

April 2009/16

Core funding/operations

Request for information

Response may be required

This document describes the process we will use when reconciling 2007-08 data returns made to the Learning and Skills Council with other returns made to HEFCE. We will write separately to all further education colleges (FECs) and identify significant reconciliation differences where appropriate. This report also describes how we intend to use Individualised Learner Record (ILR) data to inform the widening participation allocations for 2009-10.

2007-08 statistics derived from ILR data for the monitoring and allocation of funding in FECs

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Appendices 1 to 8 are available to download from the HEFCE web-site, www.hefce.ac.uk, alongside this document under Publications.

2007-08 statistics derived from ILR data for the monitoring and allocation of funding in FECs

To	Heads of further education colleges directly funded by HEFCE Heads of lead institutions of HEFCE-recognised funding consortia
Of interest to those responsible for	Learner data, Funding, Audit
Reference	2009/16
Publication date	April 2009
Enquiries to	For all enquiries (except widening participation) contact: Ewa Wawrzynska tel 0117 931 7353 e-mail ilr_heifes_stats@hefce.ac.uk For enquiries regarding the use of ILR data to inform the 2009-10 widening participation allocations contact: Christine Daniel tel 0117 931 7373 e-mail ilr_heifes_stats@hefce.ac.uk

Executive summary

Purpose

1. This document describes:
 - a. How we will use 2007-08 Learning and Skills Council (LSC) learner data to monitor returns made to HEFCE.
 - b. The responses required from colleges to these monitoring processes.
 - c. How we intend to use 2007-08 student data to inform 2009-10 funding allocations.
2. This document, with its accompanying appendices, consists of the following sections:
 - a. The comparison of Higher Education in Further Education: Students Survey 2007-08 (HEIFES07) with 2007-08 Individualised Learner Record F04 data (2007-08 ILR F04).
 - b. How we may use ILR data to inform the 2009-10 widening participation (WP) allocations.
 - c. The comparison of the aggregate return to monitor 2007-08 co-funded employer engagement student numbers (CFEE07) with 2007-08 ILR F04 student data.
 - d. Guidelines on returning action and implementation plans.

Key points

Data quality

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

Funding monitoring

4. We wrote to colleges on 6 April 2009 to announce the availability of the data outputs that accompany this exercise. We also informed colleges that we would write again, by 1 June 2009, with notification of whether they have been selected to respond to this exercise.

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

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

7. Any funding adjustments arising from the reconciliation of HEIFES07 with a re-creation of HEIFES07 from 2007-08 ILR F04 data (the HEIFES07 re-creation), or from the reconciliation of CFEE07 with a re-creation of CFEE07 from 2007-08 ILR F04 data (the CFEE07 re-creation), are likely to affect the funding previously announced for 2007-08 and all subsequent years, including WP funding for 2008-09.

8. In many cases the funding adjustments arising from the reconciliation 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. In particular if selected colleges have not signed off their HEIFES07 re-creation by the deadline given below, then we will implement any reductions to 2009-10 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 **Friday 10 July 2009** for all colleges (including leads of HEFCE-recognised consortia) selected to respond to the comparison of HEIFES07 and the HEIFES07 re-creation.

Annexes and appendices

9. Annexes A to J describe how we will use ILR data for this exercise. The technical appendices describe the algorithms we will use.

Action required

HEIFES07 and CFEE07 monitoring

10. We will write to heads of colleges, copied to HEIFES contacts, before 1 June 2009 specifying whether a response is required to any part of this exercise.
11. Where a response is required, action and implementation plans must be returned by **Friday 26 June 2009**.
12. The final deadline for HEFCE to receive amendments to ILR data and overrides to primary derived fields detailed in the action and implementation plans is **Friday 3 July 2009**.

ILR data that may be used to inform 2009-10 WP allocations

13. If colleges wish to correct ILR data that may be used to inform 2009-10 WP allocations they should submit amendments, as detailed in their action plans, to Christine Daniel at HEFCE. An action plan should be submitted by **Friday 15 May 2009** and amendments to be incorporated in the July provisional 2009-10 WP allocations must be signed off by **Friday 29 May 2009**.

Timetable

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

6 April 2009	Announce availability of the data outputs that accompany this exercise
15 May 2009	Deadline for submission of an action plan detailing amendments to 2007-08 ILR data for incorporation in the July provisional 2009-10 WP allocations
29 May 2009	Deadline for sign-off for amendments to 2007-08 ILR data for incorporation in the July provisional 2009-10 WP allocations
by 1 June 2009	Issue letter to all colleges requesting response to the exercise where appropriate
26 June 2009	Deadline for receipt of final action and implementation plans produced by each college required to respond
3 July 2009	Deadline for submitting amendments for each college required to respond
10 July 2009	Final deadline for sign-off for 2007-08 ILR data amendments and overrides to primary derived fields as detailed in action and implementation plan(s) for each college required to respond
10 July 2009	For all colleges (including leads of HEFCE-recognised funding consortia) asked to respond to the comparison of HEIFES07 and the HEIFES07 re-creation: deadline for confirmation that the HEIFES07 re-creation reasonably reflects the outturn position for 2007-08 to avoid interim grant adjustments (see paragraphs 27 to 29 of the Introduction)

Introduction

15. This document describes how we will use 2007-08 Individualised Learner Record F04 data (2007-08 ILR F04 data) from the Learning and Skills Council to monitor returns made to HEFCE and to inform funding allocations. It also details the action required where either a response is requested or a college wishes to correct errors in its 2007-08 ILR data.

16. This document consists of this introduction plus Annexes A to J. In addition, technical appendices 1 to 8 are available on the internet with this document at www.hefce.ac.uk under Publications. These appendices will be of interest to readers who need to look at the algorithms used in the calculation of their derived statistics.

Annual data returns

17. The Higher Education in Further Education: Students Survey (HEIFES) return is used to monitor the year's teaching funding allocation and to determine the teaching funding allocation for the following year. In this exercise HEFCE uses ILR data to:

- a. Monitor HEIFES and co-funded employer engagement (CFEE) returns. If we find, either through a college's response to our reconciliations using ILR data, or any other method of assurance or data audit, that the HEIFES or CFEE submissions do not reflect the final outturn position for the year and that incorrect funding allocations have occurred as a result, including widening participation (WP) funding, then we will adjust the college'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 or CFEE (for example, qualification on entry, age and postcode data for determining the WP allocations).

18. Our monitoring processes are applied consistently to all colleges. We receive ILR F04 data approximately one year after the equivalent year's HEIFES return and approximately four months after the CFEE return. We expect all colleges to have used the HEIFES and CFEE re-creations generated by the '2007-08 statistics derived from ILR data: Guide to HEFCE web facility' (HEFCE 2008/25) to verify and correct their 2007-08 ILR data, where appropriate, before submitting their ILR returns in readiness for this exercise.

Monitoring funding

Selection thresholds and action and implementation plans

19. We employ thresholds to select which colleges must respond. For HEIFES and CFEE these thresholds are set in terms of the funding differences arising from the comparisons. This selection process represents a risk assessment. Primarily, this assessment is intended to identify, and thus select, those colleges whose data differences are most likely to have a material effect on their funding allocations. We will write to heads of colleges, copied to HEIFES contacts, before 1 June 2009 specifying whether their college's data meet our selection thresholds (and therefore whether they are required to respond to this exercise).

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

HEIFES07

21. 2007-08 ILR F04 data will be used to monitor HEIFES07. A re-creation of HEIFES07 is generated from 2007-08 ILR F04 data using the methods detailed in Annex B. This re-creation is compared to HEIFES07 and if the discrepancies between the two data sources exceed our thresholds, the college will be required to respond to the exercise. We also generate a re-calculated 2008-09 WP allocation based on HEIFES07 re-creation, which is compared with the 2008-09 WP allocation based on HEIFES07 FTEs.

22. When 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 HEIFES07 re-creation reasonably reflects the outturn position for 2007-08.

CFEE07

23. 2007-08 ILR F04 data will be used to monitor CFEE07. A re-creation of CFEE07 is generated from 2007-08 ILR F04 data using the methods detailed in Annex D. This re-creation is compared to CFEE07 and if the discrepancies between the two data sources exceed our thresholds, the institution will be required to respond to the exercise.

Confirmation

24. When HEFCE has asked for confirmation and it has been received from the college, the HEIFES07 and CFEE07 re-creations will supersede HEIFES07 and CFEE07 respectively and any consequent grant adjustments will be calculated and made (subject to the appeals process and the availability of our funds).

25. The thresholds we use to select colleges must not be interpreted as being the minimum grant adjustments that we might make. For holdback of teaching grant these are set out in the relevant grant adjustments publication, for example 'HEFCE grant adjustments 2007-08' (HEFCE 2007/19).

Risk assessment

26. 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

27. The monitoring process can take many months to complete. In some cases in the past, by the time 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.

Comparison between HEIFES07 and the HEIFES07 re-creation

28. We will reduce monthly grant payments for colleges where:
- a. We have requested a response to the comparison between HEIFES07 and the HEIFES07 re-creation; and
 - b. We have not asked for, or we have asked for and not received, confirmation that the HEIFES07 re-creation reasonably reflects the outturn position for 2007-08 by **10 July 2009**; and
 - c. The grant adjustment for 2009-10 that would result from the HEIFES07 re-creation position shown on **10 July 2009** would represent a reduction in the teaching funding allocation for 2009-10.
29. In these circumstances we will adjust the 2009-10 grant by using our own reasonable estimates, as at 10 July 2009, of the final outturn position, reflecting the current HEIFES07 re-creation. The reduction in 2009-10 grant payments would be made through the college's standard monthly grant payment profile.

Colleges not required to respond

30. We do not gain assurance, through this exercise, over the reliability of the HEIFES07 and CFEE07 returns or the HEIFES07 and CFEE07 re-creations for colleges that have not been required to respond. For such colleges the re-creations do not supersede the HEIFES07 and CFEE07 returns and as such we would not expect to adjust the teaching funding allocations based on these re-creations.

Further monitoring

31. We may audit data, systems and processes for colleges that are unable to provide acceptable explanations for the causes of discrepancies in any of the comparisons.
32. Notwithstanding the selection thresholds, we may also ask for further information from any college in respect of any of the comparisons. This may result ultimately in adjustments to grant, where appropriate.

Funding allocations

Widening participation funding allocation

33. We have used 2007-08 ILR F04 data to inform the following WP funding allocations for 2009-10:

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

34. In August 2008 we published a consultation (HEFCE 2008/28: 'Future support for teaching enhancement and widening participation') on changes to the teaching funding method that would lead to a new targeted allocation to support teaching enhancement and student success (TESS). This targeted allocation has been introduced for 2009-10 onwards and has three elements: improving retention, institutional learning and teaching strategies and research informed teaching. While the methodology has not changed, for 2009-10 the improving retention element

35. Annex C contains details of the derived statistics that have informed the 2009-10 WP and TESS allocations.

36. Colleges have the opportunity to amend 2007-08 ILR data used to inform the 2009-10 WP allocations. If a college wishes to correct its 2007-08 ILR data that will be used to inform the July provisional 2009-10 WP allocations it should submit an action and implementation plan by **Friday 15 May 2009**. Annex G gives guidance for completing and submitting action and implementation plans.

37. We will not accept amendments to 2007-08 ILR data until we are content with the college's action and implementation plan. Amendments should be signed off by **29 May 2009** to ensure incorporation in the July provisional 2009-10 WP allocations. See Annex H for details on how to submit amendments to 2007-08 ILR data.

38. We will endeavour to incorporate any amendments to 2007-08 ILR data signed off after 22 May 2009 in the final 2009-10 WP allocations. However, colleges should be aware that there is limited availability of funds after the July provisional WP allocation is announced.

HEFCE web facility for 2007-08 statistics derived from ILR data

39. On 21 July 2008 we made available the HEFCE web facility for 2007-08 statistics derived from ILR data (see HEFCE 2008/25). This facility is designed to assist colleges in returning accurate data to the Learning and Skills Council (LSC), and to identify discrepancies between forecasting in HEIFES07 and the outturn position for 2007-08. We believe that the web facility has contributed to a year-on-year improvement in ILR data quality for higher education students.

