ISR 1999-2000 derived statistics for funding allocations and monitoring in FECs

To	Heads of further education colleges directly funded by the HEFCE
Of interest to those responsible for	Student data, Audit, Finance
Reference	01/35
Publication date	June 2001
Enquiries to	For general enquiries contact: Anthony Ryan tel 0117 931 7297 Rhianne Cox tel 0117 931 7014 e-mail isr_heifes_stats@hefce.ac.uk

Executive summary

Purpose

1. This document describes how we will use the Further Education Funding Council's (FEFC) July 1999-2000 individualised student record (ISR) to:

- monitor aggregate returns made to the HEFCE
- inform funding for 2001-02
- produce some regional analysis.

2. This document also outlines the procedures we will adopt where our monitoring process identifies significant differences between aggregate and individualised returns. We believe this exercise helps us, and institutions, to better understand the data supplied to the FEFC and ensures that higher quality more consistent data are delivered to both the FEFC and the HEFCE.

3. The data included in the reconstruction of the Higher Education in Further Education: Students survey 1999 (HEIFES99) from the July 1999-2000 ISR (ISR17) will form the basis of calculating premiums based on the following:

- full-time mature undergraduate students
- the neighbourhood types of students.

These premiums will be used in the funding allocations for 2001-02.

4. Annex A gives full details of the methods used in generating the comparisons, including details of where assumptions have been made due to poor fit between the data collected on HEIFES99 and that supplied to the FEFC. In addition, the SAS code used to generate the comparisons can be found on our web-site, www.hefce.ac.uk under 'Learning and Teaching', 'Data collection'.

Franchised data

5. In HEFCE 00/55 we published details of franchised students based on the July 1998-99 ISR (ISR14). We are providing information on the teaching institutions of franchised students from ISR17 to enable institutions to check that it is accurate and suitable for publication.

6. Where an institution does not have franchised students they should expect their franchising tables to be blank. In these instances we do not expect the institution to respond to the franchising element of this exercise.

7. We are conducting a similar exercise for higher education institutions (HEIs). After we have given the HEIs an opportunity to check their data, we plan to publish information on the number of students taught at FECs but franchised through HEIs. A list of institutions that are teaching franchised students registered at each HEI will be published.

Key points

8. Where we identify significant differences in the comparison of ISR17 data to HEIFES99, we will write to the institutions concerned and ask for an explanation.

9. If the data remain unreconciled, we may audit both sets of data to arrive at agreed figures. Any amendments to data following this exercise may result in retrospective adjustments to funding.

10. If institutions are concerned about the suitability for publication of the franchised data they should contact Anthony Ryan by 30 July 2001.

11. All institutions are invited to comment on the methods described in Annex A or in the SAS code.

Action required

12. Where we require a response it should be sent to Anthony Ryan no later than **30 July 2001**.

Selection of institutions asked to respond

13. We will ask for a response from institutions if the total difference in holdback calculated using HEIFES99 and ISR17 exceeds £800,000.

14. Holdback was chosen as the basis of selection because:

a. Holdback is calculated at the highest level of aggregation used in operating our funding process.

b. It shows major changes in funding while remaining neutral to variations in other institutions' data.

15. With the introduction of additional validation for the July 2000-01 ISR (ISR20) we expect to see a decrease in the discrepancies between ISR and HEIFES data. Therefore, in future years, we will introduce more rigorous criteria.

16. Changes will only be made to our copy of the ISR17 data if large discrepancies that can easily be corrected become apparent. If such changes are necessary we shall expect institutions to adopt procedures designed to ensure that, in future years, the final data submitted to the FEFC are correct.

17. The FEFC will not amend its version of ISR17 unless institutions re-submit their ISR17 directly to the FEFC. We expect any changes to be included in the institution's December 1999-2000 return (ISR19). Where institutions have already submitted their ISR19, the FEFC 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 institution 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 Council [FEFC] would expect the external auditors to confirm the revision has been made in accordance with audit guidelines.'

18. Our copy of ISR17 data was extracted on 4 December 2000. It is a condition of HEFCE grant that accurate data are supplied on time to the FEFC. If an institution has failed to meet this requirement we will write to them seeking both that a valid ISR17 is submitted to the FEFC and an action plan is submitted to us detailing how the institution will ensure it meets this requirement in future. The institution may be charged for any costs we incur in ensuring accurate data are submitted to our timescales.

Responses required

19. We shall write separately to the institutions from which we require a response.

20. Responses should address one, or more, of the following problems and quantify the extent to which it contributes to the overall discrepancy:

a. Errors in HEIFES99.

b. Errors in ISR17.

c. Errors in the Qualification Database.

d. Problems of fit with the HEFCE algorithm.

Errors in HEIFES99

21. Where errors are found in the HEIFES return a revised return will be required. Institutions will be informed of the outcome of these changes by their HEFCE Higher Education Adviser.

Errors in ISR17

22. Institutions are required to submit timely and accurate data to the FEFC. However, it is recognised that ISR returns are necessarily complicated and some institutions send an ISR return which is incorrectly compiled or inconsistent. Therefore in last year's exercise we accepted a large number of amendments to ISR data. This is the second year that ISR data have been used to monitor funding allocations and we expect the number of errors to be greatly reduced.

23. The implications of processing and accepting amendments to ISR data are significant, so we want to keep amendments to a minimum. In particular we would not expect to make amendments where:

- institutions have already identified similar weakness in last year's data
- the error does not significantly affect the outcome of this exercise, or other HEFCE analysis.

24. If amendments to the ISR17 data are necessary we require that the corrections are submitted to us in a standard format. Details of the standard format are given in Annex B. This is essential in order to establish an audit trail of data changes, and to ensure that corrections can be processed in a timely and accurate manner. If amendments to ISR17 data are received we will use this information to re-create HEIFES99 tables. Where we are content that the amendments result in a reasonable comparison to the HEIFES99 return, we will ask the institution to confirm the accuracy of the amendments. A copy of the confirmation form is given in Annex C. The form should be photocopied and signed by the member of staff with responsibility for signing-off ISR data. Where we are not content that the amendments result in a reasonable comparison, we will ask for a further response. Details of this process are given in Figure 1.

