POSTC) has been excluded from the mapping to 1991 and 2001 census ward data. Postcodes that are recognised as schools, prisons, hospitals and similar public institutions are excluded from the mapping.

## YNGPART

16. This flag indicates whether the student is included in the young, full-time widening access allocation population.

Value	Description	Definition
1	Included in young full-time widening access allocation population	EXCLPC = N and ST_DOMIC = 099, 299, 399, 599 and HEFTYPE = HOMEF and HEFCOL4 = 1 and AGEGRP = 1 and ENTRANT = 1 and HEFLEVEL = UG and HEFMODE = FTS
0	Not included in the population	Otherwise



## EDPOPM

17. This flag indicates whether the student is included in the mature, full-time widening access allocation population.

Value	Description	Definition
1	Included in mature full-time widening access allocation population	EXCLPC = N and ST_DOMIC = 399, 599 and HEFTYPE = HOMEF and HEFCOL4 = 1 and AGEGRP = 2, 3 and ENTRANT = 1 and HEFLEVEL = UG and HEFMODE = FTS
0	Not included in the population	Otherwise

## EDPOPPT

18. This flag indicates whether the student is included in the part-time widening access allocation population.

Value	Description	Definition
1	Included in the part-time widening access allocation population	EXCLPC = N and ST_DOMIC = 399, 599 and HEFTYPE = HOMEF and HEFCOL4 = 1 and ENTRANT = 1 and HEFLEVEL = UG and HEFMODE = PT
0	Not included in the population	Otherwise

## WARD6\_C

19. This field contains the 1991 census ward of the student's home postcode (ST\_POSTC).

## CASWARD

20. This field contains the 2001 census ward of the student's home postcode (ST\_POSTC).

## YNGQUIN

21. This field indicates the young participation quintile of the student's 1991 census ward (WARD6\_C) and is only populated for students in the young full-time widening access population (YNGPART = 1). Values are 1 to 5, with 5 being the quintile of highest participation.

## EDMQUIN

22. This field indicates the educational attainment quintile of the student's 2001 census ward (CASWARD) and is only populated for students in the mature full-time widening access population (EDPOPM = 1). Values are 1 to 5, with 5 being the quintile of highest educational achievement. Students with HIGHQUAL = 1 and HQ\_QUAL ≠ 99 are set to 5.

## EDPTQUIN

23. This field indicates the educational attainment quintile of the student's 2001 census ward (CASWARD) and is only populated for students in the part-time widening access population (EDPOPPT = 1). Values are 1 to 5, with 5 being the quintile of highest educational achievement. Students with HIGHQUAL = 1 and HQ\_QUAL ≠ 99 are set to 5.

## EQPOP

24. This flag indicates whether the student was included in the calculation of the entry-qualification-based widening participation funding allocation.

Value	Description	Definition
1	Included in entry-qualification-based widening participation allocation	HEFCOL4 = 1 and ENTRANT = 1 and ST_DOMIC = 099, 299, 399, 599 and HEFTYPE = HOMEF, HOMEIF and HEFLEVEL = UG and HEFMODE = FTS, SWOUT
0	Not included in entry-qualification-based widening participation allocation	Otherwise

## AHPTS

25. This field contains the number of A-level or Scottish Higher points for the student. It is taken to be the maximum of the student's HQ\_A\_LEV and HQ\_HIGHP.

## ENTQUAL

26. This field contains the student's entry qualifications.

Value	Description	Definition
DEG	Degree and higher	HQ_QUAL_ = 01 to 05, 10 to 13
OHE	Other HE	HQ_QUAL_ = 15 to 16, 21 to 25, 27 to 28, 30
FOU	Foundation course	HQ_QUAL_ = 29, 43
ACCESS	Access course	HQ_QUAL_ = 48
AH	A-levels and Scottish Highers	HQ_QUAL_ = 39 or (HQ_QUAL_ = 40 and HQ_VOCQU ≠ 01 to 03, 97 and HQ_ALEVS ≠ 98, 99, blank and HQ_HIGHR ≠ 98, 99, blank)
BACC	Baccalaureate	HQ_QUAL_ = 47
UNKNOWN	Unknown entry qualifications	HQ_QUAL_ = 99
OTHER	Other and no formal qualifications	Otherwise