HEFCE-recognised funding consortia

40. For the lead college of a HEFCE-recognised funding consortium the HEIFES07 re-creation will incorporate 2007-08 ILR data supplied by each consortium member in addition to the lead's own ILR data. Details of specific information for leads of HEFCE-recognised funding consortia are given in Annex E.

Next steps

41. We will write to heads of colleges, copied to HEIFES contacts, before 1 June 2009 explaining whether a response is required to this exercise.

Guidance

HEFCE contact

42. Each college required to make a response to this exercise has been assigned a HEFCE contact. This contact will be the primary point of contact throughout the reconciliation process. Details of the contact will be provided in a letter to be sent by Ewa Wawrzynska on 6 April 2009.

Action and implementation plans

43. For colleges required to respond we will produce electronic forms for the action and implementation plan, which will contain some pre-completed information. Full guidance for producing and submitting an action and implementation plan is given in Annex G. Sample action and implementation plans are also included at Appendix 8.

Troubleshooting

44. Appendices 2 and 6 allow colleges to identify more easily the areas of, causes and reasons for discrepancies between 2007-08 ILR data and HEIFES07 and CFEE07 respectively.

Supplementary data

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

Frequently asked questions

46. Frequently asked questions (FAQs) for this exercise can be found on the HEFCE web-site under Questions. 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

47. 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 Data collection/2007-08 statistics derived from ILR data for monitoring and allocation of funding.

Comments and feedback

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

Annexes and appendices

49. The annexes to this publication describe how we will use 2007-08 ILR data for this exercise. The appendices to this publication contain technical descriptions of the algorithms we will use. The appendices are in a separate download at www.hefce.ac.uk with this document under Publications.

Annex A

Summary of changes since publication of HEFCE 2008/08

Purpose

1. This annex describes the changes that have been made since the release of '2006-07 statistics derived from ILR data for the allocation and monitoring of funding in FECs' (HEFCE 2008/08).

Indicative 2009-10 WP allocations

2. The indicative 2009-10 WP allocations are based on the rates and FTE used for the provisional 2009-10 WP announcement made in March 2009 and do not incorporate subsequent changes arising, for example, from amendments to 2008-09 non-mainstream FTEs, or transfers and mergers. During 2009 we may update the rates and FTE used for the indicative WP allocations as more current information becomes available.

CFEE07 re-creation

3. We have re-created CFEE07 using 2007-08 ILR F04 data. We have compared the CFEE07 re-creation with the CFEE07 return. An explanation of the comparison is given in Annex D, and the CFEE07 re-creation algorithms are detailed in Appendix 5.

Changes to algorithms and field names

4. The changes to algorithms listed here are those that have changed since HEFCE 2008/25.

HEIFES07 re-creation

EC-domiciled students

5. The algorithm for identifying Home and EC non-fundable students has changed to include: new members of the EC (Bulgaria and Romania); overseas territories (a list of overseas territories affected can be found at www.hefce.ac.uk under Questions/HEIFES FAQs); and the new code values for country of domicile, ST_DOMIC (L24), which affect Cyprus, France, Italy and Spain. To make it easier to establish which student we have identified as EC-domiciled we have created a new derived field, HEFEC.

Price group assignments

6. The algorithm for assigning price groups has been improved. Past algorithms have approximated price groups using Superclass II codes. Price group is now assigned by mapping the three Learning Directory Classification System (LDCS) fields, LDCS_CO1 – LDCS_CO3, to price groups as indicated in the table in below. For Initial Teacher Training and In-Service Education and Training students the assignment is not based on LDCS codes.

Field name	Learndirect code (LDCS_CO1, LDCS_CO2, LDCS_CO3)	Value*
PRGB	M [‡] , NL [‡] , NM [‡] , PB, PC.1, PC.5, PE.6, PE.7, PF.1, PF.2, PG.1, PG.2, QA.3, QH.6, R (except [†] RA.3, RA.5, RA.6, RB, RF.4, RG), S (except [†] SE, SF, SJ.5, SJ.61, SM, SN.4, SP, SQ), TL, TM, VE, VF.4, VG, WA, WC.1, WC.2, WC.3, WC.4, WE, X (except [†] XA, XD, XE, XF, XN, XS, XQ.45), Y (except [†] YA, YB, YD.3)	Sum of HQ_PERSX/100
PRGC ^{ψφ}	C (except [†] CY.3, CY.4, CY.6, CY.7, CY.8, CY.9, CZ), DC, FN.3, FN.4, FN.5, FN.6, FN.7, FN.9, G [†] , J (except [†] JA.11, JA.22, JA.23, JA.32, JA.33, JA.34, JA.5, JA.7, JA.8, JD, JE), L (except [†] LF, LG), M [‡] , N [‡] (except [†] NG, NK, NN), P (except [†] PA, PB, PC.1, PC.5, PE.6, PE.7, PF.1, PF.2, PG.1, PG.2), Q (except [†] QA.3, QB, QH, QJ), RA.3, RA.5, RA.6, RB, RF.4, RG, SE.1, SN.4, SQ, T (except [†] TC.44, TC.5, TC.6, TF, TL, TM), VF.1, VF.2, VF.3, VF.5, VF.6, W (except [†] WA, WC.1, WC.2, WC.3, WC.4, WE), XA, XD, XE, XF, XN, XS, YA, YB, YD.3, Z (except [†] ZX.3, ZX.4, ZX.5)	Sum of HQ_PERSX/100
PRGD	A, B, D (except [†] DC), E, F (except [†] FN.3, FN.4, FN.5, FN.6, FN.7, FN.9), G ^ψ , H, JA.11, JA.22, JA.23, JA.32, JA.33, JA.34, JA.5, JA.7, JA.8, JD, JE, KB, KC, LF, LG, M [‡] , NG, NK, NL [‡] , NM [‡] , NN, PA, QB, QH.1, QH.2, QH.3, QH.4, QH.5, QH.7, QH.8, QH.9, QJ, SE.2, SE.3, SE.4, SE.5, SE.7, SE.8, SE.9, SF, SJ.5, SJ.61, SM, SP, TC.44, TC.5, TC.6, TF, U, V (except [†] VE, VF.1, VF.2, VF.3, VF.4, VF.5, VF.6, VG), XQ.45, ZX.3, ZX.4, ZX.5	Sum of HQ_PERSX/100
PRGMEDIA	CY.3, CY.4, CY.6, CY.7, CY.8, CY.9, CZ, K (except [†] KB, KC)	Sum of HQ_PERSX/100
PRGITT	College specific	1
PRGINSET	QA_FEHE1 (A11A) = 025 or QA_FEHE2 (A11B) = 025	1

*Where HQ_PERSX is HQ_PERS1 (H33), HQ_PERS2 (H34), HQ_PERS3 (H35).

[†] Including all sub-levels of the hierarchy.

[‡] Students on sports science courses with LDCS codes MA to MJ, NL and NM should be allocated to price groups B, C or D according to the outcome of the HEFCE review carried out in 2004-05 or as subsequently agreed.

^ψ All Certificate of Education activity (HEFQAIM = CERTED) is assigned to price group C.

^φ All students on a sandwich year-out are assigned to price group C.

Awarding body

7. HEFAWARD, a new derived field, has been introduced to indicate if the awarding body is a UK HEI with the power to award degrees. The algorithm is:

Value	Description	Definition
1	The awarding body is a recognised one	AWARD_BO = APU, ASTONUNI, BATHSPA, BIRKBECK, BNU, BOLTONIN, BRUNEL, BU, CAF, CITY, CU, DMU, DU, EDGEHU, HAUC, HMC, HUAVA, HUDDU, HULLU, J9162, KCL, KINGSTON, LANU, LEEDU, LHU, LJM, LMU, LONDON, LONDONMU, LOUUI, LU, MIDU, MMU, NTU, OBU, OU, PU, RAM, RCA, RCM, ROYAGCOL, SALFU, SBU, SHU, SSU, STAFFU, TVU, UAL, UCANTCC, UCCA, UCE, UCLAN, UONORTON, UEA, UK, UNEWCAST, UNIBRI, UNIEXE, UNORTH, UOB, UOBATH, UOBEDS, UOCHESTR, UEL, UODE, UOG, UOGLOS, UOGREENW, UOH, UOK, UOLE, UOM, UON, UOPLY, UORG, UOS, UOSH, UOST, UOSX, UOSY, UOT, UOW, UOWAR, UOWINCH, UOWR, UOY, UW, UWE, WU, YORKSTJO
0	The awarding body is not a recognised one	Otherwise

8. As a result of the introduction of the HEFAWARD derived field, the HEFAQAIM algorithm was modified slightly as follows:

Value	Description	Definition
FIRST	First degree	QUAL_TYP = 0394, 1406, 1407, 1408, 1409, 9000, 9002, 9107, E007 and ENG_LEVE = H and HEFAWARD = 1
MASTER	Masters	QUAL_TYP = 0393, 1410, 2001, 9100, 9101, 9109 and ENG_LEVE = H and HEFAWARD = 1
HIGHER	Higher degree	QUAL_TYP = E008, 1411, 1412 and ENG_LEVE = H and HEFAWARD = 1
DIPHE	DipHE	QUAL_TYP = 9112 and ENG_LEVE = H and HEFAWARD = 1
PGCE	PGCE	QUAL_TYP = 9103 and ENG_LEVE = H and HEFAWARD = 1
CERTED	CertEd	QUAL_TYP = 9111 and ENG_LEVE = H and HEFAWARD = 1
FOUDEG	Foundation degree	QUAL_TYP = 9110 and ENG_LEVE = H and HEFAWARD = 1
FDBC	Foundation degree bridging course	QUAL_TYP = 9113 and ENG_LEVE = H and HEFAWARD = 1

PGDIP	Postgraduate diploma	QUAL_TYP = 0125, 0126 and ENG_LEVE = H and HEFAWARD = 1
HNC	HNC	QUAL_TYP = 0031 and ENG_LEVE = H and (HEFAWARD = 1 or AWARD_BO = EDEXCEL, SQA)
HND	HND	QUAL_TYP = 0032 and ENG_LEVE = H and (HEFAWARD = 1 or AWARD_BO = EDEXCEL, SQA)
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

Overrides to primary derived fields

9. HEFOVER, a new derived field, has been introduced to indicate which overrides (to correct problems of fit with our algorithms) have been applied to the student. It sums values representing the various overrides. For example, if HEFOVER = 5, it means that overrides 1 and 4 have been applied (that is, overrides for HEFEXCL and HEFREG). The table below maps overrides to a value.

Value	Derived field being overridden
1	HEFEXCL
2	HEFMODE
4	HEFREG
8	HEFCOMP
16	HEFTYPE
32	PRGB-PRGINSET
64	LENGTH
128	HEFLEVEL
256	FTEB-FTEINSET
512	HEFESFTE
1024	HEFFEELV
2048	HEFQAIM

HEIFES07 re-creation – 2008-09 WP allocation worksheets

10. The 2008-09 WP allocations are scaled to the assumed FTEs for 2008-09, and these assumed FTEs are derived from HEIFES07 and also include non-mainstream FTEs, equivalent

Widening participation

11. The derived fields that indicate inclusion in each of the widening participation populations (YNGPART, EDPOPM, EDPOPPT, EQPOP and DISPOP) have been modified to reflect the addition of two new UK-related country of domicile codes (ST_DOMIC (L24) = 907 and 984). Details of this change can be found in paragraphs 42, 43, 44, 46 and 35 respectively of Appendix 4.

12. Three new values of highest qualification on entry have been introduced to the ILR record for 2007-08: HQ_QUAL_ (H11) = 31 (foundation degree), 57 (NVQ/SVQ Level 2) and 72 (Diploma in Foundation Studies (Art and Design)). Consequently we have updated our algorithms for the flag indicating whether or not a student has previously studied for their qualification aim, or a higher qualification aim (HIGHQUAL) and the grouping of highest qualification on entry (ENTQUAL). Details of this change can be found in paragraphs 40 and 48 respectively of Appendix 4.