Errors in Qualification Database

25. ISR17 data has been linked to version 13.3 of the FEFC's Qualification Database to obtain information about the qualification aim of study. Where it is identified that information contained on the Qualification Database is incorrect we will ask the institution to take the following action:

a. Notify the FEFC of the error and request that the relevant entry is corrected for the next practical release of the database.

b. Provide the HEFCE with evidence that corrections have been requested.

c. Provide the HEFCE with details of the proposed change.

26. Where it is identified that the student is incorrectly linked to a qualification in the Qualification Database then either:

a. A link should be made to the correct qualification on the database, where it already exists.

b. A new qualification code should be requested from the FEFC.

27. Both cases will require an amendment to ISR17 data. Additionally where a new qualification code is requested we will require evidence that the request has been made and details of the new qualification.

Problems of fit with the HEFCE algorithm

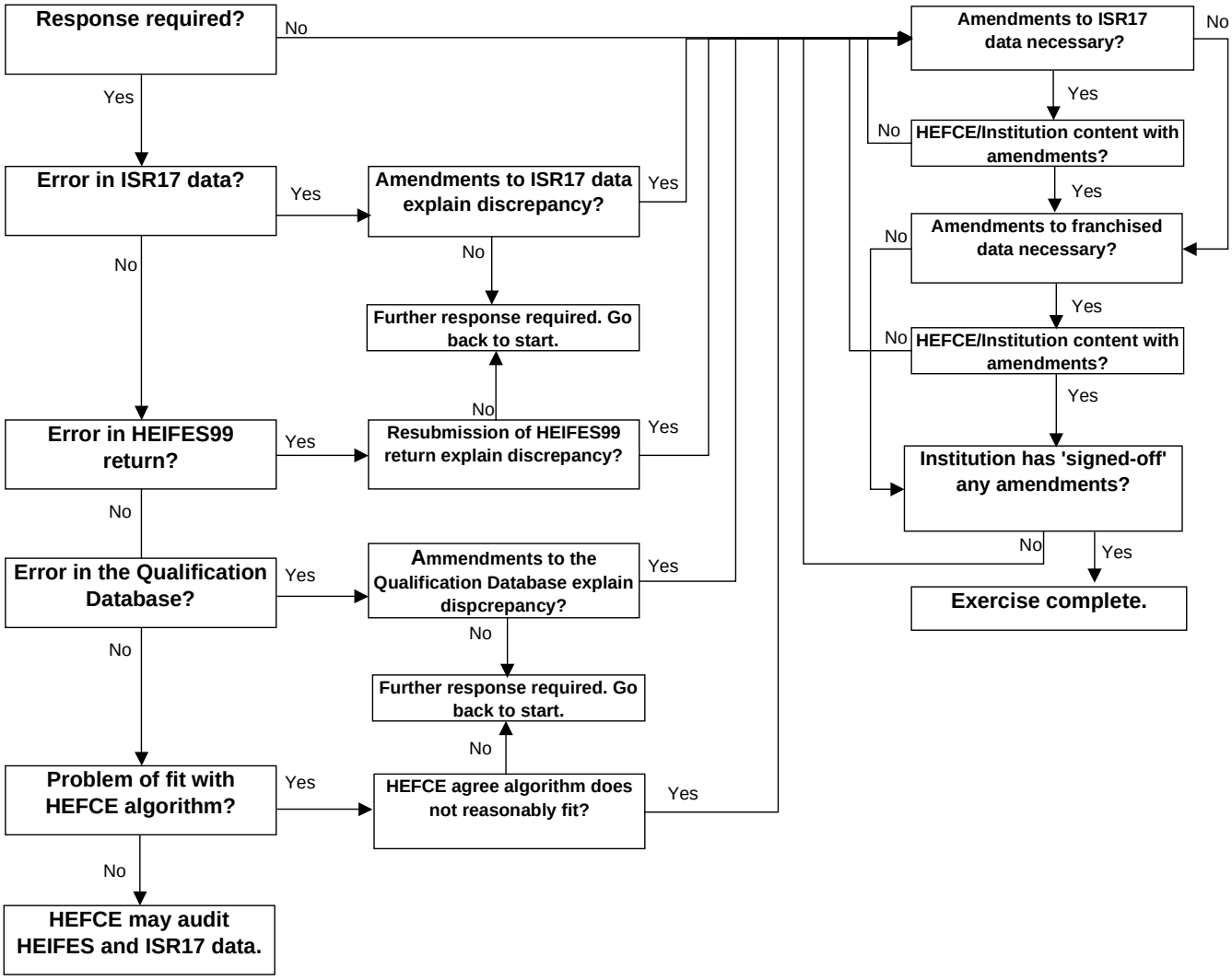
28. Where the response identifies a difference of fit between our algorithm and data supplied, evidence of where this occurs will be required. To aid institutions in identifying such cases, the SAS code used to generate the comparison is available on our web-site under 'Learning and Teaching', 'Data collection'.

29. All institutions are invited to comment on the methods described in Annex A, and to suggest how they can be improved.

30. If differences between the data cannot be reconciled, we may audit both sets of data. If the data are amended, we may make retrospective adjustments to funding.

31. We believe this exercise helps to improve the quality both of data supplied to the FEFC, and of responses to the HEIFES survey.

Figure 1 Responses Process Diagram



Annex A
Technical supplement

Information supplied

32. We will write to heads of institutions, copied to HEIFES2000 data contacts by 6 July 2001 indicating whether a response is required, and enclosing the following information:

a. A copy of the HEIFES99 return, including all amendments made during the funding process.

b. HEIFES99 as re-created using ISR17 data, and the coding methods described in Annexes A and D.

c. The number of mature home and EC fundable full-time undergraduates.

d. The number of young, home and EC fundable full-time undergraduates receiving some tuition-fee remittance.

e. The numbers of young, English domiciled, home and EC fundable, full-time undergraduates in each of 160 neighbourhood types.

f. The teaching institutions of franchised students and the number of such students.

g. Summary information comparing HEIFES99 to ISR17 data, including a summary of franchised students.

h. A summary of the ISR17 records excluded from the HEIFES re-creation.

i. Details of the allocation of media studies, psychology and engineering to price groups.