## EQGRP

27. This field holds the entry-qualification risk group the student was assigned to.

Value	Description	Definition
Y_L	Young, low risk	ENTRYAGE < 21 and (ENTQUAL = DEG, BACC, UNKNOWN or (ENTQUAL = AH and (AHPTS ≥ 19 or (AHPTS = 0 and HQ_UCAS ≠ 000000000))))
Y_M	Young, medium risk	ENTRYAGE < 21 and (ENTQUAL = FOU, OHE or (ENTQUAL = AH and ((AHPTS ≥ 9 and AHPTS < 19) or (AHPTS = 0 and HQ_UCAS = 000000000))))
Y_H	Young, high risk	ENTRYAGE < 21 and not above

M_L	Mature, low risk	ENTRYAGE ≥ 21 and (ENTQUAL = DEG, UNKNOWN or (ENTQUAL = AH and (AHPTS > 24 or (AHPTS = 0 and HQ_UCAS ≠ 000000000))))
M_M	Mature, medium risk	ENTRYAGE ≥ 21 and (ENTQUAL = OHE, FOU, ACCESS or (ENTQUAL = AH and (AHPTS ≤ 24 or (AHPTS = 0 and HQ_UCAS = 000000000))))
M_H	Mature, high risk	ENTRYAGE ≥ 21 and not above

### EQWEIGHT

28. This field holds the weight for the entry-qualification-based widening participation allocation.

Value	Definition
0	EQGRP = Y_L, M_L
1	EQGRP = Y_M
1.5	EQGRP = Y_H, M_M
2.5	EQGRP = M_H

# Appendix 5

## HEFCE regional statistics algorithms

### Purpose

1. This appendix describes the method used in generating the data for publication.
2. Throughout this appendix fields taken from the 2003-04 ILR F04 are shown in capitals using the names given in Table 12.

Table 12 **Fields used in data for publication**

Field code	Description	Name	Data set	Column in individualised file*
L01	Contract/Allocation provider number	ST_UPIN	Learner	A
L02	Contract/Allocation type	ST_ALLNO	Learner	B
L03	Learner reference number	ST_REF	Learner	C
A05	Sequence number	QA_SEQNO	Learning aim	D
H09	Learner instance number	HQ_NUMHU	HE	E
H14	Mode of study	HQ_MHESE	HE	L
H17	Learner FTE	HQ_FTEHE	HE	AB
H33,	Proportion taught in Superclass subject 1- 3	HQ_PERS1,	HE	V
H34,		HQ_PERS2,		W
H35		HQ_PERS3		X
Superclass_code,	The Superclass II subject classification	SUPERCL1,	Learning Aim Database	P
Superclass2_code,		SUPERCL2,		Q
Superclass3_code		SUPERCL3		R

\* The individualised file PUB03XXXXXX.ind, downloadable from the web (see Annex E for further details).

### Description of derived fields

3. This section details the derived fields contained on the individualised data file, see Table 13. These fields are used to build the data for use in the publication.

Table 13 **Derived fields**

Field name	Description	Paragraph	Column in individualised file*
CMPPOST	Institution postcode	16	AF
HEFEXCL <sup>Φ</sup>	Reason for exclusion from the HEIFES population	48-49	H
HEFLEVEL <sup>Φ</sup>	Level of study	15	I
HEFQAIM <sup>Φ</sup>	Recognised HE qualification	13	N
INSTNUTX <sup>†</sup>	The three levels of national unit of territorial statistics	17	AG, AH, AI
ILRKEY <sup>Φ</sup>	Unique learning aim identifier	12	F

LADUA	Institution local area district unitary authority	18c	AL
LEA	Local education authority area	18a	AJ
LSCNM	Learning and Skills Council area	18b	AK
PBLLOAD	Flag indicating whether the student FTE was included in the provision by location population	4	K
PBLFTEX <sup>†</sup>	FTE for provision by location, by subject of study	13 - 15	AC, AD, AE
PBLLEV	Provision by location level of study	7	O
PBLMODE	Provision by location mode of study	6	M
PBLSBJX <sup>†</sup>	Provision by location subject of study	9	S, T, U
PBLPOP	Flag indicating whether the student was included in the provision by location population	5	J
PBLSTUX <sup>†</sup>	Headcount for provision by location by principal subject of study	10-12	Y, Z, AA
STUBID <sup>Φ</sup>	Unique countable year of programme identifier	20-21	G

\* The individualised file PUB03XXXXXX.ind, downloadable from the web (see Annex E for further details).