Annex B

Comparison of HEIFES07 and the HEIFES07 re-creation

Purpose

1. This annex details the process of making a response, where one is required, to the comparison of HEIFES07 and the HEIFES07 re-creation that has been generated from 2007-08 ILR F04 data. We will write to heads of colleges, copied to HEIFES contacts, before 1 June 2009 specifying whether their college's data meet our selection thresholds (and therefore whether they are required to respond to this exercise). Where discrepancies exceed any of the selection thresholds, we require a full response through an action and implementation plan that addresses all areas of discrepancy, including those causing the selection of the college. Guidelines for completing and submitting action and implementation plans are provided in Annex G.

HEIFES07 re-creation tables

2. The HEIFES07 re-creation tables and HEIFES07 tables can be accessed from the HEFCE extranet. Annex F describes how to access the Excel workbook (HEIFER07YYYYYY.xls – where YYYYYY denotes the LSC's UPIN). The workbook contains the following worksheets.

Page number	Worksheet (see tabs on spreadsheet)*	Title
1	Coversheet	Title page
2	Summary	Summary comparison of HEIFES07 and the HEIFES07 re-creation
3	PRGCMP	Summary comparison of price group activity between HEIFES07 and the HEIFES07 re-creation
4	Excl	Summary of students excluded from the HEIFES07 re-creation
5	FTS	HEIFES07 re-creation Table 1: Full-time years of programme of study
6	SWOUT	HEIFES07 re-creation Table 2: Sandwich year-out years of programme of study
7	PT	HEIFES07 re-creation Table 3: Part-time years of programme of study and load
8	FEE	HEIFES07 re-creation Table 4: Home and EC fees
9	HBK	HEIFES07 re-creation grant adjustments
10	STD	HEIFES07 re-creation recalculation of standard resource
11	F07	HEIFES07 re-creation recalculation of assumed fee income
12	WP	Re-calculated 2008-09 WP allocation based on FTEs from the HEIFES07 re-creation
13	hFTS	HEIFES07 Table 1: Full-time years of programme of study
14	hSWOUT	HEIFES07 Table 2: Sandwich year-out years of programme of study

Page number	Worksheet (see tabs on spreadsheet)*	Title
15	hPT	HEIFES07 Table 3: Part-time years of programme of study and load
16	hFEE	HEIFES07 Table 4: Home and EC fees
17	hHBK	HEIFES07 grant adjustments
18	hSTD	HEIFES07 calculation of standard resource
19	hF07	HEIFES07 calculation of assumed fee income
20	hWP	2008-09 WP allocation based on assumed FTEs from HEIFES07
21	Credibility	HEIFES07 credibility sheet
22	FTSDIFF	Difference between HEIFES07 Table 1 and HEIFES07 re-creation Table 1: Full-time years of programme of study
23	SWOUTDIFF	Difference between HEIFES07 Table 2 and HEIFES re-creation Table 2: Sandwich year-out years of programme of study
24	PTDIFF	Difference between HEIFES07 Table 3 and HEIFES07 re-creation Table 3: Part-time years of programme of study and load
25	FEEDIFF	Difference between HEIFES07 Table 4 and HEIFES07 re-creation Table 4: Home and EC fees

* This worksheet reference corresponds to the spreadsheet tabs.

3. All the information contained in the HEIFES07 re-creation tables can be re-built by categorising and aggregating the data contained in the individualised file that we provide. The file, HEIFER07YYYYYY.ind, contains details, in the form of 2007-08 ILR F04 and derived fields, of how each student was classified in the re-creation. A full description of the data in the individualised file is given in Appendix 1.

4. The 'DIFF' sheets (see items 22 to 25 on the above table) will indicate where differences in cell totals between the HEIFES07 re-creation and HEIFES07 exceed a given threshold. The size of this threshold can be altered by entering the required value where indicated on the worksheets. These sheets are provided to assist institutions in reconciling differences between HEIFES07 and the HEIFES07 re-creation.

Comparison

5. We derive a HEIFES07 re-creation, and hence an individualised file, by applying the algorithms detailed in Appendix 1 to 2007-08 ILR F04 data.

6. We compare the HEIFES07 re-creation to HEIFES07. This comparison takes place after the 2007-08 student data have been finalised with the LSC.

7. We re-calculate a grant adjustment report (HBK worksheet) for the HEIFES07 re-creation by applying the same formulae that were used to calculate the grant adjustment report for

8. We select colleges to explain discrepancies between their HEIFES07 and the HEIFES07 re-creation using a comparison of the grant adjustment reports derived from HEIFES07 and the HEIFES07 re-creation and also a comparison of the 2008-09 WP allocation based on FTEs from each return. Notwithstanding these thresholds we may also ask for further information from any college in respect of this comparison. This may result ultimately in adjustments to grant, where appropriate.

Selection of colleges required to respond

9. We will write to heads of colleges, copied to HEIFES contacts, before 1 June 2009 specifying whether their college's data meet our selection thresholds (and therefore whether they are required to respond to this exercise). We will require a full, timely and detailed response from colleges that are selected for the exercise.

Action required

10. Where we require a response, an action and implementation plan must be submitted via the HEFCE extranet by **26 June 2009**, detailing how the college will reconcile the two data sources. Guidance for completing and submitting an action and implementation plan is in Annex G.

Action and implementation plan

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

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

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

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

- errors in 2007-08 ILR data
- errors/estimation discrepancies in HEIFES07
- errors in the Learning Aim Database (LAD)
- problems of fit with the re-creation algorithms.

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

Errors in 2007-08 ILR data

15. The procedures for the quality assurance of 2007-08 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.
16. Where errors are found in 2007-08 ILR data, we require colleges to submit amendments to HEFCE. Colleges are expected to submit amendments well in advance of the deadline of **3 July 2009**.
17. We may refuse to accept amendments where errors have previously been identified by the LSC during collection.
18. Amendments must follow the specification described in Annex H. 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.
19. 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 understand better why the error has recurred and how similar problems can be avoided in future.
20. We may also carry out a further investigation where amendments contradict our understanding of the broad characteristics of activity at a college.
21. The LSC will not amend its version of the 2007-08 ILR F04 unless colleges re-submit their 2007-08 ILR F04 directly to the LSC. We expect any changes made during this exercise to also be included in the college's 2007-08 ILR F05 return (where timescales permit). The LSC provides the following guidance:

'Where a revised final return generates the same number of funding units as the original audited final return there is no automatic requirement for the external auditors to confirm they are content, although the college may wish to inform their auditors of the changes that have been made. Where the revised return generates a different number of funding units to the original audited final return then the Learning and Skills Council would expect the external auditors to confirm the revision has been made in accordance with audit guidelines.'

Errors/estimation discrepancies in HEIFES07 data

22. If we find, either through reconciliations with ILR data, or any data audit, that the HEIFES return does not reflect the outturn position for the year, and that this is due to errors/estimation discrepancies in the HEIFES return, the HEIFES07 re-creation will supersede HEIFES07, and any consequent grant adjustments will be made (subject to the appeals process and the availability of our funds). It will not be necessary for colleges to submit corrections to their HEIFES07.

Errors in the LAD

23. 2007-08 ILR F04 data have been linked to a copy of the LSC's LAD extracted on 5 January 2009 to obtain information about the learning aim. Where it is identified that information on the LAD is incorrect, each college must notify the LSC of the error, copied to its designated contact for the exercise at HEFCE, and request that the relevant entry be corrected.

24. Where it is identified that the student is incorrectly linked to a learning aim in the LAD then:
- if the correct learning aim exists, a link should be made to it
 - if the correct learning aim does not exist, a new one must be requested from the LSC.
25. Both cases will require an amendment to be made to the learning aim reference number on 2007-08 ILR F05 data (where timescales permit). Where a new learning aim is requested we will require evidence that the request has been made, and details of the new learning aim. Please see Annex H for details on providing amendment files to HEFCE.
26. Where changes to the LAD are requested, colleges should notify their designated contact for the exercise when the request is accepted by the LSC.

Problems of fit with the re-creation algorithms

27. We do not expect that problems of fit with the re-creation algorithms will fully explain discrepancies that exceed the selection thresholds. However, where a problem of fit between our algorithms and HEIFES07 definitions contributes to a discrepancy, evidence of where the problem occurs, and its impact, will be required on the action and implementation plan. Appendix 3 details all known problems of fit with the HEIFES07 re-creation.
28. Where problems of fit are identified we require colleges to submit an override file to HEFCE. Colleges are strongly encouraged to submit overrides prior to the deadline of **3 July 2009** in order to ensure that, if required, any additional overrides and amendments can be submitted within this time frame.
29. Overrides must follow the specification described in Annex I. This is essential to establish an audit trail of data changes, and to ensure that overrides are applied in a timely and accurate manner.

Further action

30. Amendments to 2007-08 ILR data and overrides made to primary derived fields will be used to reproduce the HEIFES07 re-creation. Once all overrides have been processed and the revised 2007-08 ILR data have been incorporated, we will review the HEIFES07 re-creation. If we are not content that all discrepancies between HEIFES07 and the HEIFES07 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 we are content that all discrepancies between HEIFES07 and the HEIFES07 re-creation have been reasonably explained, we will ask the college to confirm:
- that the HEIFES07 re-creation reasonably reflects the outturn position for 2007-08
 - the accuracy of the amendments to 2007-08 ILR data.

Guidance

HEFCE contact

32. Each college required to make a response to this exercise has been assigned a HEFCE contact. This contact will be able to provide guidance during the response process and should be the primary point of contact throughout the reconciliation process. We will provide information to colleges about their contact in a letter that we will send on 6 April 2009.

Action and implementation plan

33. Guidance for completing and submitting action and implementation plans is given in Annex G. A sample action and implementation plan can be found in Appendix 8 for illustrative purposes only.

Troubleshooting

34. Appendix 2 will assist with identifying the causes of discrepancies between HEIFES07 and the HEIFES07 re-creation.

Supplementary data

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

FAQs

36. FAQs for this exercise can be found on the HEFCE web-site under Questions/Data collection/2007-08 statistics derived from ILR data for monitoring and allocation of funding. 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

37. We use the SAS programming language to generate the HEIFES07 re-creation. The SAS code we use to do this is on the HEFCE web-site under Learning & teaching/Data collection.

Comments

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

Deadline for responses

39. Action and implementation plans must be uploaded to the HEFCE extranet no later than **26 June 2009**.

40. The final deadline for receipt of sign-off for amendments to 2007-08 ILR data and overrides to primary derived fields as detailed in the action and implementation plan is **10 July 2009**.

Annex C

Derived statistics that may inform the 2009-10 widening participation allocations

Purpose

1. This annex describes how we may use 2007-08 ILR F04 data to inform the WP allocations for 2009-10. Further details of the algorithms that we apply to these data are provided in Appendix 4.

Derived statistics outputs

2. Annex F describes how to access the derived statistics which may be used to inform the 2009-10 WP allocations in an Excel workbook (IHWP07YYYYYY.xls – where YYYYYY denotes the LSC's UPIN).

3. The WP derived statistics can, in most cases, be re-built from the individualised file which we provide (IHWP07YYYYYY.ind – see Annex F for details on how to obtain this file). The file contains details of how each student was categorised in the indicative WP allocations and, where relevant, details of why they did not contribute. A full description of the data in the individualised file is given in Appendix 4 along with instructions on how to re-build the figures in the WP derived statistics and indicative allocations spreadsheet.

Indicative funding calculations

4. We have generated an indicative 2009-10 funding calculation for each of the WP allocations. The calculations use 2009-10 allocation rates (as announced in March 2009) applied to 2009-10 FTEs in most cases. They may not incorporate transfers or mergers. During 2009 we may update the rates and FTEs used for the indicative WP allocations as more current information becomes available.