33. All the above data are available electronically from our web-site. Details of how to obtain these data will be included with the letter referred to above.

34. Our web-site will also contain an individualised record. The record contains the following fields from ISR17 and the Qualification Database:

- ENG_LEVEL
- QUAL_TYPE
- SUPERCLASS
- SUPERCLAS2
- SUPERCLAS3
- AWARD_BOD1
- AWARD_BOD2
- Q02
- Q03
- Q07A
- Q07B
- Q08
- Q09
- Q10
- Q11
- Q12
- Q13
- Q15
- Q16
- Q17
- Q18
- Q19
- Q24
- Q25
- Q30
- QHE01
- QHE02
- S04
- S06
- S07
- S14A
- S14B
- S16
- S17
- S18
- SHE09
- SHE10
- SHE11
- SHE12
- SHE13

35. It also contains the following derived fields:

a. A flag showing whether the student is counted in HEIFES99 and, if not, why the student was excluded.

b. The HEIFES classification of the student.

c. The classification of the student's neighbourhood type used to calculate the geodemographic premium. This field is completed for a restricted group of students only.

36. We are conducting a similar exercise for HEIs using the Higher Education Statistics Agency's individualised student record.

Frequently asked questions

37. There is a web page featuring answers to frequently asked questions. The web page will also contain any amendments or clarifications that need to be made after the circular and supplementary information are sent out. It can be found on the HEFCE web-site under 'Learning and Teaching', 'Data collection'. The web page is updated regularly, and institutions are expected to look here for guidance in the first instance. We will use our e-mail list of HEIFES2000 contacts to notify

institutions of any significant changes or updates. We will not use this simply to notify them of changes to the web-site.

Deadline for responses

38. Responses should arrive no later than **30 July 2001** and should be sent to:

Anthony Ryan
Analytical Services Group
HEFCE
Northavon House
Coldharbour Lane
BRISTOL
BS16 1QD

Annex A
Technical supplement

Purpose

1. This annex describes the method used to generate the data distributed to institutions as part of this exercise. It also gives details of known discrepancies between the data sources.

2. This annex is aimed at expert readers with in-depth knowledge of the data. Readers are advised to have a copy of the 1999-2000 ISR institution support manual, HEIFES99 (HEFCE 99/58), and the guidance notes to version 13.3 of the FEFC's Qualification Database to hand when using this document. In addition, users may wish to consult the SAS code used in the comparison which can be found on our web-site under 'Learning and Teaching', 'Data collection'.

3. The methods described in this annex assume that the HE specific fields on ISR17 have been completed. Validation of ISR17 did not ensure that HE specific fields were returned with a non-null entry for HE qualification aims. Where an HE specific field contains a null, or empty entry, Annex D briefly describes the methods used.

4. Validation of July 2000-01 (ISR20) and subsequent ISR returns will ensure that null, or empty, entries are not returned for HE specific fields for all HE qualification aims.

5. The details listed below are similar to those in HEIFES99 Annex N, but some alterations have been made to improve the matching and clarity.

Extraction and manipulation of ISR17 data

6. All ISR17 data returned to and validated by the FEFC before 4 December 2000 have been processed using the methods described in this document. These data have been denormalised so that there is one record, including student data, for each qualification aim.

7. We will write separately to all institutions in receipt of HEFCE funding in 2000-01 for which we have not received ISR17 data, asking them to return a valid ISR17 return to the FEFC as soon as possible. These institutions may be charged for any costs we incur in ensuring the receipt of timely and accurate data for them.

Fields used in comparisons

8. Only certain fields, detailed below, were used to generate the comparison between the HEIFES and ISR17 data. Fields from the student data set part of ISR17 take the prefix ST_; those from the qualification aim data set have the prefix QA_; and those from the Qualification Database use the same names as described in the guidance notes for version 13.3.

9. Throughout this annex, fields taken from ISR17 and version 13.3 of the Qualification Database are shown in capitals using the names given in the table below.

Field code	Description	Name
ENG_LEVEL	Level of study (FE or HE) England specific	ENG_LEVE
QUAL_TYPE	Qualification type	QUAL_TYP
SUPERCLASS, SUPERCLAS2, SUPERCLAS3	The superclass II subject classification	SUPERCL1 to SUPERCL3
Q03	Mode of attendance	QA_ATTEN
Q07A	Annual fees indicator	QA_F_IND
Q07B	Amount of tuition fees received or expected from the student	QA_FAMNT
Q08	Reason for partial or full non-payment of tuition fees	QA_NON_P
Q10	FEFC or HEFCE funding	QA_FEHE_
Q11	Major source of funding other than tuition fees or FEFC/HEFCE funding	QA_OTHER

Q12	Minor source of funding other than tuition fees or FEFC/HEFCE funding	QA_MINOR
Q13	Outward collaboration provision arrangements	QA_FRANC
Q16	Start date	QA_ST_DA
Q17	Expected end date	QA_EXP_E
Q18	Actual end date	QA_EN_DA
Q30	Franchising partner	QA_PRVPT
QHE01	Major source of tuition fees - HE specific	QA_FEEHE
QHE02	Year of programme	QA_PROGY
S04	Date of birth	ST_DOB
S06	Home postcode	ST_POSTC
S07	Country of domicile	ST_DOMIC
S14A	Annual fees indicator	ST_F_IND
S14B	Amount of tuition fees received or expected from the student	ST_FAMNT
S15	Reason for partial or full non-payment of tuition fees	ST_NON_P
SHE09	Type of programme year	ST_PYTYP
SHE10	Mode applicable to HEIFES/HESES	ST_MHESE
SHE11	Level applicable to HEIFES/HESES	ST_LHESE
SHE12	Completion of year of study	ST_COMPY
SHE13	Student FTE	ST_FTEHE

10. The ST_POSTC field was used to determine the neighbourhood type of full-time and sandwich, home and EC fundable undergraduates in the HEIFES column 4 population, who were young on entry and had an English postcode. The QA_FEEHE field was used to determine those students who had some tuition fee remittance.