<sup>Φ</sup>The algorithms for deriving these fields are given in Appendix 1.

<sup>†</sup> Where X is 1 – 3.

## PBLLOAD

4. This field indicates whether the student FTE was included in the provision by location population.

Value	Description	Definition
1	In the provision by location FTE population	HQ_MHESE = 01, 03 and HQ_FTEHE > 3 and QA_EN_DA ≥ 1 August 2003 or blank and QA_ST_DA ≤ 31 July 2004 or blank and ENG_LEVE = H and (QUAL_TYP = E007, E008, 0125, 0126 0393, 0394, 1406, 1407, 1408, 1409, 1410, 1411, 1412, 1427, 2001, 9000, 9002, 9100, 9101, 9103, 9107, 9109, 9110, 9111, 9112, 9113, or (QUAL_TYP = 0031, 0032 or (AWARD_BO = EDEXCEL, SQA and higher education institutions*))
0	Not in the provision by location FTE population	Otherwise

\* UK higher education institutions are identified where AWARD\_BO = APU, BIRKBECK, BNU, BU, CAF, CITY, CU, DU, HAUC, HUAVA, HUDDU, HULLU, KACAA, KCL, LANU, LEEDU, LJM, LMU, LONDON, LOUUI, LU, MIDU, MMU, NTU, OBU, OU, PU, RAM, RCA, RCM, SALFU, SBU, SHU, SIAD, SINST, STAFFU, TCM, TVU, UCC, UCLAN, UCE, UEA, UK, UNIEXE, UNORTH, UOB, UOG, UOH, UOK, UOM, UON, UOS, UOSH, UOST, UOSX, UOSY, UOT, UOW, UOWR, UOY, UW, UWE, WU.

## PBLSTU

5. This field indicates whether the student was included in the provision by location population.

Value	Description	Definition
1	In the provision by location student population	PBLFTE = 1 and ((QA_EN_DA = blank and HQ_PYTYP = 1, 2, 3, 4, 5) or (QA_EN_DA ≠ blank)) and ((QA_EN_DA > ANNIV of QA_ST_DA + 14) or (QA_ST_DA = blank))
0	Not in the provision by location student population	Otherwise

## PBLMODE

6. This field allocates students to provision by location mode of study.

Value	Description	Definition
FT	Full-time	HQ_MHESE = 01
PT	Part-time	HQ_MHESE = 03

## PBLLEV

7. This field allocates students to provision by location level of study.

Value	Description	Definition
PGT	Postgraduate taught	HEFQAIM = MASTER, HIGHER, PGCE
DEG	First degree	HEFQAIM = FIRST
FOU	Foundation degree	HEFQAIM = FOUDEG
HND	Higher national diploma	HEFQAIM = HND
HNC	Higher national certificate	HEFQAIM = HNC
OTHER	Undergraduate other	Otherwise

## SUPERCL1 - 3

8. This field gives the student's subject of qualification aim, based on the characters only.

Value	Description
AA	Business/finance (general)
AB	Management (general)
AC	Public administration
AD	International business studies/briefings
AE	Enterprises
AF	Management skills
AG	Management planning and control systems
AJ	Human resources management
AK	Financial management/accounting
AL	Financial services

AY	Office skills
AZ	Typing/shorthand/secretarial skills
B	Sales marketing and distribution
BA	Marketing/PR
BB	Export/import/European sales
BC	Retailing/wholesaling/distributive trades
BD	Retailing/distribution: specific types
BE	Sales work
BF	Physical distribution
C	Information technology and information
CA	Computer technology
CB	IT: computer science/programming/systems
CC	IT: computer use
CD	Using software and operating systems
CE	Text/graphics/multimedia presentation software
CH	Software for specific applications/industries
CX	Information work/information use
CY	Information systems/management
CZ	Libraries/librarianship
D	Humanities (history/archaeology/religious studies/philosophy)
DA	Humanities/general studies/combined studies
DB	History
DC	Archaeology
DD	Religious studies
DE	Philosophy
E	Politics/economics/law/social sciences
EA	Government/politics
EB	Economics
EC	Law
ED	Social sciences general/combined
EE	Social studies
F	Area studies/cultural studies/languages/literature
FB	Culture/gender/folklore
FC	Literature
FJ	Linguistic studies
FK	Languages
FL	Cultural/area/social/diaspora studies