5. The indicative allocations for 2009-10 are provided solely to highlight potential errors in 2007-08 ILR data. They should not be considered to be any kind of funding commitment by HEFCE and are without prejudice to what our Board may agree to be the final allocations for any college. The final allocations for 2009-10 may be higher or lower than the illustrations given in this output as a result of changes to data by the college or to the data provided by any other institution, or to the total sum available for allocation, or as a result of any changes to the funding methods.

6. In August 2008 we published a consultation (HEFCE 2008/28: 'Future support for teaching enhancement and widening participation') on changes to the teaching funding method that would lead to a new targeted allocation to support teaching enhancement and student success (TESS). This targeted allocation has been introduced for 2009-10 onwards and has three elements: improving retention, institutional learning and teaching strategies and research informed teaching. While the methodology has not changed, for 2009-10 the improving retention element has been moved out of WP and into the TESS allocation. Further information on the TESS allocation can be found in paragraphs 45-46 of 'Recurrent grants for 2009-10' (HEFCE 2009/08).

7. WP funding allocations are informed by the data provided by colleges. If we find that data errors have resulted in colleges receiving incorrect funding allocations, then we will adjust their funding accordingly. In particular, where reconciliations with 2008-09 ILR F04 data (see

Widening access for students from disadvantaged backgrounds

8. 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 likely method of allocating funds is as follows.

9. Using postcode information from 2007-08 ILR F04 data, each student is mapped to a 2001 Census area statistic ward. These wards are themselves assigned to quintiles based on young participation rates (used for young full-time students) and quintiles based on the proportion of 16-74 year-olds with a higher education (HE) qualification (for mature full-time, and young and mature part-time, undergraduates). Each student is weighted according to the relevant quintile assignment of their ward:

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

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

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

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

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

14. Part-time and mature students who already hold a higher education qualification at the same level as, or higher than, their current qualification aim, or have unknown entry qualifications¹, are given a weighting of zero irrespective of their postcode.

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

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

16. The population is defined as full-time or part-time (as appropriate) HEFCE-funded UK-domiciled new entrants that generate a Column 4 countable year in the HEIFES07 re-creation.

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

- those with a postcode that has been identified in our young participation analysis as being associated with an unfeasible number of young entrants in relation to our population estimates. Typically this would be a postcode relating to a boarding school
- those whose postcode is marked as a non-geographic postcode in the NSPD
- those with a postcode that, although valid, is not mapped to the required Census 2001 geography in the NSPD
- those studying for an ELQ.

Additionally, students with entry qualifications of unknown level are partially excluded from the population defined above. The amount we remove for each student is the proportion of their activity which we treat as ELQ. For further details see the algorithm for ELQ_PROP in paragraph 31 of Appendix 4.

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

19. Both average weights derived from the calculation referred to in paragraph 15 of this annex are London weighted (8 per cent for inner London and 5 per cent for outer London) and applied to the appropriate undergraduate (including foundation degree) FTEs for 2009-10 (which may not incorporate all transfers or mergers).

¹ This may differ slightly from students who study for an ELQ, where a proportion of students with entry qualifications of unknown level are removed from the population – see paragraph 17 of this annex.

Improving retention

Full-time students

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

21. Using age and entry qualification information from 2007-08 ILR F04 data, full-time UK-domiciled undergraduate new entrants are assigned to one of six risk categories (see Table A for further information on how students are assigned to risk categories) which are then weighted as shown in the table below. Students are only part of the population if they generate a HEFCE-fundable Column 4 countable year in the HEIFES07 re-creation and are not studying for an ELQ. Additionally students with entry qualifications of unknown level are partially excluded from this population. The amount we remove for each student is the proportion of their activity which we treat as ELQ. For further details see the algorithm for ELQ_PROP in paragraph 31 of Appendix 4.

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

22. Mature students are those aged 21 or over on entry. The assignment of students to one of the six risk categories based on entry qualifications is shown in Table A.

Table A Assignment of students to risk categories

	Young	Mature
Low risk	A-levels/Highers with more than 18 A-level points or unknown* A-level points Baccalaureate Degree or higher Unknown qualifications†	A-levels/Highers with more than 24 A-level points or unknown* A-level points Degree or higher Unknown qualifications†
Medium risk	A-levels/Highers with between 9 and 18 A-level points Foundation course Other HE qualification (below degree level)	A-levels/Highers with fewer than 25 A-level points Other HE qualification (below degree level) Foundation course Access course
High risk	A-levels/Highers with fewer than 9 A-level points BTEC Access course Other qualifications No qualifications	BTEC Baccalaureate Other qualifications No qualifications

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

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

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

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

24. The improving retention average weight derived from the calculation in paragraph 23 of this annex is given a London weighting (8 per cent for inner London and 5 per cent for outer London) and applied to the appropriate full-time undergraduate (including foundation degree) FTEs for 2009-10 (which may not incorporate all transfers or mergers).

Part-time students

25. The part-time allocation is distributed pro rata to the appropriate London-weighted (8 per cent for inner London and 5 per cent for outer London) part-time undergraduate (including foundation degree) FTEs for 2009-10 (which may not incorporate all transfers or mergers).

Widening access and improving provision for disabled students

26. We also allocate funding for widening access and improving provision for disabled students. This allocation is likely to be calculated using 2007-08 ILR F04 data as follows.

27. Firstly, we calculate for each college the proportion of eligible home and EC students who were in receipt of the Disabled Students' Allowance (DSA). These proportions are then ranked and split into quartiles. Students are only part of the population if they generate a Column 4 countable year in the HEIFES07 re-creation.

28. Next, each college is assigned to one of the four quartiles, according to the proportion of students in receipt of the DSA as calculated in paragraph 27 of this annex, although this is smoothed to ensure that no college falls by more than one quartile from 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

29. Finally each college's share of the allocation is pro rata based on the appropriate FTE for 2009-10 (which may not incorporate all transfers or mergers), weighted according to the quartile in which it falls and a London weighting (8 per cent for inner London, 5 per cent for outer London), although the following minimum allocations apply.

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

Errors in 2007-08 ILR data

30. 2007-08 ILR F04 data should be quality assured before a college signs it off as correct. After this point, any amendments accepted to recalculate funding should be seen as exceptional, and not as part of quality assurance procedures.

31. If colleges wish to correct their 2007-08 ILR F04 data used to inform the provisional July 2009-10 WP allocations they should sign off amendments by **Friday 29 May 2009** to Christine

32. 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.
33. We will endeavour to incorporate any amendments to 2007-08 ILR data signed off after 29 May 2009 in the final 2009-10 WP allocations. However colleges should be aware that there is limited availability of funds after the provisional July WP allocation is announced.
34. We may carry out an investigation where amendments contradict our understanding of the broad characteristics of activity at a college.
35. Amendments to 2007-08 ILR F04 data will be incorporated in future HEFCE statistical publications and analyses.

Annex D

Comparison of the aggregate return to monitor CFEE07 and the CFEE07 re-creation

Purpose

1. This annex details the process of making a response, where one is required, to the comparison of 2007-08 co-funded employer engagement student numbers (CFEE07) and the CFEE07 re-creation that has been generated from 2007-08 ILR F04 data. We will write to heads of colleges, copied to CFEE contacts, before 1 June 2009 specifying whether their college's data meet our selection thresholds (and therefore whether they are required to respond to this exercise). Where discrepancies exceed any of the selection thresholds we require a full response through an action and implementation plan that addresses all areas of discrepancy, including those causing the selection of the college. Guidelines for completing and submitting action and implementation plans are provided in Annex G.

CFEE07 re-creation tables

2. The CFEE07 re-creation tables and CFEE07 tables can be accessed from the HEFCE extranet. Annex F describes how to access the Excel workbook (CFEE07YYYYYY.xls – where YYYYYY denotes the LSC's UPIN). The workbook contains the following worksheets:

Page number	Worksheet (see tabs on spreadsheet)*	Title
1	Coversheet	Title page
2	CFEE	CFEE07 re-creation table
3	hCFEE	CFEE07 table
4	CFEEDIFF	Difference between CFEE07 and re-created CFEE07

* This worksheet reference corresponds to the spreadsheet tabs.

3. All the information contained in the CFEE07 re-creation tables can be re-built by categorising and aggregating the data contained in the individualised file which we provide. The file (CFEE07YYYYYY.ind) contains details, in the form of ILR and derived fields, of how each student was classified in the re-creation. A full description of the data in the individualised file is given in Appendix 5.

4. The 'CFEEDIFF' sheet (see item 4 on the above table) will indicate where differences in cell totals between the CFEE07 re-creation and CFEE07 exceed a given threshold. The size of this threshold can be altered by entering the required value where indicated on the worksheet. This sheet is provided to assist institutions in reconciling differences between CFEE07 and CFEE07 re-creation.

Comparison

5. We derive a CFEE07 re-creation, and hence a CFEE07 individualised file, by applying the algorithms detailed in Appendix 5 to 2007-08 ILR F04 data.
6. We compare the CFEE07 re-creation to CFEE07. This comparison takes place after the 2007-08 ILR F04 data have been finalised with the LSC.
7. Where appropriate we re-calculate the 'Associated funding' for the CFEE07 re-creation by applying the same formulae that were used to calculate the associated funding for CFEE07.
8. We select colleges to explain discrepancies between their CFEE07 and the CFEE07 re-creation using a comparison of the associated funding calculations derived from each return. Notwithstanding these thresholds, we may also ask for further information from any college in respect of this comparison. This may result ultimately in adjustments to grant, where appropriate.

Selection of colleges required to respond

9. We will write to heads of colleges, copied to HEIFES contacts, before 1 June 2009 specifying whether their college's data meet our selection thresholds (and therefore whether they are required to respond to this exercise). We will require a full, timely and detailed response from colleges that are selected for the exercise.

Action required

10. Where we require a response, an action and implementation plan must be submitted via the HEFCE extranet by **26 June 2009**, detailing how the college will reconcile the two data sources. Guidance for completing and submitting an action and implementation plan is in Annex G.

Action and implementation plan

11. Each college required to make a response will be asked to provide an action and implementation plan. The plan must contain specific information before we can approve it and progress with the exercise. Please ensure you have understood the requirements in Annex G.
12. If colleges do not provide satisfactory explanations for discrepancies, or do not respond within the given timescales, we may carry out further investigations. This may include visits to colleges by us or our agents, in order to gain assurances concerning one or more of the following:
 - the reliability of data returns
 - the understanding of methods used and technology employed to compile data returns
 - the ability to respond in a full and timely manner to this exercise.
13. We expect the explanations that colleges provide for discrepancies between the two data sources to fall into one or more of the following three categories:
 - errors in 2007-08 ILR F04 data
 - errors in CFEE07
 - errors in the LAD
 - problems of fit with the CFEE07 re-creation algorithms.

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

Errors in ILR data

15. The procedures for the quality assurance of 2007-08 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.

16. Where errors are found in 2007-08 ILR data, we require colleges to submit amendments to HEFCE. Colleges are expected to submit amendments well in advance of the deadline of **3 July 2009**.

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

18. Amendments must follow the specification described in Annex H. 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.

19. 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 CFEE 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.

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

21. The LSC will not amend its version of the 2007-08 ILR F04 unless colleges re-submit their 2007-08 ILR F04 directly to the LSC. We expect any changes made during this exercise to also be included in the college's 2007-08 ILR F05 return (where timescales permit). 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 CFEE07 data

22. If we find, either through reconciliations with ILR data, or any data audit, that the CFEE07 submission does not reflect the final outturn position for the year, and this is due to errors in the CFEE07 return, then the CFEE07 re-creation will supersede CFEE07, and any consequent grant adjustments will be made. Therefore it will not be necessary for colleges to submit corrections to their CFEE07.