Description of derived fields

11. This section contains details of the derived fields contained on the individualised data file. These fields are used to build the key dimensions of the HEIFES return.

Field name	Description	Paragraph
ST_INST	FEFC institution code	12
ST_REF	Unique student identifier	13
QA_SEQNO	Sequential numbering of each student's qualification aims	14
STUBID	Unique countable year of programme of study identifier	17
HEFMODE	Mode of study	21
HEFLEVEL	Level of study	22
HEFTYPE	Fundability status	23
TU_CASE	Indicator showing how HEFFEELV was calculated	24
HEFTUIT	Estimate of fee level	27
HEFFEELV	Fee level used in HEIFES	28
YEARONE	New entrant flag	29
LENGTH	Flag indicating long or standard length years of programme of study	30
PRICEGRP	Price group	31
HEFREG	HEIFES column 1 or 2 indicator	34
HEFCOMP	HEIFES completion of year of programme of study flag	35
FTE_CASE	Indicator showing how HEFESFTE was calculated	36
HEFESFTE	FTE consistent with HEIFES definitions	38
HEFEXCL	Reason for exclusion from the HEIFES population	42
HEFCOL4	Flag indicating whether the student was included in HEIFES column 4	44
FRANCH	Flag indicating franchised students	45
FRNINST	Franchised institution code	46
SPC	Geodemographic grouping indicator	47

ST_INST

12. This field is derived by the FEFC and contains the FEFC institution code. It is the first seven characters of the 'Student data set reference' (field S01).

ST_REF

13. This field is derived by the FEFC and uniquely identifies students on ISR17. It is the first 19 characters of the 'Student data set reference' (field S01).

QA_SEQNO

14. This field is derived by the FEFC. It contains a sequential number of the qualification aim records for each student.

Record uniqueness in ISR17

15. Record uniqueness in ISR17 is provided by taking the ST_REF, QA_SEQNO pair.

Second countable years of programme of study

16. Non-standard academic years where all activity for the final year of programme of study falls entirely within an academic year, generate two countable years of programme of study.

STUBID

17. This field uniquely identifies years of programme of study when two years are generated. Where a student generates two countable years of programme of study within a single academic year we create two records for that student. These records are distinguished using STUBID.

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

18. Undergraduates were identified as generating two countable years if:

- ST_PYTYP=1
- QA_ST_DA<1 August 1999
- QA_EN_DA<1 August 2000
- month of QA_ST_DA = January - July inclusive and
- QA_EN_DA>anniversary of QA_ST_DA + 14 days.

19. Postgraduates were identified as generating two countable years if:

- ST_PYTYP=1
- QA_ST_DA<1 August 1999
- QA_EN_DA<1 August 2000 and
- QA_EN_DA>anniversary of QA_ST_DA + 14 days.

20. When STUBID=1, we made the following assumptions:

- ST_PYTYP=4
- ST_COMPY=1
- QA_PROGY=QA_PROGY-1.

HEFMODE

21. This field allocates students to mode of study.

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

HEFLEVEL

22. This field allocates students to level of study.

Value	Description	Definition
UG	Undergraduate	ST_LHESE = 10, 11
PGT	Postgraduate taught	ST_LHESE = 20, 21
PGR	Postgraduate research	ST_LHESE = 30, 31

HEFTYPE

23. This field allocates students to the four categories of fundability and residential status.

Value	Description	Definition
HOMEF	Home and EC HEFCE funded	QA_FEHE_=2
HOMEIF	Home and EC independently funded	QA_FEHE_=5
HOMENF	Home and EC non-fundable	ST_DOMIC=EC* and QA_FEHE_ ≠ to 2,5
ISOV	Island and overseas	Any not included above

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

TU_CASE

24. This field contains the case description for calculating HEFTUIT, as given in the table below.

25. The method used to generate the level of tuition fee charged to the student is dependent on the following factors:

a. Whether tuition fees have been waived.

b. Whether the year of programme of study is a non-standard academic year or not.

c. Whether tuition fees have been returned for the current academic year or for the whole programme of study.

d. Number of countable years of programme of study generated in HEIFES99.

e. Whether the year of programme of study is the last or not.

26. The table below shows how we identify different cases for calculating HEFTUIT.

Value	Description	Definition
1	Tuition fees have been waived	QA_NON_P or ST_NON_P*= 04, 08, 10, 13, 14, 15
2	One year generated in HEIFES99 and annual fees returned	STUBID=0 and (QA_FAMNT=A or ST_FAMNT*=A)
3	One year generated in HEIFES99 and whole programme of study fees returned	STUBID=0 and (QA_FAMNT=W or ST_FAMNT*=W)
	Two years generated in HEIFES99 and annual fees returned	
4a	1st year	STUBID=1 and (QA_FAMNT=A or ST_FAMNT*=A)
4b	2nd year	STUBID=2 and (QA_FAMNT=A or ST_FAMNT*=A)
	Two years generated in HEIFES99 and whole programme of study fees returned	
5a	1st year	STUBID=1 and(QA_FAMNT=W or ST_FAMNT*=W)
5b	2nd year	STUBID=2 and (QA_FAMNT=W or ST_FAMNT*=W)

* Data returned in the student fields will only be used where data has not been returned in the qualification aim fields.

HEFTUIT

27. This field contains an approximation of the tuition fee charged to the student as in HEIFES99. The table below shows the method of calculating HEFTUIT for different methods of returning tuition fee data.