G	Education/training/teaching
GA	Education theory/learning issues
GB	Teaching/training
GC	Teaching/training: specific subjects
GD	Education/school organisation
GE	Training/vocational qualifications
GF	Careers/education guidance work
H	Family care/personal development/personal care and appearance
HB	Self development
HC	Career change/access
HD	Continuing education (basic skills)
HE	Personal finance/consumerism/rights
HF	Parenting/carers
HG	Disabled people: skills/facilities
HH	Crisis/illness/self help
HJ	Personal health/fitness/appearance
HK	Therapeutic personal care
HL	Hair/personal care services
J	Arts and crafts
JA	Art studies/fine arts
JB	Art techniques/practice
JC	Design (non-industrial)
JD	Museum/gallery/conservation skills
JE	Collecting/antiques
JF	Crafts: leisure/general
JG	Decorative leisure crafts
JH	Decorative metal crafts/jewellery
JK	Fashion/textiles/clothing (craft)
JL	Fabric crafts/soft furnishings
JP	Wood cane and furniture crafts
JR	Glass/ceramics/stone crafts
K	Authorship/photography/publishing/media
KA	Communication/media (general)
KB	Communication skills
KC	Writing (authorship)
KD	Journalism
KE	Photography



KF	Film/video production
KG	Audio and visual media
KH	Print and publishing
L	Performing arts
LA	Performing arts (general)
LB	Dance
LC	Theatre and dramatic arts
LD	Variety circus and modelling
LE	Theatre production
LF	Music history/theory
LG	Music of specific kinds/cultures
LH	Music performance
LJ	Musical instrument technology
M	Sports games and recreation
MA	Sports studies/combined sports
MB	Air sports
MC	Water sports
MD	Athletics, gymnastics and combat sports
ME	Wheeled sports
MF	Winter sports
MG	Ball and related games
MH	Country/animal sports
MJ	Indoor games
N	Catering/food/leisure services/tourism
NA	Hotel/catering (general)
NB	Food/drink services
NC	Catering services
ND	Hospitality services
NE	Baking/dairy/food and drink processing
NF	Cookery
NG	Home economics
NH	Food science/technology
NK	Tourism/travel
NL	Leisure/sports facilities work
NM	Country leisure facilities work
NN	Arts/culture/heritage administration
P	Health care/medicine/health and safety

PA	Health care management/health studies
PB	Medical sciences
PC	Complementary medicine
PD	Paramedical services/supplementary medicine
PE	Medical technology/pharmacology
PF	Dental services
PG	Ophthalmic services
PH	Nursing
PJ	Semi-medical/physical/psycho/therapies
PK	Psychology
PL	Occupational health and safety
PM	Social care/social work skills
PN	Family/community work
PP	Crisis support/counselling
PQ	Child care services
Q	Environment protection/energy/cleansing/security
QA	Environmental protection/conservation
QB	Energy economics/management/conservation
QC	Pollution/pollution control
QD	Environmental health/safety
QE	Cleansing
QG	Funerary services
QH	Security
QJ	Fire prevention/fire fighting
R	Sciences and mathematics
RA	Science and technology (general)
RB	Mathematics
RC	Physics
RD	Chemistry
RE	Astronomy
RF	Earth sciences
RG	Land and sea surveying/cartography
RH	Life sciences
S	Agriculture horticulture and animal care
SA	Agriculture/horticulture (general)
SB	Agricultural sciences
SC	Crop protection/fertilisers/by-products

SD	Crop production
SE	Gardening/floristry/plant sales
SF	Amenity horticulture/sports grounds
SG	Forestry/timber production
SH	Animal husbandry
SJ	Fish production/fisheries
SK	Agricultural engineering/farm machinery
SL	Agricultural/horticultural maintenance
SM	Rural/agricultural business organisation
SN	Veterinary services
SP	Pets/domestic animal care
T	Construction and property (built environment)
TA	Built environment (general)
TC	Property: surveying/planning/development
TD	Building design/architecture
TE	Construction (general)
TF	Construction management
TG	Building/construction operations
TH	Building services
TJ	Interior design/fitting/decoration
TK	Construction site work
TL	Civil engineering
TM	Structural engineering
V	Services to industry
VB	Production/operations management
VC	Purchasing/procurement and sourcing
VD	Quality and reliability management
VE	Industrial control/monitoring
VF	Industrial design/research and development
VG	Engineering services
W	Manufacturing/production work
WA	Manufacturing (general)
WB	Manufacturing/assembly
WC	Instrument making/repair
WD	Testing measurement and inspection
WE	Chemical products
WF	Glass/ceramics/concretes manufacture