Errors in the LAD

23. 2007-08 ILR F04 data have been linked to a copy of the LSC's LAD extracted on 5 January 2009 to obtain information about the learning aim. Where it is identified that

24. Where it is identified that the student is incorrectly linked to a learning aim in the LAD then:
- if the correct learning aim exists, a link should be made to it
 - if the correct learning aim does not exist, a new one must be requested from the LSC.
25. Both cases will require an amendment to be made to the learning aim reference number on 2007-08 ILR F05 data (where timescales permit). Where a new learning aim is requested we will require evidence that the request has been made, and details of the new learning aim. Please see Annex H for details on providing amendment files to HEFCE.
26. Where changes to the LAD are requested, colleges should notify their designated contact for the exercise when the request is accepted by the LSC.

Problems of fit with the CFEE07 re-creation algorithms

27. We do not expect that problems of fit with the HEFCE algorithms will fully explain the discrepancies that exceed the selection thresholds. However, where a problem of fit between our algorithms and CFEE07 definitions contributes to a discrepancy, an explanation will be required of where the problem occurs, and its impact, through the action and implementation plan. Annex I details how to submit overrides to primary derived fields.
28. Where problems of fit are identified and recorded in a college's action plan, we require colleges to submit an override file to us. Colleges are strongly encouraged to submit overrides prior to the deadline of **3 July 2009** in order to ensure that, if required, any additional overrides and amendments can be submitted within this time frame.
29. Overrides must follow the specification described in Annex I. This is essential in order to establish an audit trail of data changes, and to ensure that overrides are applied in a timely and accurate manner.

Further action

30. Amendments to 2007-08 ILR data and overrides made to primary derived fields will be used to reproduce the CFEE07 re-creation. Once all overrides have been processed and the revised 2007-08 ILR data have been incorporated, we will review the CFEE07 re-creation. If we are not content that all discrepancies between CFEE07 and the CFEE07 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 we are content that all discrepancies between CFEE07 and the CFEE07 re-creation have been reasonably explained, we will ask the college to confirm:
- that the CFEE07 re-creation reasonably reflects the outturn position for 2007-08
 - the accuracy of the amendments to 2007-08 ILR data.

Guidance

HEFCE contact

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

Action and implementation plan

33. Guidance for completing and submitting action and implementation plans is given in Annex G. A sample action and implementation plan can be found in Appendix 8 for illustrative purposes only.

Troubleshooting

34. Appendix 6 will assist with identifying the causes of discrepancies between CFEE07 and the CFEE07 re-creation.

Supplementary data

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

FAQs

36. FAQs for this exercise can be found on the HEFCE web-site under Questions/Data collection/2007-08 statistics derived from ILR data for monitoring and allocation of funding. 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

37. We use the SAS programming language to generate the CFEE07 re-creation. The SAS code we use to do this is on the HEFCE web-site under Learning & teaching/Data collection.

Comments

38. All colleges are invited to comment on the algorithms described in Appendix 5, and to suggest how they can be improved. Comments should be e-mailed to ilr_heifes_feedback@hefce.ac.uk.

Deadline for responses

39. Action and implementation plans must be uploaded to the HEFCE extranet no later than **26 June 2009**.

40. The final deadline for receipt of sign-off for amendments to 2007-08 ILR data and overrides to primary derived fields as detailed in the action and implementation plan is **10 July 2009**.

Annex E

Information for leads of HEFCE-recognised funding consortia

Purpose

1. The purpose of this annex is to inform institutions that are leads of HEFCE-recognised funding consortia how we will use data from them and their member colleges for the monitoring and allocation of funding.
2. Under a HEFCE-recognised funding consortium, the lead institution is responsible for co-ordinating responses to any element of the exercise. In particular, we expect the lead institution to co-ordinate any response to the comparison of HEIFES07 and the HEIFES07 re-creation where a response is required.
3. Member colleges' 2007-08 July ILR F04 data will also be used to inform the 2009-10 WP allocations for the entire consortium, and as such the lead may wish to co-ordinate any necessary correction of member colleges' 2007-08 July ILR data in line with the deadlines set out in this document.

Data collection arrangements for HEFCE-recognised funding consortia

4. Under the arrangements for HEFCE-recognised funding consortia, each student is recognised as a student of the appropriate consortium member, rather than of the lead college. Therefore lead institutions of HEFCE-recognised funding consortia must submit data to the LSC only for students that are registered at their college. Likewise students that are registered at a member college will be returned on that college's 2007-08 ILR.
5. All member colleges' data for students funded under the consortium arrangement should have been returned by the lead college on its HEIFES07 return. Therefore, for the lead college of a HEFCE-recognised funding consortium, the HEIFES07 re-creation will incorporate its own 2007-08 ILR F04 data, along with 2007-08 ILR F04 data for each member college.

Outputs for HEFCE-recognised funding consortia

HEIFES07 and the HEIFES07 re-creation

6. We generate a HEIFES07 re-creation, which is described in Annex B. The information contained in the HEIFES07 re-creation will vary depending on whether the college is a lead or member college.
7. Lead institutions of HEFCE-recognised funding consortia will be able to access the following files:
 - LEAD07YYYYYY.xls – this is an Excel workbook containing the HEIFES07 re-creation tables for the lead college which is constructed from its 2007-08 ILR F04 data
 - HEIFER07YYYYYY.xls – this is an Excel workbook containing the HEIFES07 re-creation tables that are constructed from an amalgamation of the 2007-08 ILR F04 data submitted by both the lead and member colleges to the LSC. This workbook combines the data contained in LEAD07YYYYYY.xls with the 2007-08 ILR data from the member colleges (viewable in the HEIFERC07YYYYYY.xls tables)
 - HEIFERC07YYYYYY.xls – these are Excel workbooks containing the HEIFES07 re-creation tables for each of the member colleges

- HEIFER07YYYYYY.ind – this is the individualised file to supplement the HEIFES07 re-creation tables for the lead college (LEAD07YYYYYY.xls). All of the information contained in the HEIFES07 re-creation tables for the lead college can be re-built by categorising and aggregating the data contained in this file. It contains details, in the form of 2007-08 ILR fields and derived fields, of how each student was classified in the re-creation. A full description of the data contained in the individualised file is given in Appendix 1.

8. Member colleges of HEFCE-recognised funding consortia will be able to access the following files:

- HEIFERC07YYYYYY.xls – these are Excel workbooks containing the HEIFES07 re-creation tables for the member college
- HEIFER07YYYYYY.ind – this is the individualised file to supplement the HEIFES07 re-creation tables for the member college (HEIFERC07YYYYYY.xls). All of the information contained in the HEIFES07 re-creation tables for the member college can be re-built by categorising and aggregating the data contained in this file. It contains details, in the form of 2007-08 ILR fields and derived fields, of how each student was classified in the re-creation. A full description of the data contained in the individualised file is given in Appendix 1.

Derived statistics that may inform the 2009-10 widening participation allocations

9. We also generate indicative 2009-10 WP allocations which are described in Annex C. The information contained in the indicative widening participation allocations output will vary depending on whether the college is a lead or member college.

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

- IHWPLEAD07YYYYYY.xls – this is an Excel workbook containing the WP tables (WP07) for the lead college only
- IHWP07YYYYYY.xls – this is an Excel workbook containing the WP tables that combines the data from the lead college with all its consortium member colleges
- IHWPC07YYYYYY.xls – these are Excel workbooks containing the widening participation tables for each of the member colleges
- IHWP07YYYYYY.ind – this is the individualised file that supplements the indicative 2009-10 WP allocations for the lead college only (IHWPLEAD07YYYYYY.xls). All of the information contained in the WP07 tables can be re-built by categorising and aggregating the data contained in this file. It contains details, in the form of 2007-08 ILR and derived fields, of how each student was classified in the re-creation. A full description of the data contained in the individualised file is given in Appendix 4.

11. Member colleges of HEFCE-recognised funding consortia will be able to access the following files relating to the WP allocation:

- IHWPC07YYYYYY.xls – this is an Excel workbook containing the widening participation tables for the member college

- IHWP07YYYYYY.ind – this is the individualised file that supplements the indicative 2009-10 WP allocations for the member college (IHWPC07YYYYYY.xls). All of the information contained in the WP07 tables for the member college can be re-built by categorising and aggregating the data contained in this file. It contains details, in the form of 2007-08 ILR and derived fields, of how each student was classified in the re-creation. A full description of the data contained in the individualised file is given in Appendix 4.

Other outputs available to the lead institution

12. In addition to the HEIFES07 re-creation and member college HEIFES07 re-creation and WP07 outputs listed above, each lead institution will also have access to the other outputs relating to its own data listed in paragraph 10 of this annex.

Action plan and implementation plans

13. If the lead college of a HEFCE-recognised funding consortium has been formally requested to respond to the exercise, it will be required to submit a APHEIR07YYYYYY.xls action and implementation plan detailing action points for both its own institution and each of the consortium members.

14. If the lead college of a HEFCE-recognised funding consortium needs to make corrections to its ILR data, for example for the purposes of WP, it will be required to submit a APILR07YYYYYY.xls action and implementation plan detailing action points for both its own institution and each of the consortium members.

Access to outputs

15. Lead colleges will be given automatic access to all outputs except the separate HEIFES07 re-creation and WP individualised files for each of the member colleges. Each member college will receive access to its own HEIFES07 re-creation, and a separate HEIFES re-creation individualised file containing only the 2007-08 ILR F04 data that the college has submitted to the LSC. This arrangement will also apply to the WP outputs.

16. Where a member college gives us permission to grant the lead college access to its HEIFES07 re-creation or WP07 re-creation individualised files, we will write to the lead college to describe how it can access the individualised files via the HEFCE extranet.

Worksheets

17. The provisional HEIFES07 re-creation workbook for lead colleges, LEAD07YYYYYY.xls contains the following worksheets.

Table B Excel workbook LEAD07YYYYYY

Page number	Worksheet (see tabs on spreadsheet)	Title
1	Coversheet	Title page
2	FTS	HEIFES07 re-creation Table 1: Full-time years of programme of study
3	SWOUT	HEIFES07 re-creation Table 2: Sandwich year-out years of programme of study
4	PT	HEIFES07 re-creation Table 3: Part-time years of programme of study
5	FEE	HEIFES07 re-creation Table 4: Home and EC fees
6	CONS	HEIFES07 re-creation Table 6: HEFCE-recognised funding consortia 2007-08
7	Excl	HEIFES07 re-creation exclusion table for the member college
8	Credibility	Identifies areas for recognised HE qualification aims on 2007-08 ILR F04 where data are potentially inaccurate

18. The provisional HEIFES07 re-creation workbook for member colleges, HEIFERC07YYYYYY.xls, contains the following worksheets.

Table C Excel workbook HEIFERC07YYYYYY

Page number	Worksheet (see tabs on spreadsheet)	Description
1	Coversheet	Title page
2	FTS	HEIFES07 re-creation Table 1: Full-time years of programme of study for the member college
3	SWOUT	HEIFES07 re-creation Table 2: Sandwich year-out years of programme of study for the member college
4	PT	HEIFES07 re-creation Table 3: Part-time years of programme of study for the member college
5	FEE	HEIFES07 re-creation Table 4: Home and EC fees for the member college
6	Excl	HEIFES07 re-creation exclusion table for the member college
7	Credibility	Identifies areas for recognised HE qualification aims on 2007-08 ILR F04 where data are potentially inaccurate

Annex F

Obtaining data from the HEFCE extranet

1. Outputs from the derived statistics exercise should be accessed from the HEFCE extranet at <https://extranet.hedata.ac.uk>.
2. When we receive amendments to 2007-08 ILR data or overrides due to problems of fit with our algorithms, the version of the derived statistics outputs held on our extranet will be overwritten once these amendments/overrides have been incorporated. Therefore, if colleges wish to retain intermediate versions of the outputs, they will need to make copies on their own systems. Each time we make an update the date will be printed on the outputs along with a 'run number' that will increase by one for each new version.

Registering a new account

3. New users of the HEFCE extranet will first need to register an e-mail address and extranet password. This can be done by clicking the 'Register' link on the 'HE data – Login' page. In order to register, you will require an 'organisation key' and a 'group key', details of which are in the letter sent to your head of college and HEIFES contact by Ewa Wawrzynska on 6 April 2009.
4. Once registered, you should be able to log in by entering the e-mail address you used during registration and the password that you created.