Value of HEFTUIT	Definition
1025	TU_CASE = 1 and HEFMODE = FTS and (HEFLEVEL = UG or QUAL_TYP = 9103)
510	TU_CASE = 1 and ((HEFMODE = SWOUT and HEFLEVEL = UG) or (HEFMODE = PT and QA_FEHE_ = 9 and QA_OTHER = 025))
2675	TU_CASE = 1 and HEFMODE = PT and HEFLEVEL = PGT,PGR
0	TU_CASE = 1 and (QA_OTHER = 017 or QA_MINOR = 017)
OTHER	TU_CASE = 1 and not included above
TUITION$^{\varphi}$	TU_CASE = 2
TUITION$^{\varphi}$/CRSELGTH*	TU_CASE = 3
TUITION$^{\varphi}$ -TUITION$^{\varphi}$ $\times$ PROP$^{\#}$	TU_CASE = 4a
TUITION$^{\varphi}$ $\times$ PROP$^{\#}$	TU_CASE = 4b
(TUITION$^{\varphi}$ / CRSELGTH*) -(TUITION$^{\varphi}$ / CRSELGTH*) $\times$ PROP$^{\#}$	TU_CASE = 5a
(TUITION$^{\varphi}$ / CRSELGTH*) $\times$ PROP$^{\#}$	TU_CASE = 5b

$^{\varphi}$ TUITION=QA_FAMNT unless QA_FAMNT is empty when TUITION is taken to be ST_FAMNT.

* CRSELGTH is an approximation of the expected length of the programme of study derived by rounding up to the nearest whole year QA_EXP_E - QA_ST_DA.

$^{\#}$ PROP=(QA_EN_DA - anniversary of QA_ST_DA) / (QA_EN_DA_ - 1 August 1999).

HEFFEELV

28. This field contains the level of tuition fee charged to the student as in HEIFES99.

Value	Description	Definition
1025	Undergraduate full fee	HEFTUIT=1025 or(HEFMODE=FTS and (HEFLEVEL=UG or QUAL_TYP=9103) and HEFTUIT ≥ 975)
510	Undergraduate half fee	HEFTUIT=510 or (((HEFMODE=SWOUT and HEFLEVEL=UG) or (HEFMODE=PT and QA_FEHE_=9 and QA_OTHER=025)) and HEFTUIT ≥ 460)
2675	Postgraduate full fee	HEFTUIT=2675 or (HEFMODE=PT and HEFLEVEL=PGT,PGR and HEFTUIT ≥ 2625)
0	Regulated zero	HEFTUIT=0 or QA_OTHER = 017 or QA_MINOR = 017
OTHER	Other fee charge or no fee level	Any not included above

YEARONE

29. This indicates whether a student is a new entrant as defined in HEIFES99.

Value	Description	Definition
1	New entrant	(ST_PYTYP = 1 and QA_PROGY = 1) or (ST_PYTYP = 4 , 5 and QA_PROGY = 2)
0	Otherwise	Any not included above

LENGTH

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

Value	Description	Definition
L	Long (year of programme of study is over 45 weeks)	ST_LHESE = 11, 21, 31
S	Standard	Otherwise

PRICEGRP

31. Price group is assigned by mapping the three superclass II fields, SUPERCL1 - SUPERCL3, to price groups as indicated in the table below. We assume the lowest price group using the ordering given in the table, that is, PRICEGRP=B will only be assigned if all non-empty superclass II fields map to price group B.

PRICEGRP	Superclass II code
B	PB, PE, RA, RC - RF, RH, SA, SB, SK, TL, TM, XH - XL, XP - XR, XT, YC - YE
C	CA - CH, CY, DC, FK (excluding FK.343, FK.335 and FK.349), J, L, M, NA - NH, PA, PC, PD, PF - PQ,RB, RG, SC - SJ, SL - SP, TA - TK, W, XA - XF, XM, XN, XS, YA, YB
D	A, B, CX, CZ, DA, DB, DD, DE, E, FB, FC, FJ, FK.343, FK.335, FK.349, FL,G, H, KA - KD, KH, NK -NN, Q, V, Z
PSYCH	PK
MEDIA	KE - KG
INSET	See paragraph 32

INSET and ITT

32. ITT(QTS) and INSET(QTS) students are identified by QA_FEHE_=9 and QA_OTHER=025. We assume all such students are INSET.

33. Version 13.3 contained 23 HE qualifications without superclass II codes. Annex E lists these qualifications and the superclass II codes we have assumed for price group allocation.

HEFREG

34. This field indicates whether the student will appear in column 1 or 2 of the appropriate HEIFES99 tables. It should be noted that if the student is excluded this field is not used to populate the tables.

Value	Description	Definition
1	Included in column 1	(ST_PYTYP = 1 and anniversary of QA_ST_DA < 2 November 1999) or ST_PYTYP = 4, 5
2	Included in column 2	Any not included above

HEFCOMP

35. This field indicates whether the student will appear in column 3 or 4 of the appropriate HEIFES99 tables. It should be noted that if the student is excluded this field is not used to populate the tables.

Value	Description	Definition
3	Included in column 3	(ST_PYTYP = 1 and ST_COMPY = 2) or (ST_PYTYP= 4, 5 and ST_COMPY = 2 and QA_EN_DA < anniversary of QA_ST_DA)
4	Included in column 4	Any not included above

FTE_CASE

36. This field contains the case description as given in the table below.

37. For non-standard academic years or when two years of programme of study are generated, the method used to calculate HEFESFTE is dependent on the number of countable years of programme of study generated in HEIFES99 and whether the year of programme of study is the last or not.

Value	Description	Definition
1	One year generated in HEIFES99 and the programme of study is not in the final academic year	ST_PYTYP = 4 and STUBID = 0
2	One year generated in HEIFES99 and the programme of study is in the final academic year	ST_PYTYP = 5 and STUBID = 0
	Two years generated in HEIFES99	
3a	First year	STUBID = 1
3b	Second year	STUBID = 2

HEFESFTE

38. This field contains the FTE we assume for the year of programme of study in column 4a of HEIFES99. When the year of programme is contained within a standard academic year and one year of programme of study is generated, HEFESFTE is taken to be ST_FTEHE. The table below shows the method of calculating HEFESFTE for different groups of non-standard academic years of programme of study.

FTE_CASE	Definition
1	ST_FTEHE
2	ST_FTEHE+AVRGLOAD
3a	(ST_FTEHE+AVRGLOAD) - (ST_FTEHE×PROP)
3b	ST_FTEHE×PROP

39. Where PROP=(QA_EN_DA - anniversary of QA_ST_DA) / (QA_EN_DA - 1 August 1999) and AVRGLOAD is the arithmetic mean of ST_FTEHE for all non-standard academic years of programme of study in their first academic year, with same ST_MHESE and QUAL_TYP at the same institution.