WG	Polymer processing
WH	Textiles/fabrics (industrial)
WJ	Leather footwear and fur
WK	Woodworking/furniture manufacture
WL	Paper manufacture
WM	Food/drink/tobacco (industrial)
X	Engineering
XA	Engineering/technology (general)
XD	Metals working/finishing
XE	Welding/joining
XF	Tools/machining
XH	Mechanical engineering
XJ	Electrical engineering
XK	Power/energy engineering
XL	Electronic engineering
XM	Telecommunications
XN	Electrical/electronic servicing
XP	Aerospace/defence engineering
XQ	Ship and boat building/marine/offshore engineering
XR	Road vehicle engineering
XS	Vehicle maintenance/repair
XT	Rail vehicle engineering
Y	Oil/mining/plastics/chemicals
YA	Mining/quarrying/extraction
YB	Oil and gas operations
YC	Chemicals/materials engineering
YD	Metallurgy/metals production
YE	Polymer science/technology
Z	Transport services
ZA	Transport (general)
ZD	Freight handling
ZE	Aviation
ZF	Marine transport
ZG	Rail transport
ZH	Driving/road safety
ZJ	Road transport operation
ZL	Motor trade operations

NU	Null (No subject supplied)
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**PBLSBJ1 - 3**

9. This field indicates the student's provision by location subject of qualification aim, where the Superclass code fields are not blank. Only the characters of the Superclass codes are used.

Value	Description	Definition
A1	Agriculture and related subjects	SUPERCL1 - 3 = NE, NF, NG, NH, NN, Q, QA, QB, QD, QE, S, SA, SB, SC, SD, SF, SG, SH, SJ, SK, SL, SM, SP, WM
A2	Architecture building and planning	SUPERCL1 - 3 = QJ, SE, T, TA, TC, TD, TE, TF, TG, TH, TK, TM
B1	Biological sciences	SUPERCL1 - 3 = MA, PK, RH
B2	Business and management studies	SUPERCL1 - 3 = AA, AB, AD, AF, AG, H, HB, M, MB, MC, MD, ME, MF, MG, MH, MJ N, NA, NB, NC, ND, NL, NM, VB, VD
C1	Chemistry	SUPERCL1 - 3 = RD, Y, YA
C3	Computer sciences	SUPERCL1 - 3 = C, CA, CB, CC, CD, CE, CH, CX, CY
E1	Education	SUPERCL1 - 3 = G, GA, GB, GC, GD, GF
E2	Electrical and electronic engineering	SUPERCL1 - 3 = XJ, XL, XM, XN
E3	English language and literature	SUPERCL1 - 3 = FC, FK, KB
H1	History	SUPERCL1 - 3 = DB, FL
L1	Law	SUPERCL1 - 3 = EC
L2	Linguistics	SUPERCL1 - 3 = FJ
M1	Mass communication and documentation	SUPERCL1 - 3 = CZ, K, KD, KH
M2	Mathematical sciences	SUPERCL1 - 3 = R, RB
M3	Media studies	SUPERCL1 - 3 = KA
M4	Medicine and dentistry	SUPERCL1 - 3 = PB, PF
N1	Nursing	SUPERCL1 - 3 = PH
O1	Other business and administrative studies	SUPERCL1 - 3 = AE, AJ, AK, AL, AY, AZ, B, BA, BB, BC, BD, BE, BF, NK, PL, QG, QH, V, VC
O2	Other creative arts and design	SUPERCL1 - 3 = J, JA, JB, JC, JD, JE, JF, JG, JH, JK, JL, JP, JR, KC, KE, KF, KG, LD, TJ, WH
O3	Other engineering	SUPERCL1 - 3 = TL, VE, VF, VG, W, WA, WB, WC, X, XA, XE, XF, XH, XK, XP, XQ, XR, XS, XT, YB, YC, ZE, ZH, ZJ
O4	Other humanities	SUPERCL1 - 3 = D, DA, DC, DD, DE
O5	Other physical sciences	SUPERCL1 - 3 = QC, RA, RF, RG
P1	Performing arts	SUPERCL1 - 3 = L, LA, LB, LC, LE, LF, LG, LH
P2	Physics and astronomy	SUPERCL1 - 3 = RC, RE