Existing users of the extranet

5. If you have used the HEFCE extranet for other HEFCE returns, you will be required to log in and join the group for '2007-08 Statistics derived from ILR data'. Follow the log-in procedure by entering your e-mail address and password. You will be directed to a page called 'All resources'; under 'Applications' click 'Join a group'. Enter the group key supplied in Annex A of the letter entitled '2007-08 statistics derived from ILR data' (sent to your head of college and HEIFES contact by Ewa Wawrzynska on 6 April 2009) and select 'Join group'.
6. If you have registered in the past but your account has expired, you will be required to refresh your account using the organisation key referred to in paragraph 3 of this annex.

Athens Single Sign On Account

7. You can also log in to the HEFCE extranet using the Athens Single Sign On (SSO) account (if this is available at your college):
 - a. Follow the 'Log in via Athens SSO' link on the log-in page.
 - b. Log in to Athens as normal (if you have not already done so).
 - c. When Athens has authenticated you, your browser will be directed to the 'All resources page' where colleges will have access to their output files.
 - d. You will be required to join the group for '2007-08 statistics derived from ILR data'. Under 'Applications' click 'Join a group'. Enter the group key supplied in Annex A of the letter titled '2007-08 statistics derived from ILR data' (sent to your head of college and HEIFES contact on 6 April 2009) and select 'Join group'.

Accessing the output files

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

9. Click 'HEFCE Resources' under the 'Folders' heading to be directed to the 'HEFCE resources' page. Next click 'Statistics derived from ILR data' to be directed to the '2007-08 Statistics derived from ILR data' page. If this link is not visible, it is possible that you do not have the appropriate access. To obtain this, you will need the appropriate group key (see paragraph 3 of this annex). Click on the '2007-08 Statistics derived from ILR data' link to start the download of a zipped archive containing the following output files (where YYYYYY is the provider number ST_UPIN (L01)):

- HEIFER07YYYYYY.ind – this is a comma-separated file containing the derived fields that generate the HEIFES07 re-creation. For leads of HEFCE-recognised funding consortia this file does not include data for the member colleges
- HEIFER07YYYYYY.xls – this is an Excel workbook containing the HEIFES07 re-creation tables. For leads of HEFCE-recognised funding consortia this includes the combined 2007-08 ILR data for the lead institution and 2007-08 ILR data for the member colleges (HEIFERC07YYYYYY.xls for members of consortia)
- IHWP07YYYYYY.ind – this is a comma-separated file containing the derived fields that generate the derived statistics that may inform the 2009-10 WP funding allocations. For leads of HEFCE-recognised funding consortia this file does not include data for the member colleges
- IHWP07YYYYYY.xls – this is an Excel workbook containing the derived statistics that may inform the 2009-10 WP allocation. For leads of HEFCE-recognised funding consortia this includes the combined 2007-08 ILR data for the lead and 2007-08 ILR data for the member colleges (IHWPC07YYYYYY.xls for members of consortia)
- CFEE07YYYYYY.ind - CFEE07 re-creation individualised student data file
- CFEE07YYYYYY.xls – CFEE07 re-creation tables.

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

- LEAD07YYYYYY.xls – this is an Excel workbook containing the HEIFES07 re-creation tables for the lead institution (includes 2007-08 ILR student data for the lead college only)
- HEIFERC07YYYYYY.xls – these are Excel workbooks containing the HEIFES07 re-creation tables for each of the member colleges (YYYYYY denotes the UPIN provider number for the college)
- IHWPLEAD07YYYYYY.xls – this is an Excel workbook containing the WP allocation tables for the lead institution
- IHWPC07YYYYYY.xls – these are Excel workbooks containing the WP allocation tables for each of the member colleges of a HEFCE-recognised funding consortium.

11. The following additional action plan templates are available from the HEFCE extranet on the '2007-08 Statistics derived from ILR data' page. To access these outputs follow the

- APHEIR07YYYYYY.xls – this is an Excel workbook containing the HEIFES07 re-creation action plan template. This workbook is only available where a college has been formally requested to respond to this element of the exercise
- APILR07YYYYYY.xls – this is an Excel workbook containing the general 2007-08 ILR amendments action plan template. This workbook is available for all colleges.

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

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

Annex G

Guidance for completing and submitting action and implementation plans

Purpose

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

Approval

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

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

4. Colleges that wish to make amendments to their 2007-08 ILR data (for example, to correct data that may be used to inform the 2009-10 WP allocations) are also required to submit an action plan before we will accept their amendments. Guidance for completing action plans for colleges that wish to make amendments to their 2007-08 ILR data is given in paragraphs 57 to 64 of this annex.

General requirements of action and implementation plans

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

6. Where a college wishes to amend its 2007-08 ILR data we will use the action plan to gain an understanding of the reasons why amendments are being made and to which 2007-08 ILR fields, so that the impact of incorporating them can be checked. In addition, the action plan provides us with dates when we can expect the college to submit the data. Similarly, implementation plans provide us with assurance that systems or processes will be put in place to reduce the likelihood of similar errors recurring in future returns.

Action and implementation plan templates

7. Colleges selected to respond to the comparison of HEIFES07 and the HEIFES07 re-creation are required to complete the template APHEIR07YYYYYY.xls. This is an Excel workbook containing the HEIFES07 re-creation action plan template. This workbook is only available where a college has been formally requested to respond to this element of the exercise. YYYYYY is the LSC's UPIN for the college.

8. Colleges that wish to make amendments to their 2007-08 ILR data (for example, to correct data that may be used to inform the 2009-10 WP allocations) are required to complete the template APILR07YYYYYY.xls. This is an Excel workbook containing the general 2007-08 ILR amendments action plan template. This workbook is available to all colleges regardless of whether they have been selected to respond to any part of this exercise. YYYYYY is the LSC's UPIN for the college.

9. Details on how to access action and implementation plan templates for your college are in paragraph 11 of Annex F.

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

Detailed requirements for action and implementation plans

11. Below are detailed instructions about the information that we require in each column of the action and implementation plan(s). Action and implementation plans should be downloaded from the HEFCE extranet. Example action and implementation plans are given in Appendix 8 for illustrative purposes only.

HEIFES07 re-creation action and implementation plan template

12. The information that we require in the HEIFES07 re-creation action plan template, APHEIR07YYYYYY.xls is outlined below.

Column 1

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

Column 2

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

15. The troubleshooting guide contained in Appendix 2 for the HEIFES07 re-creation will allow colleges to identify specific areas of difference between the re-creation and the original return. We expect colleges to exercise their own judgement to decide when small differences between the two data sources do not warrant inclusion within the action plan. However, colleges need to be aware that small differences may accumulate and, should their combined total become large, this will reduce our confidence in the college's ability to identify areas of discrepancy between the two data sources.

Column 3

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

- errors in 2007-08 ILR data
- errors/estimation discrepancies in HEIFES07
- errors in the Learning Aim Database (LAD)

- problems of fit with the re-creation algorithms.

Paragraphs 15 to 29 of Annex B give further descriptions of these broad cause types for the HEIFES07 re-creation.

17. The only information that should be entered into Column 3 is the words 'ILR' (for errors in 2007-08 ILR data), 'HEIFES' (for errors/estimation discrepancies in HEIFES07), 'LAD' (for errors in the LAD) or 'HEFCE' (for problems of fit with the re-creation algorithms).

Column 4

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

19. Where Column 3 is returned as 'ILR', 'HEIFES' or 'LAD' we require a brief explanation for the cause of the error. For example, 'the script in our student record system for generating H17 on the 2007-08 ILR return incorrectly assigned all part-time foundation degree students with a load of 100.0'.

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

Column 5

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

Column 6

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

Column 7

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

Column 8

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

Column 9

25. If the cause of difference identified in Column 3 is 'ILR', the date by which amended data will be submitted to HEFCE must be returned in Column 8. Guidance on how to submit amendments to ILR data is at Annex H. Amended data must be submitted no later than **3 July 2009**.

Column 10

26. If the cause of difference identified in Column 3 is 'LAD' or 'HEFCE' then a full list of the derived fields that require overrides must be identified by the college and listed, for example 'HEFCOMP'. For further information on which derived fields are affected by problems of fit with re-creation algorithms see Appendix 3 for the HEIFES07 re-creation. For all other causes of difference given in Column 3, this column should remain blank.

Column 11

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

Column 12

28. If the cause of difference identified in Column 3 is 'HEFCE', the date by which override files will be submitted to HEFCE must be returned in Column 12. Guidance on how to submit overrides is given in Annex I. For all other causes of difference given in Column 3, this column should remain blank. Override files should be submitted no later than **3 July 2009**.

Column 13

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

30. For the HEIFES07 re-creation, estimates of funds due back and funds to be held back can be made by multiplying the FTE for the area of discrepancy by the rate per FTE (this rate is given in the HBK worksheet of the HEIFES07 re-creation workbook).

31. For the HEIFES07 re-creation, estimates of the effect on contract range holdback, in its simplest form, could be approximated as:

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

32. For example, for a college positioned outside the contract range in the HEIFES07 re-creation, if the area of difference was full-time and sandwich, undergraduates in price group C with regulated full fee for the course, and the difference between HEIFES07 and the HEIFES07 re-creation is 10 FTEs, the difference in contract range holdback could be approximated by $10 \times ((£3,833 \times 1.3) - 1,225) = £37,579$. You may wish to include other premiums to increase the accuracy of the estimate.

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

Column 14

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

Column 15

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

CFEE07 re-creation action and implementation plan template

36. The information that we require in the CFEE07 re-creation action plan template, APCFEE07YYYYYY.xls is outlined below.

Column 1

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

Column 2

38. This column should contain a list of all areas of difference between the re-creation and the original return. Areas should be broken down to a level that is meaningful for the comparison, for example 'Price group C, long, PGT PT (FTE)'.

39. The troubleshooting guide contained in Appendix 6 for the CFEE07 re-creation will allow colleges to identify specific areas of difference between the re-creation and the original return. We expect colleges to exercise their own judgement to decide when small differences between the two data sources do not warrant inclusion within the action plan. However, colleges need to be aware that small differences may accumulate and should their combined total become large, this will reduce our confidence in the college's ability to identify areas of discrepancy between the two data sources.

Column 3

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

- errors in 2007-08 ILR data
- errors/estimation discrepancies in CFEE07
- errors in the Learning Aim Database (LAD)
- problems of fit with the CFEE07 re-creation algorithms.

Paragraphs 15 to 29 of Annex D give further descriptions of these broad cause types for the CFEE07 re-creation.

41. The only information that should be entered into Column 3 is the words 'ILR' (for errors in 2007-08 ILR data), 'CFEE' (for errors in CFEE07), 'LAD' (for errors in the LAD) or 'HEFCE' (for problems of fit with the re-creation algorithms).

Column 4

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

43. Where Column 3 is returned as 'ILR', 'CFEE' or 'LAD' we require a brief explanation for the cause of the error. For example, 'the script in our student record system for generating H17 on the 2007-08 ILR return incorrectly assigned all part-time foundation degree students with a load of 100.0'.

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

Column 5

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

Column 6

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

Column 7

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

Column 8

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

Column 9

49. If the cause of difference identified in Column 3 is 'ILR', the date by which amended data will be submitted to HEFCE must be returned in Column 8. Guidance on how to submit amendments to ILR data is at Annex H. Amended data must be submitted no later than **3 July 2009**.

Column 10

50. If the cause of difference identified in Column 3 is 'LAD' or 'HEFCE' then a full list of the derived fields that require overrides must be identified by the college and listed, for example 'HEFCOMP'. For further information on which derived fields are affected by problems of fit with re-creation algorithms see Appendix 7 for the CFEE07 re-creation. For all other causes of difference given in Column 3, this column should remain blank.

Column 11

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

Column 12

52. If the cause of difference identified in Column 3 is 'HEFCE', the date by which override files will be submitted to HEFCE must be returned in Column 12. Guidance on how to submit

Column 13

53. We require an estimate of the effect of differences in terms of their contribution to the total discrepancy. This contribution should be measured in terms of student numbers; FTE; and, where appropriate, associated funding.