40. ST_FTEHE is capped at 100 for all calculations except where two years of programme of study are generated in HEIFES99. HEFESFTE is also capped at 100.

41. HEFESFTE is 50 for all sandwich year-out years of programme of study (HEFMODE=SWOUT). HEFESFTE is 100 for all full-time and sandwich years of programme of study (HEFMODE=FTS).

HEFEXCL

42. This field indicates whether the student should be included in the HEIFES re-creation and, if not, the reason for the exclusion. The following table gives details of students excluded from HEIFES99 and the binary exclusion code used (HEFEXCL).

Value	Description	Definition
1	Not active in academic year	(QA_ST_DA > 31 July 2000 or QA_EN_DA < 1 August 1999) or QA_ATTEN = 99
2	Non-recognised HE, FE, NVQ or QTS students	Qualification aim is not included in the table in Annex D, paragraph 5
4	Students explicitly excluded from the HEIFES99 student population	ST_LHESE = 99, ST_MHESE = 99 or -ST_COMPY = 9
8	Students with a FTE of less than 3%	HEFESFTE < 3
16	Students on a non-standard academic year in the first academic year	ST_PYTYP = 3
32	Students on standard academic years who withdrew before 1 November 1999 or students on non-standard academic years who withdrew before the anniversary of their commencement date	QA_EN_DA <1 November 1999 and ((ST_PYTYP = 1 and ST_COMPY = 2) or (QA_EN_DA < anniversary of commencement date and ST_PYTYP = 4, 5 and ST_COMPY = 2))

43. For example, if HEFEXCL = 14, then subtracting figures from the above table starting at the bottom, we see that the student has an FTE of less than 3% (HEFEXCL = 8), is explicitly excluded from the HEIFES99 student population (HEFEXCL = 4) and is a non-recognised HE, FE, NVQ or QTS student (HEFEXCL = 2).

HEFCOL4

44. This field indicates whether the student is assigned to column 4 of HEIFES99.

Value	Description	Definition
1	Included in column 4 of HEIFES	HEFCOMP=4 and HEFEXCL=0
0	Otherwise	Any students not included above

FRANCH

45. This field indicates whether the student is included in the supplementary franchising tables.

Value	Description	Definition
1	Student is included in the franchised tables	HEFCOL4 = 1 and QA_FRANC ≠ 99
0	Student is not included in the franchised tables	All other students

FRNINST

46. The teaching institution identifier taken from QA_PRVPT of franchised students included in the supplementary franchising tables.

SPC

47. This holds a 3 digit code that identifies which of the 160 geodemographic clusters the record postcode (unaltered from ST_POSTC) has been assigned to. Aggregates of these clusters may be used to identify low participation areas for funding purposes.

Differences between HEIFES and ISR17 data

48. Following the revision of the 1998-99 ISR record, the HEIFES data can be more easily re-created. However, there remain some data returned in HEIFES that cannot be re-created exactly using ISR data because of differences in definition. In such cases, reasonable approximations have been made. Listed below are areas where there may be some uncertainty about the correspondence of ISR records to HEIFES cells. We have not included approximations made because an HE specific field was not completed. Where possible, we have indicated the likely effects of the uncertainties.

Student load

49. The calculation of HEFESFTE described in paragraphs 36 to 41 ensure that FTE, over the whole programme of study, is consistent with HEIFES, while attempting to minimise variance within years of programme of study.

50. Exceptionally, for non-standard academic years, assumptions are made for the final year of programme of study. The average FTE of students in the first academic year returned on the ISR, for all similar programmes of study at the same institution, is added to ST_FTEHE. A constant FTE for the course has been assumed. Therefore HEFESFTE will be deflated where the intensity of the course is increasing over time, and inflated when it is decreasing.

Fee level

51. Fee level irrespective of who pays the fees is not currently collected on the ISR. Therefore if partial or full non-payment of fees has occurred we assume the following fee has been charged:

- £1,025 - full-time undergraduates and PGCE students
- £510 - sandwich year-out undergraduates and part-time ITT students
- £0 (nil) - ERASMUS students
- £2,675 - postgraduate students
- Other – any students not included above.

52. If full payment of tuition fees has been made we use the QA_F_IND, QA_FAMNT, ST_F_IND or ST_FAMNT pairs to assign fee level. We take fee data at qualification aim level in preference to fee information at the student level. However, where fee data are returned at the student level we assume that the fee information applies to a group of qualification aims that consist of one programme of study. Where fee information is returned for the whole programme of study we divide by an approximation of the expected length of programme of study derived by rounding to the nearest whole year QA_EXP_E - QA_EXP_DA. Due to the imprecise nature of the approximation we assume a range of greater than or equal to the fee minus £50. Therefore HEFFEELV will be assigned to 'Other fee charge or no fee level' where we overestimate course length. In 'Individualised Student Record: Consultation on Proposed Changes to the 2001-02 Specification' (FEFC 01/01) the FEFC consulted on a proposal to collect fee level information from 2001-02 onwards.

Price group

53. Price group is assigned using the following hierarchy, where we assume the lowest price group the SUPERCL1 - SUPERCL3 fields map to:

- B
- C
- D
- PSYCH
- MEDIA

54. INSET is always assigned where QA_FEHE_ = 9 and QA_OTHER = 025.

55. In FEFC 01/01 the FEFC consulted on a proposal to collect the proportion of study in each of the three superclass II subject fields from 2001-02.

Qualification aims information at the student level

56. The ISR format involves collecting qualification aims information at the student level. Where a student is studying for two or more qualifications simultaneously we assume information returned at the student level applies to all the student's qualification aims from 2001-02.

57. In FEFC 01/01 the FEFC consulted on a proposal to collect this information at the qualification aim level from 2001-02.

Assumptions affecting selection criteria

58. We made assumptions for the following groups of students excluded from the HEIFES99 student population.

a. Students on HE level diplomas and teaching certificates are studying for DipHEs and CertEds respectively (see HEFQAIM in Annex D and HEFEXCL = 2).

b. Students with very low FTEs (see paragraphs 36 to 41 and HEFEXCL = 8).