S1	Social economic and political studies	SUPERCL1 - 3 = AC, E, EA, EB, ED, EE, F, FB, HE, HF, HG, HH, HJ, HK, HL, PM, PN, PP, PQ
S2	Subjects allied to medicine	SUPERCL1 - 3 = P, PA, PC, PD, PE, PG, PJ
T1	Technology	SUPERCL1 - 3 = LJ, WD, WE, WF, WG, WJ, WK, WL, XD, YD, YE, Z, ZA, ZD, ZF, ZG, ZL
V1	Veterinary sciences	SUPERCL1 - 3 = SN
Z1	Combined	Otherwise

### PBLSTU1

10. This field gives the provision by location headcount for the principal subject of qualification.

Value	Description	Definition
1	Headcount for the principal subject of study	PBLPOP = 1 and HQ_PERS1 ≠ 0
0		Otherwise

### PBLSTU2

11. This field gives the provision by location headcount for the principal subject of qualification.

Value	Description	Definition
1	Headcount for the principal subject of study	PBLPOP = 1 and HQ_PERS1 = 0 and HQ_PERS2 ≠ 0
0		Otherwise

### PBLSTU3

12. This field gives the provision by location headcount for the principal subject of qualification.

Value	Description	Definition
1	Headcount for the principal subject of study	PBLPOP = 1 and HQ_PERS1 = 0 and HQ_PERS2 = 0 and HQ_PERS3 ≠ 0
0		Otherwise

### PBLFTE1

13. This field gives the provision by location FTE for the primary subject of qualification.

Value	Description
$(HQ\_FTEHE \div 100) \times (HQ\_PERS1 \div 100)$	FTE for the first subject area

### PBLFTE2

14. This field gives the provision by location FTE for the secondary subject of qualification.

Value	Description
$(HQ\_FTEHE \div 100) \times (HQ\_PERS2 \div 100)$	FTE for the second subject area

**PBLFTE3**

15. This field gives the provision by location FTE for the tertiary subject of qualification.

<b>Value</b>	<b>Description</b>
$(HQ\_FTEHE \div 100) \times (HQ\_PERS3 \div 100)$	FTE for the third subject area

**CMPOST**

16. The postcode of the college.

**INSTNUT1, INSTNUT2 and INSTNUT3**

17. These fields indicate the student's area of activity based on the college's postcode. They contain the Nomenclature Units of Territorial Statistics levels (NUTS). There are three levels as described below.

<b>Level</b>	<b>Number of areas of activity in UK</b>	<b>Description</b>
INSTNUT1	12	Govt. Office Regions of England and other UK
INSTNUT2	37	Counties/groups of counties
INSTNUT3	133	Counties/groups of Unitary Authorities

18. In addition, we provide the following area information based on the CMPOST postcodes.

- a. Local Education Authority (LEA).
- b. Learning and Skills Council name (LSCNM)
- c. Local Area District Unitary Authority (LADUA).

# Appendix 6

## Example action and implementation plans

Figure 9 **Action plan: HEIFES03 and 2003-04 ILR F04 data**

College name: Wessex College of Technology

LSC code: WESSX

### Area(s), cause(s), contribution to discrepancy and date\* for correction of differences

Ref. number	Area of difference (eg, Column 1 full-time undergraduates HEFCE-funded price group D)	Cause of differences (eg, HEIFES, 2003-04 ILR F04, Learning Aim Database, algorithm)	2003-04 ILR F04 fields requiring amendment (eg, 623 changes to A11)*	Date for submitting 2003-04 ILR F04 amendment*	Estimate of contribution to discrepancy		
					Funding adjustment (eg, £300,000 funds due back)	Student numbers	FTE
	The learning aims linked to the Learning Aim Database for some CertEd students were incorrect.	2003-04 ILR F04	A02 and H02	20/03/05	£67,000 funds to be held back	80	70
	350 records were returned incorrectly with activity apportioned over fields H33, H34, H35 regardless of data on Learning Aim Database.	2003-04 ILR F04	350 changes to H33,H34,H35	20/03/05	Approx. £300,000 contract range holdback (increase in standard resource and reduction in assumed fee income)	350	300
	Table 1 column 1a. HEFCE-funded standard length incorrectly appears in price group D, postgraduate taught should have been returned as price group B.	HEIFES	N/A	N/A	Approx. £240,000 of contract range holdback	32	32