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

Column 14

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

Column 15

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

Colleges that wish to make amendments to their 2007-08 ILR data

57. The information that we require in the action plan template, APILR07YYYYYY.xls, for colleges that wish to make amendments to their 2007-08 ILR data (for example to correct data that may be used to inform the 2009-10 WP allocations), is outlined below.

Column 1

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

Column 2

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

Column 3

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

Column 4

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

Column 5

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

Column 6

63. The number of records to be changed should be included, for example, 30.

Column 7

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

Submitting action and implementation plans

65. Click 'HEFCE Resources' under the 'Folders' heading to be directed to the 'HEFCE resources' page. Next, click '2007-08 Statistics derived from ILR data' to be directed to the '2007-08 Statistics derived from ILR data' page. If this link is not visible, it is possible that you do not have the appropriate access. To obtain this, you will need the appropriate group key (see paragraph 3 of Annex F for further details). Click the appropriate link to the action plan, for example, the 'APILR07 data collection' link. Next, click the 'Upload' button, browse to the location where the action and implementation plan is saved and click 'Upload'. A message will appear informing you whether the action plan has uploaded successfully or has failed validation. Please note that the 'results' link is not accessible.

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

67. For reference, sample action and implementation plans can be found in Appendix 8, a separate Excel file published with this document at www.hefce.ac.uk under Publications.

Annex H

Submitting amendments to 2007-08 ILR data

Purpose

1. This annex details the data structure and format for amendments to 2007-08 ILR data. Colleges must supply 2007-08 ILR 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 2007-08 ILR return
 - addition file – adds records omitted from the 2007-08 ILR F04 return
 - deletion file – deletes records incorrectly included on the 2007-08 ILR return.
3. Examples of these three types of amendment file can be found at the end of this annex (see Figures 1 to 3), as well as a summary of the information we require for each type of amendment file (see Table D).
4. These specifications are necessary to ensure we can process amendments to 2007-08 ILR 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 2007-08 ILR data must be sent as a comma-separated file via the HEFCE extranet. To submit via the extranet go to the 'HEFCE resources' page, click on '2007-08 statistics derived from ILR data', then on 'ILRAM07 data collection'. From here click on the 'Upload' button and then, on the subsequent page, click on the 'Browse' button to find the file you wish to submit. Once you have selected this file and the path name has appeared in the entry field, click on 'Upload File' to complete the upload. Details of how to log on to the extranet are given in Annex F.

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 later in this annex: paragraphs 7 to 11, 12 to 20 and 21 to 24 respectively. Each amendment file must contain records for only one 2007-08 ILR 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 2007-08 ILR data. Typically change files correct a small number of fields which contain incorrect values.
8. Change files must be given a file name in the form `chgYYYYYYDNN.amd`, where:
 - YYYYYY is the provider number ST_UPIN (L01) for your college
 - D is the identifier of the 2007-08 ILR data set being changed

- NN is a sequential number starting at 01. For instance, a first set of amendments in a change file must be submitted in the form chgYYYYYYD01.amd, and a second set of different amendments must be submitted in the form chgYYYYYYD02.amd.

D must take one of the following values:

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

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

10. Only 2007-08 ILR fields can be included in amendment files. Where changes to derived fields are required, the underlying 2007-08 ILR 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 chgYYYYYYDNN as explained in paragraph 8 of this annex; this will be the same as the filename with the .amd file extension removed.

line 2 – creation date of the amendment file in the form ddmmyyyy. For example 31032009 for a file created on 31 March 2009.

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 2007-08 ILR fields H14 and H15 – reference number 1'.

line 4 – this line must contain the word CHANGE.

line 5 – the 2007-08 ILR fields used to uniquely identify records on the amendment file, comma-separated. For example H01, H03, H05, H09.

line 6 – the 2007-08 ILR 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 2007-08 ILR field used to calculate the file check sum (see paragraph 31 of this annex 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 – 2007-08 ILR 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, H05, H09, H14, H15. These will include the unique fields (line 5), fields being changed (line 6), and the file check sum field (line 8).

line 13 – amendment data must begin on this line.

Addition file

12. This amendment type allows full records that were omitted from the 2007-08 ILR return to be added to our copy of the data. Each addition file must only contain additional records for one

13. Addition files must be given a file name in the form addYYYYYYDTNN.amd, where:
- YYYYYY is the provider number ST_UPIN (L01)
 - D is the identifier of the 2007-08 ILR data set being added to
 - T is the type of addition
 - NN is a sequential number starting at 01. For instance, a first set of amendments in an addition file must be submitted in the form addYYYYYYDT01.amd, and a second set of different amendments must be submitted in the form addYYYYYYDT02.amd.

D must take one of the following values:

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

T must take one of the following values:

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

Adding student records

14. If the student was entirely missed from the 2007-08 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, we would expect three files to be submitted as follows:

- addYYYYYYL301.amd containing the data for the 2007-08 ILR learner data set for all four students
- addYYYYYYA301.amd containing all data for the learning aim data set for the five learning aims
- addYYYYYYH301.amd containing all data for the HE data set for the five learning aims.

Adding learning aims to existing student records

16. If a learning aim for a learner was entirely missed from the 2007-08 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, we would expect two files to be submitted as follows:

- addYYYYYYA202.amd containing all data for the learning aim data set for the three learning aims
- addYYYYYYH202.amd containing all data for the HE data set for the two learning aims which are HE.

Adding HE data to existing qualification aim records

18. If HE data for existing learning aims were entirely missed from the 2007-08 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, we would expect one file to be submitted as follows:

- addYYYYYYH103.amd containing all data for the HE data set 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 addYYYYYYDTNN as explained in paragraph 13 of this annex; this will be the same as the filename with the .amd file extension removed.

line 2 – creation date of the amendment file in the form ddmmyyyy. For example 31032009 for a file created on 31 March 2009.

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 Higher National Certificates (HNCs) omitted from original 2007-08 ILR 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 2007-08 ILR field used to calculate the file check sum (see paragraph 31 of this annex 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 2007-08 ILR 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 2007-08 ILR to be removed from our copy of the data.

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

- YYYYYYY is the provider number (L01)
- D is the identifier of the 2007-08 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 delYYYYYYD01.amd, and a second set of different amendments must be submitted in the form delYYYYYYD02.amd.

D must take one of the following values:

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

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

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

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

line 2 – creation date of the amendment file in the form ddmmyyyy. For example 31032009 for a file created on 31 March 2009.

line 3 – brief description of the deletion, 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 2007-08 ILR – reference number 3'.

line 4 – this line must contain the word DELETE.

line 5 – 2007-08 ILR 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 2007-08 ILR field used to calculate the file check sum (see paragraph 31 of this annex 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 – 2007-08 ILR 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. These will include

the unique fields (line 5) and the file check sum field (line 8); 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 2007-08 ILR 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 2007-08 ILR 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 five fields to uniquely identify 2007-08 ILR learner data set records:

- L01
- L02
- L03
- L42a, L42b.

27. We recommend colleges use the following five fields to uniquely identify 2007-08 ILR learning aim data set records:

- A01
- A03
- A05
- A48a, A48b.

28. We recommend colleges use the following four fields to uniquely identify 2007-08 ILR HE data set records:

- H01
- H03
- H05
- 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

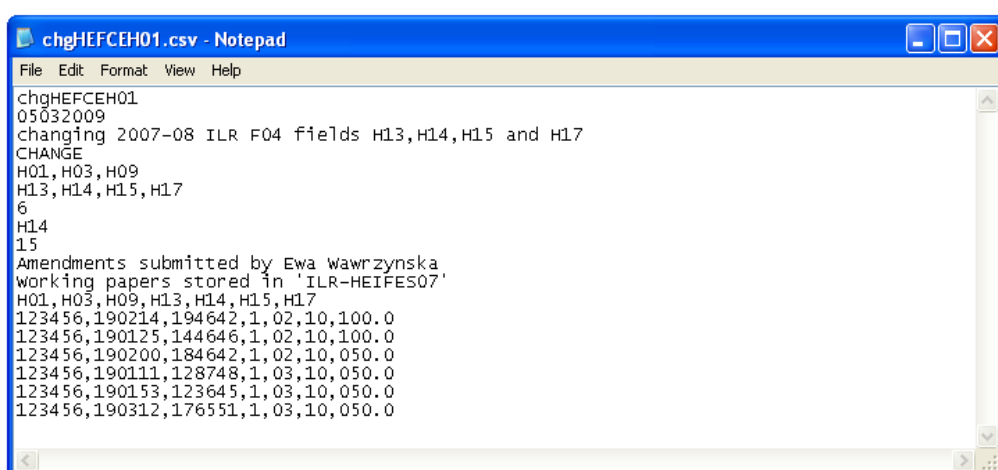
31. To ensure amendment files have not been corrupted during transit, we will check that the sum of values in a field is equal to the same calculation made by the college before submission. The field used must be returned in line 8. The sum of values in this field must be returned in

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.

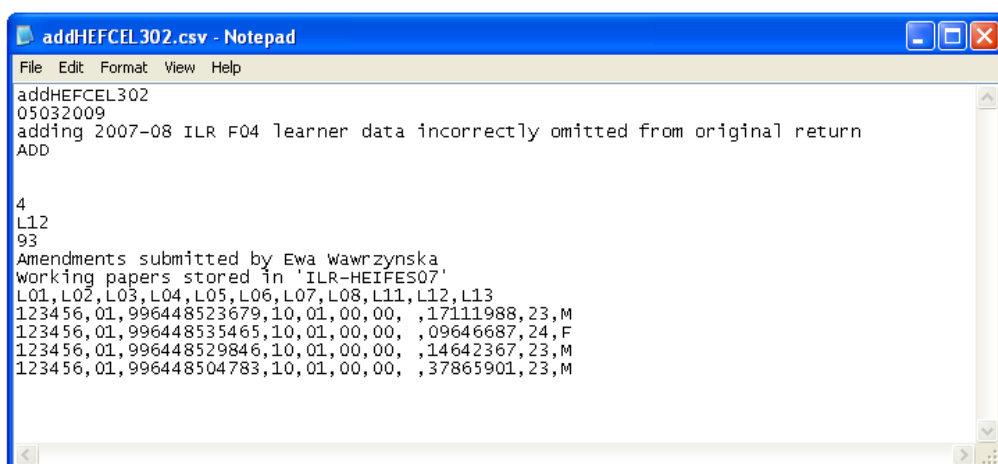
Examples of amendment files

Figure 1 An HE data set change file



```
chgHEFCEH01
05032009
changing 2007-08 ILR F04 fields H13,H14,H15 and H17
CHANGE
H01,H03,H09
H13,H14,H15,H17
6
H14
15
Amendments submitted by Ewa Wawrzynska
working papers stored in 'ILR-HEIFES07'
H01,H03,H09,H13,H14,H15,H17
123456,190214,194642,1,02,10,100.0
123456,190125,144646,1,02,10,100.0
123456,190200,184642,1,02,10,050.0
123456,190111,128748,1,03,10,050.0
123456,190153,123645,1,03,10,050.0
123456,190312,176551,1,03,10,050.0
```

Figure 2a A learner data set addition file



```
addHEFCEL302
05032009
adding 2007-08 ILR F04 learner data incorrectly omitted from original return
ADD

4
L12
93
Amendments submitted by Ewa Wawrzynska
working papers stored in 'ILR-HEIFES07'
L01,L02,L03,L04,L05,L06,L07,L08,L11,L12,L13
123456,01,996448523679,10,01,00,00, ,17111988,23,M
123456,01,996448535465,10,01,00,00, ,09646687,24,F
123456,01,996448529846,10,01,00,00, ,14642367,23,M
123456,01,996448504783,10,01,00,00, ,37865901,23,M
```