Assumptions not affecting selection criteria

Two countable years of programme of study - first countable year

59. Where two countable years of programme of study are generated data returned to ISR17 should reflect the year of programme of study at the end of the academic year. Therefore 1999-2000 ISR17 data relates to the second countable year when two years are generated. For the first countable year we assumed ISR17 data with the following exceptions:

- ST_PYTYP = 4
- ST_COMPY = 1
- QA_PROGY = QA_PROGY - 1.

Areas of uncertainty in completing HEIFES99

Forecasts of countable years of programme of study and non-completions

60. HEIFES99 required institutions to provide forecasts of countable years of programme of study between 2 November 1999 and 31 July 2000. Forecasts are by their nature inexact. Unless there are exceptional circumstances, it is expected that these figures will, when considered as a whole, be an accurate reflection of actual non-completions and forecasts.

Additional data derived from ISR17

Count of mature students

61. Undergraduate, full-time, home and EC fundable students included in the HEIFES99 column 4 population were counted as mature students if they were aged 25 or older on entry using QA_ST_DA and ST_DOB.

Counts of young students in neighbourhood types

62. We enclose a table showing the number of young, English domiciled, home and EC fundable, full-time undergraduates included in the HEIFES99 column 4 population in each of 160 neighbourhood types. An unknown/unclassified category is included because it was not always possible to determine the neighbourhood type. For the purpose of this count, students are 'young' if they are under 25 on entry to the programme of study; this is calculated using QA_ST_DA and ST_DOB. For a general description of the geodemographic method refer to paragraphs 1-6 of Annex A2 'Performance Indicators in higher education in the UK' (HEFCE 00/40).

Count of young students receiving some tuition fee remittance

63. The number of young, (as defined in paragraph 62) home and EC fundable, full-time undergraduates included in the HEIFES99 column 4 population with some award or financial backing for tuition fees, QA_FEEHE ≠ 01, were included.

Annex B
Correcting ISR erroneous data

1. If the institution's response is such that it needs to correct erroneous ISR data then, along with all fields which require amendments, please include the following fields, in the order given below, to enable identification of individual records:

Field S01, Student data set reference

Field Q01, Qualification aim data set reference

Field Q02, Qualification reference code

Field S17, Institution-specified data 1

Field S18, Institution-specified data 2

Field Q24, Institution-specified data 1

Field Q25, Institution-specified data 2

2. A single denormalised file (that is, one record, including relevant student data, for each qualification aim) containing all fields affected by the amendment should be sent for each reason for response. For example, if some records require amendments to field Q18, Actual end date, which necessitates changes to SHE07, Reason for leaving, these fields should be returned only for those records where Q18 and SHE07 need amending.

3. Amendments should not be made to derived fields. For example, to change HEFESFTE an amendment file should be submitted for ST_FTEHE.

4. Institutions should return the file containing a header in the following form:

line 1 – amendment reference number in the form amdxxxxxn where xxxxx is the five character FEFC institution identifier and n is a sequential number starting at 1

line 2 – date of amendment in the form ddmmyyyy

line 3 – brief description of change (such as changes to Q18 and SHE07)

line 4 – names of the variable(s) to be changed, comma separated (for example, Q18, SHE07).

line5 - ordered names of all variables included in the amendment file (for example S01, Q01, Q02, S17, S18, Q24, Q25, Q18, SHE07).

5. We require data to be sent as a comma-separated file on 3.5" floppy disk or CD-ROM or as an e-mail attachment. The fields returned should be correctly formatted according to ISR rules, for example field S01 should be 27 characters long.

6. The following check digits should be supplied with the data:

- the total number of records in the file excluding headers
- the sum of positions 24 to 25 of Q01 (This is the qualification aim data set sequence number referred to as EE in the ISR manual).

7. An example of an amendment file can be downloaded from our web-site under 'Learning and Teaching', 'Data collection'.

8. We will then produce amended records, which will be available from our web-site as part of the individualised record (see paragraph 33 of the main document for further details on how to access these data). Institutions will then be asked to check that we have correctly made any amendments and, if so, to 'sign off' the changes using the form at Annex C.

9. These specifications are intended to improve the timeliness and accuracy of amending data. If institutions require advice or support in any of the technical aspects of our requirements please do not hesitate to contact Anthony Ryan, tel 0117 931 7297 or e-mail isr_heifes_stats@hefce.ac.uk.

Annex C

Confirmation sheet

Institution:_____
FEFC code:_____

Data amendments supplied following HEFCE 01/35

File Name	Name of amended field(s)	Number of records amended

Please photocopy, complete and return the form to Anthony Ryan, Analytical Services Group, HEFCE, Northavon House, Coldharbour Lane, BRISTOL, BS16 1QD

Telephone 0117 931 7014
Fax 0117 931 7476

I confirm that the amendments made in data file(s), as summarised above, are correct.

Signed _____

Name (please print)_____

Position in organisation_____

Annex D

Absence of HE specific data

1. This annex briefly describes the method used to generate HE specific fields where these were not completed. For more details users may wish to consult the SAS code used in the comparison which can be found on our web-site under 'Learning and Teaching', 'Data collection'.

2. Validation of July 2000-01 (ISR20) and subsequent ISR returns will ensure that null, or empty, entries are not returned for HE specific fields for all HE qualification aims.

ISR17 fields used in comparison

3. The following ISR17 fields were used, in addition to those listed in the ISR field table in Annex A, where HE specific fields were not returned.

4. Throughout this annex, fields taken from the ISR17 are shown in capitals using the names given in this table, or the ISR field table in Annex A.

Field code	Description	Name
AWARD_BOD1	Primary awarding body	AWARD_BO
AWARD_BOD2	Secondary awarding body	AWARD_B2
Q09	Major source of tuition fees	QA_FSRCE
Q15	Guided learning hours	QA_GUIDE
Q19	Completion status	QA_COMP_
S16	Major source of tuition fees	ST_FSRCE

HEFQAIM

5. This field categorises qualification aims in the broad qualification types given in the table below. It is used to derive HE specific fields used in the HEIFES re-creation.