Ref. number	Area of difference (eg, Column 1 full-time undergraduates HEFCE-funded price group D)	Cause of differences (eg, HEIFES, 2003-04 ILR F04, Learning Aim Database, algorithm)	2003-04 ILR F04 fields requiring amendment (eg, 623 changes to A11)*	Date for submitting 2003-04 ILR F04 amendment*	Estimate of contribution to discrepancy		
					Funding adjustment (eg, £300,000 funds due back)	Student numbers	FTE
	Table 1 column 2. Undergraduate HEFCE-funded long countable years - price group C over-estimated number of students that would start after 1 November and complete before end of academic year.	HEIFES	N/A	N/A	Approx £95,000 funds due back	80	80
	30 records returned containing no information in the following fields. H07, H08, H09, H10 and H11.	2003-04 ILR F04	HE data set change file amending H07, H08, H09, H10 and H11 for these 30 records	20/03/05	Approx £30,000 contract range holdback	30	20
	15 ITT students are not being picked up in the re-creation.	Algorithm	N/A	N/A	£15,000 contract range holdback	15	15
	30 franchised-in students from the University of Wessex were incorrectly returned on our 2003-04 ILR F04.	2003-04 ILR F04	Student data set deletion file containing 30 students.	20/03/05	£25,000 funds due back	30	30
	Learning Aim Reference '00123456' is not recognised on the Learning Aim Database, causing 18 students to be excluded from the re-creation, as HEFQAIM = OTHER.	Learning Aim Database	N/A	N/A	£11,000 contract range holdback	12	12

\* Where appropriate

N/A = Not applicable

Figure 10 **Implementation plan**

**Institution name:** Wessex College of Technology

**LSC code:** WESSX

**Area of discrepancy:** The learning aims linked to on the Learning Aim Database for some CertEd students were incorrect.

**Change to system or process:** Corrected error in software system so that CertEd students are correctly mapped to the Learning Aim Database.

**Area of discrepancy:** 350 records were returned incorrectly with activity apportioned over fields H33, H34, H35 regardless of data on Learning Aim Database.

**Change to system or process:** In future years we will implement an internal software check to ensure that these fields are completed if there is Superclass II information in the corresponding fields in the Learning Aim Database.

**Area of discrepancy:** Table 1 column 1a. HEFCE-funded standard length – price group D postgraduate should be price group B.

**Change to system or process:** Corrected error in software system, so that MEng in Engineering is mapped to the price group for the Superclass code for the learner aim contained in the Learning Aim Database, rather than based on our college's own internal assignment.

**Area of discrepancy:** Table 1 column 2. Undergraduate HEFCE-funded long countable years – price group C under-recruitment.

**Change to system or process:** The forecasting discrepancy occurred because we applied the rate for post-Nov 1 starters from our 2001-02 'German culture' degree for the recently transferred 'Wessex Institute of Germanic Studies'. In hindsight we should have sought post-Nov 1 starter information for 2001-02 from the Institute and applied this rate. In future transfers we will apply rates based on previous years' data for both non-completions and post-Nov 1 starters for any activity that is transferred.

**Area of discrepancy:** 15 ITT students are not being picked up in the re-creation.

**Change to system or process:** Ensure college-specific field showing ITT students is correctly completed using internal software for future years, and inform HEFCE of any changes in the way ITT students are identified.

**Area of discrepancy:** 30 franchised-in students from the University of Wessex were incorrectly returned on our 2003-04 ILR F04.

**Change to system or process:** Ensure that systems are in place and fully tested to prevent franchised-in students from being returned on future ILR collections.

**Area of discrepancy:** Learning Aim Reference '00123456' is not recognised on the Learning Aim Database causing 18 students to be excluded from the re-creation, as HEFQAIM = OTHER.

**Change to system or process:** Request that the LSC update the Learning Aim Database, keep HEFCE informed of progress.

**Signed:**

**Name (please print):** WES WILKINS

**Position in organisation:** Planning manager

**Date:** 03-03-05