Figure 2b A learning aim data set addition file

```

addHEFCEA302.csv - Notepad
File Edit Format View Help
addHEFCEA302
05032009
adding 2007-08 ILR F04 learning aim data incorrectly omitted from original return
ADD

4
A17
4
Amendments submitted by Ewa wawrzynska,
working papers stored in 'ILR-HEIFES07'
A01,A02,A03,A04,A05,A06,A07,A08,A09,A10,A11a,A11b,A12a,A12b,A13,A14,A15,A16,A17,A18,A1
123456,01,996448523679,30,01,00,01,1,00243793,99,001,999,000,000,00750,99,99,00,1,01,9
123456,01,996448535465,30,01,00,01,1,00243793,99,001,999,000,000,00750,99,99,00,1,01,9
123456,01,996448529846,30,01,00,01,1,00243793,99,001,013,000,000,00750,99,99,00,1,01,9
123456,01,996448504783,30,01,00,01,1,00243793,99,001,999,000,000,00750,99,99,00,1,01,9

```

Figure 2c An HE data set addition file

```

addHEFCEH302.csv - Notepad
File Edit Format View Help
addHEFCEH302
05032009
adding 2007-08 ILR F04 HE data incorrectly omitted from original return
ADD

4
H13
4
Amendments submitted by Ewa wawrzynska,
working papers stored in 'ILR-HEIFES07'
H01,H02,H03,H04,H05,H06,H07,H08,H09,H10,H11,H12,H13,H14,H15,H16,H17,H18,H19,H20,H21,H2
123456,01,996448523679,40,01,00,01,00243793,146523,2826,24,1,1,01,10,1,100.0,01,01,01,
123456,01,996448535465,40,01,00,01,00243793,146558,2826,99,1,1,01,10,1,100.0,01,01,01,
123456,01,996448529846,40,01,00,01,00243793,146581,2826,40,1,1,01,10,2,100.0,01,01,01,
123456,01,996448504783,40,01,00,01,00243793,146621,2826,40,1,1,01,10,1,100.0,01,01,01,

```

Figure 3 An HE data set deletion file

```

delHEFCEH03.csv - Notepad
File Edit Format View Help
DELHEFCEH03
05032009
deleting 2007-08 ILR F04 HE data incorrectly included in original return
DELETE
H01,H03,H09

3
H14
6
Amendments submitted by Ewa wawrzynska,
working papers stored in 'ILR-HEIFES07'
H01,H03,H09,H14
123456,190018,146523,01
123456,190019,146957,02
123456,190020,146222,03

```


Table D Summary of header information for amendment files

Line	Change	Addition	Deletion
1	Amendment reference. For example 'chgYYYYYYA01'	Amendment reference. For example 'addYYYYYYH101'	Amendment reference. For example 'deYYYYYYL01'
2	File creation date. For example 05032009	File creation date. For example 05032009	File creation date. For example 05032009
3	Brief description. For example 'Changing 2007-08 ILR learning aim data set fields A11 and A27'	Brief description. For example 'Adding 2007- 08 ILR HE data set records incorrectly omitted from original return'	Brief description. For example 'Deleting 2007-08 ILR 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	2007-08 ILR field for check sum. Must be numeric	2007-08 ILR field for check sum. Must be numeric	2007-08 ILR 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 2007-08 ILR fields in the same order as the data	List of 2007-08 ILR fields in the same order as the data	List of 2007-08 ILR 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 I

Submitting overrides to primary derived fields

Background

1. We will only apply an override where the data submitted on the ILR return are correct but there is a problem of fit with the HEFCE algorithms. In these instances it is the derived fields that generate the re-creations which require amendment rather than the underlying ILR data.
2. Problems of fit occur where the derived field that we generate is based upon an assumption which may not necessarily fit with the college's actual position. All known problems of fit with the HEIFES07 re-creation and CFEE07 re-creation algorithms are described in Appendices 3 and 7 respectively.
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 described in paragraphs 10 to 13 of this annex. These specifications are necessary to ensure we can process overrides to derived fields in a timely and accurate manner. We will require colleges to re-submit override files that differ, either in structure or format, from the specifications detailed in this annex. An example of a typical override file can be found in Figure 4 towards the end of this annex.
6. Where problems of fit with our algorithms result in errors to derived fields we only allow certain derived fields to be modified by the override file. These fields, which we refer to as 'primary derived fields', are those which are directly used to generate the HEIFES07 re-creation and CFEE07 re-creation tables. For example, the value of HEFEXCL determines whether a record is included in the HEIFES population and is a primary derived field. In contrast, the fields EXCL1-EXCL64 (which are used to derive HEFEXCL) are not directly used to generate the re-creation tables; these are secondary derived fields. A list of primary derived fields is given in Table E.
7. Since overrides can only alter primary derived fields, a record's secondary derived fields may be inconsistent with the primary derived fields. Considering the example above, if the value of HEFEXCL is altered by an override file, its value will be inconsistent with the values of EXCL1-EXCL64.
8. We also require that certain primary derived fields are returned as a group, in order to maintain data integrity. If any field in the group is changed, we require that all members of that group are returned, even if the values of certain fields in the group remain unchanged. Details of the fields which must be returned in a group are given in Table E below. For example, if an override to correct price groups or FTEs is being submitted, we require that the file contains FTEB-D, FTEMEDIA, FTEITT and FTEINSET, even if the values of some of these fields remain unchanged.

9. Where the cause of an error in a derived field is erroneous ILR data, override files should not be submitted to correct the error – instead the ILR data should be corrected.

Table E **Primary derived fields**

Field name/group	Description	Column in individualised file*
HEFCOMP	HEIFES completion of year of programme of study indicator	X
HEFEXCL	Reason for exclusion from the HEIFES population	M
HEFFEELV	Fee level	AJ
HEFLEVEL	Level of study	X
HEFMODE	Mode of study	U
HEFREG	Column 1 or 2 indicator	V
HEFTYPE	Fundability status	Y
LENGTH	Flag indicating whether long or standard length years of programme of study	AA
FTEB, FTEC, FTED, FTEMEDIA, FTEITT, FTEINSET	Proportion of FTE in each price group. These fields must be returned as a group	CD-CI

* The HEIFES07 re-creation individualised file, HEIFER07YYYYYY.ind.

Format of override files

10. Overrides to 2007-08 ILR data must be sent as a comma-separated file via the HEFCE extranet. To submit via the extranet go to the 'HEFCE resources' page and, after logging in at <https://extranet.hedata.ac.uk>, click on '2007-08 statistics derived from ILR data', then on 'ILROVR07 data collection'. From here click on the 'Upload' button and then, on the subsequent page, click on the 'Browse' button to find the file you wish to submit. Once you have selected this file and the pathname has appeared in the entry field, click on 'Upload File' to complete the upload. Details of how to log on to the extranet are given in Annex F.

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

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

For example, the first override file submitted by institution 999999 would be called ovr9999991.amd. The second file submitted would be called ovr9999992.amd.

The override header

12. The override header should be in the following form:

line 1 – contains the filename (as described in paragraph 11 of this annex), with the .amd extension removed.

line 2 – the date on which the override was submitted, in the form ddmmyyyy. For example 1 July 2009 would be represented as 01072009.

line 3 – a brief description of the purpose of the override.

line 4 – contains the word 'OVERRIDE'.

line 5 – the field(s) used to indicate records which should be corrected by the override, comma-separated. These should be named according to Table F of Appendix 1. For example, QA_AIM_R (A09) could be used to correct a primary derived field for all students on a specific learning aim.

line 6 – the names of the LAD fields or primary derived fields being changed, comma-separated. The fields which may be changed are listed in Table F of Appendix 1.

line 7 – the number of rows of data (excluding headers) in the override file.

line 8 – the field used to compute the file's check sum (see paragraph 13 of this annex).

line 9 – the value of the check sum. Paragraph 13 of this annex explains how to choose a suitable field as check sum and explains how to compute its value.

lines 10-11 – these lines may be used for any notes that the college wishes to include.

line 12 – fields included in the override file. The fields should be specified in the same order as in the data part of the file and must be comma-separated.

line 13 – the data must begin on this line. Details regarding its format are given in paragraph 15 of this annex.

Check-sum

13. To ensure that the override file has been received in its entirety, or has not been otherwise corrupted during transmission, we use a check sum. The check sum is calculated by summing the values of the field specified on line 8 over all records in the file. The calculated value should be returned on line 9 of the override file. The field used to compute the check sum must be numeric, and must not contain any values greater than 20,000. If no suitable field is available, then a sequential field called RECNO may be created. For example, RECNO may contain 1, 2, 3, 4, 5 etc.

Outcome

14. When we receive a valid override file in the structure and format detailed in this annex, we will aim to provide feedback within five working days. Institutions will be notified by e-mail when the revised re-creation tables and individualised file will be available via the HEFCE extranet.

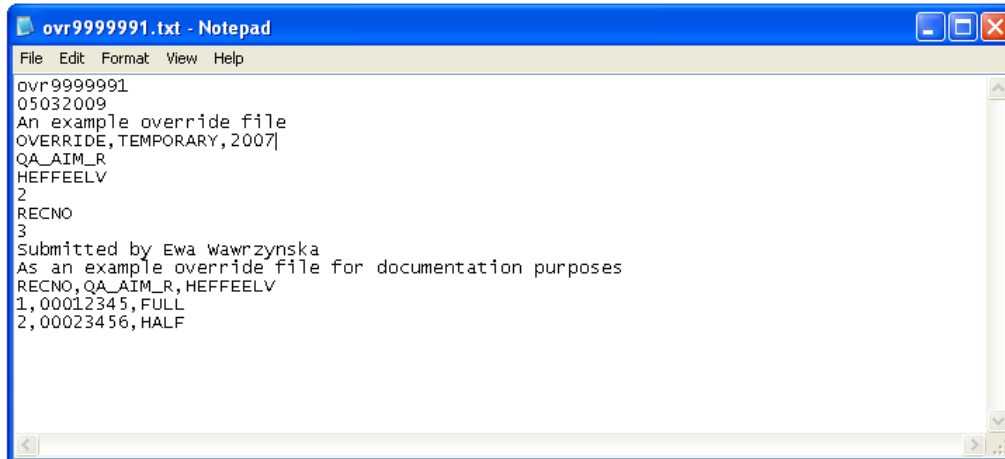
The data part of the file

15. The records being changed must begin on line 13 of the override file. The data must consist of comma-separated fields, corresponding to those specified in line 12 of the header. Each record must be separated by a carriage return. A blank line should be placed after the final record.

An example override file

16. The example in Figure 4 will change the fee level of (hypothetical) learner aim 00012345 to FULL and aim 00023456 to HALF. Note the use of RECNO to create a suitable field to allow the check sum to be computed.

Figure 4 Example override file



```
ovr9999991.txt - Notepad
File Edit Format View Help
ovr9999991
05032009
An example override file
OVERRIDE,TEMPORARY,2007]
QA_AIM_R
HEFFEELV
2
RECNO
3
Submitted by Ewa wawrzynska
As an example override file for documentation purposes
RECNO,QA_AIM_R,HEFFEELV
1,00012345,FULL
2,00023456,HALF
```

Annex J

List of abbreviations

2007-08 ILR F04	LSC's 2007-08 July Individualised Learner Record
2007-08 ILR F05	LSC's 2007-08 December Individualised Learner Record
ASNs	Additional student numbers
CFEE07	2007-08 co-funded employer engagement student numbers
DSA	Disabled Students' Allowance
ELQ	Equivalent or lower qualification
FAQ	Frequently asked question
FEC	Further education college
FTE	Full-time equivalent
FTS	Full-time and sandwich
HE	Higher education
HEFCE	Higher Education Funding Council For England
HEIFES	Higher Education in Further Education: Students Survey
ILR	LSC's July Individualised Learner Record
LAD	Learning Aim Database
LDCS	Learning Directory Classification System
LSC	Learning and Skills Council
ONS	Office for National Statistics
NSPD	National Statistics Postcode Directory
SSO	Single Sign On
UKPRN	UK Provider Reference Number
UPIN	LSC's Unique Provider Identification Number
WP	Widening participation