HEFQAIM	Description	Definition
FIRST	First degree	QUAL_TYP = 0394, 1406, 1407, 1408, 1409, 9000, 9002, 9107, E007, and ENG_LEVE = H
MASTER	Masters	QUAL_TYP = 0393, 1410, 2001, 9100, 9101, 9109, and ENG_LEVE = H
HIGHER	Higher degree	QUAL_TYP = E008, 1411, 1412 and ENG_LEVE = H
DIPHE	DipHE	QUAL_TYP = 0006, 9112 and ENG_LEVE = H
PGCE	PGCE	QUAL_TYP = 9103 and ENG_LEVE = H
CERTED	CertEd	QUAL_TYP = 0043, 9111 and ENG_LEVE = H
FOUDEG	Foundation degree	QUAL_TYP = 9110 and ENG_LEVE = H
HNC	HNC	QUAL_TYP = 0031 and ENG_LEVE = H and (AWARD_BO or AWARD_B2 = EDEXCEL, SQA)
HND	HND	QUAL_TYP = 0032 and ENG_LEVE = H and (AWARD_BO or AWARD_B2 = EDEXCEL, SQA)

ST_LHESE

6. We assume all postgraduate programmes of study are taught. All undergraduate study is assumed to be standard. All postgraduate study is assumed to be long.

Value	Description	Definition
10	Undergraduate	HEFQAIM = FIRST, DIPHE, CERTED, FOUDEG, HNC, HND
21	Long postgraduate taught	HEFQAIM = MASTER, HIGHER, PGCE

ST_MHESE

7. We assume a year of programme of study is full-time and sandwich (ST_MHESE = 01) if YR_GUIDE ≥ 24×21 and anniversary of QA_EXP_E - anniversary of QA_ST_DA ≥ 24×7. Where the anniversary of QA_EXP_E is less than the anniversary of QA_ST_DA we add one year to the anniversary of QA_EXP_E before making the calculation. YR_GUIDE is QA_GUIDE divided by an approximation of the expected length of programme of study. (See paragraph 27 of Annex A for further details of the calculation of CRSELGTH).

8. All other study is assumed to be part-time (ST_MHESE = 03).

ST_FTEHE

9. We make the following assumptions for ST_FTEHE.

	CRSELGTH									
HEFQAIM	1	2	3	4	5	6	7	8	9	10
FIRST			100	75	60	50	43	38	33	30
FOUDEG		100	67	50	40	33	29	25	22	20
HND		100	67	50	40	33	29	25	22	20
DIPHE		100	67	50	40	33	29	25	22	20
HNC	100	50	33	25	20	17	14	13	11	10
CERTED	100	50	33	25	20	17	14	13	11	10
MASTER	100	50	33	25	20	17	14	13	11	10
PGCE	100	50	33	25	20	17	14	13	11	10

10. For higher degrees, HEFQAIM = HIGHER, we assume ST_FTEHE = (YR_GUIDE / 504) * 100.

ST_PYTYP

11. We assume the year of programme of study is standard if the anniversary of QA_EXP_E is greater than or equal to the anniversary of QA_ST_DA.

Value	Description	Definition
3	First academic year of a non-standard academic year of programme of study	Anniversary of QA_EXP_E < anniversary of QA_ST_DA and QA_ST_DA > 31 July 1999
4	Neither first or final academic year of a non-standard academic year of programme of study	Anniversary of QA_EXP_E < anniversary of QA_ST_DA and QA_ST_DA < 1 August 1999 and (QA_EN_DA is empty or QA_EN_DA > 31 July 2000)
5	Final academic year of a non-standard academic year of programme of study	Anniversary of QA_EXP_E < anniversary of QA_ST_DA and QA_EN_DA < 1 August 2000
1	Standard academic year	All students not included above

ST_COMPY

12. We assume the following values for ST_COMPY.

Value	Description	Definition
2	Did not complete the current year of programme of study	QA_COMP_ = 3, 4
1	Completed the current year of programme of study	All students not included above

QA_PROGY

13. We assume the year of programme of study is one plus the number of elapsed years between QA_ST_DA and 31 July 2000.

QA_FEEHE

14. We assume QA_FEEHE = 1 where either QA_FSRCE = 1 or ST_FSRCE = 1.

Annex E

Qualification database version 13.3

Missing superclass II codes for HE level qualifications

1. Version 13.3 of the Qualification Database contained, in error, 23 HE qualifications without superclass II codes. The following superclass II codes were added to the relevant qualifications on update 1 to version 13.3 of the database, which was released in mid December 2000. See FEFC support news item 123 for further details.

Qualification Code	Qualification Title	SUPERCL1
00240471	HNC in Art & Design (Interior Design & Architectural Studies)	TJ.1
00240472	HND in Social Sciences	ED.
00240483	HND in Coastal Conservation (With Marine Biology)	RH.3212
00240485	HNC in Computing and Information Systems	CA.
00240486	HND in Art & Design (Interior Design & Architectural Studies)	TJ.1
00240487	HND in Employment Relations	AJ.3
00240561	HND in Design Technology (Multimedia, Broadcast, Graphics and Animation)	VF.13
00240597	HNC in 3D Design Craft	JC.4
00240602	HND in Animal Management	SH.1
00240603	HNC in Animal Management	SH.1
00240604	HND in Land Management	TC.612
00240605	HND in Horticulture (Landscape Design and Construction)	SA.2
00240606	HND in Horticulture (Urban Forestry)	SA.2
00240622	HND in Dance	LB.1
E0004154	HNC in 3D Design Craft	JC.4
E0004164	HNC in Animal Management	SH.1
E0004208	HNC in Computing and Information Systems	CA.
E0004389	HND in Animal Management	SH.1
E0004438	HND in Coastal Conservation (With Marine Biology)	RH.3212
E0004460	HND in Dance	LB.1
E0004477	HND in Employment Relations	AJ.3
E0004531	HND in Land Management	TC.612
E0004621	HND in Social Sciences	ED.