

**THE
FURTHER
EDUCATION
FUNDING
COUNCIL**

**Individualised
Student Record
(ISR) 1999-2000**

Executive Summary

**Supplement to
Circular 99/21**

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Individualised Student Record (ISR) 1999-2000 Executive Summary

Introduction

1 The *Institution Support Manual 1999-2000* which has been sent to all colleges and external institutions explains how to return the individualised student record (ISR). This executive summary gives an overview of the ISR.

2 This summary refers to the 1999-2000 teaching year and the *Institution Support Manual 1999-2000*.

3 In this summary and the accompanying manual, the term 'colleges' embraces all colleges incorporated under sections 15 and 16 of the *Further and Higher Education Act 1992* (the Act), voluntary-aided sixth form colleges and specialist designated colleges designated under section 28 of the Act. The term 'external institutions' refers to institutions maintained by local authorities and others providing further education (FE) courses covered by schedule 2 of the Act, under sponsorship arrangements set out in section 6(5) of the Act. The term 'institutions' refers to colleges, external institutions and specialist designated colleges. Where guidance does not apply to all institutions, this is specified.

Data required

4 The Further Education Funding Council (the Council) requires data about students to be able to:

- ensure that the Council can account for the funds allocated to it by demonstrating the outcomes flowing from its distribution of those funds
- analyse trends for the sector as a whole and, in particular, enable an assessment of the adequacy and sufficiency of Council-funded FE to be undertaken
- comply with requests from the secretary of state for education, for information and advice about the sector
- calculate performance indicators and benchmarking data
- aid policy development
- publish information about the sector.

5 Data will also be used to meet many of the requirements of the Department for Education and Employment (DfEE) for statistical data and performance indicators and those of the Higher Education Funding Council for England (HEFCE) relating to higher education (HE) students in FE colleges.

Audit

6 Each institution will be asked to instruct its external auditors to audit its 1999-2000 ISR data. The purpose of the audit will be to demonstrate that each institution's claim for funding units, as set out in the FE sector's funding methodology, is supported by comprehensive, reliable data on student enrolments, on-programme activities and achievements, as recorded in the institution's ISR data.

7 The definitions and concepts underlying the ISR are consistent with the FE sector's funding methodology.

Confidentiality and release guidelines for data

8 The Council's confidentiality and release guidelines for data are attached at annex D to the *Institution Support Manual 1999-2000*.

9 The guidelines follow established good practice within the government statistical service and have been developed with input from institutions and the DfEE.

10 The guidelines have been revised for 1999-2000 to include the following key changes:

- data may be shared with researchers, subject to strict conditions requiring the researcher not to identify individuals in any publications, nor to disclose the data to third parties
- the Council will match named student data with data from other organisations, where there are reasonable grounds for believing that fraud has occurred.

11 Institutions are asked to amend their student enrolment forms for 1999-2000, or as soon as possible thereafter, to include a declaration based on the form of words in annex E to the *Institution Support Manual 1999-2000*. They are also asked to take reasonable steps to draw to the notice of students the policy statement in annex F to the *Institution Support Manual 1999-2000*. The advice

that students may obtain a copy of the data held by the Council about them is not new, but publicising the policy statement may generate enquiries.

Timetable

12 In each teaching year, an initial data collection takes place with a reference date of 1 November. An all-year collection of data with a reference date of 31 July includes any changes from the original data concerning new enrolments, withdrawals and information about learning programmes completed. The final collection, with a reference date of 31 December, collects qualification outcomes, grades and destinations in respect of students in the previous teaching year as known at this reference date.

13 At the final ISR collection (ISR19), data in all other fields should be completed to reflect the position at the second ISR collection (ISR17). Please note the completion status may change at the final collection (ISR19) in light of a student not returning for a second or subsequent year. Institutions have the option of returning the destination, outcome and grade data in an earlier collection if they wish. This

cycle is repeated for each teaching year with new records for all students.

1999-2000

14 The ISR timetable for 1999-2000 is described in table 1. For the first ISR collection (ISR15), all institutions are requested to return student and qualification aim data sets. Qualification on entry data sets are optional for all students for the first collection only.

15 For the second ISR collection (ISR17), all institutions are requested to return student, qualification aim and qualification on entry data sets.

16 The final ISR collection (ISR19) from all institutions should consist of a copy of the records sent at the second collection (ISR17) with student destinations, qualification outcomes and grades added, as known at the 31 December reference date. ISR19 should also contain amendments to completion status and achievement for students who at ISR17 were expected to return for the 2000-01 teaching year and who subsequently did not do so.

Table 1. Timetable for the collection of ISR records in respect of 1999-2000

<i>Reference date and number</i>	<i>Information requested</i>
1 November 1999 (ISR15)	Valid student and qualification aim data sets Valid qualification on entry data sets may be deferred to ISR17 Returned by 6 December 1999
31 July 2000 (ISR17)	Valid student and qualification aim data sets Valid qualification on entry data sets for students for whom a full record is returned Returned by 4 September 2000
31 December 2000 (ISR19)	The same valid data sets as returned for ISR17 with destination, qualification outcome and grade data as appropriate, as known at 31 December 2000. Completion status and achievement should also be changed for students who were expected to return in 2000-01 and who subsequently did not do so. Returned by 5 February 2001

Coverage of the ISR

Institution coverage

17 The ISR covers all students enrolled at colleges in the FE sector, including specialist designated colleges. This includes HE students at FE colleges. The ISR also covers all students enrolled at external institutions on provision funded by the Council.

18 HE institutions will be requested to make returns to the Higher Education Statistics Agency (HESA) on behalf of the HEFCE. This will include FE students enrolled at HE institutions. The funding councils will exchange data, thus avoiding duplicate requests for information from institutions.

Student coverage – colleges

19 ISR data should be returned for all students enrolled at the college in 1999-2000 except those:

- whose programme begins on or after 1 August 1999 and who withdraw without completing the programme before 1 November 1999
- who are studying on provision delivered by the college on behalf of another institution, that is franchised-in to the college
- who attend more than one institution to study for a single qualification aim and are enrolled at one of the other institutions and not this college
- who are registered at the college for examinations but do not, and have not, received tuition in respect of those qualification aims
- who are detained in prison or in a secure hospital.

Student coverage – external institutions

20 ISR data should be returned for all students enrolled at the external institution in 1999-2000 on provision funded by the Council except those:

- whose programme begins on or after 1 August 1999 and who withdraw without completing the programme before 1 November 1999

- who are studying on provision delivered by the institution on behalf of another institution, that is franchised-in to the external institution
- who attend more than one institution to study for a single qualification aim and are enrolled at one of the other institutions and not this external institution
- who are registered at the external institution for examinations but do not, and have not, received tuition in respect of those qualification aims
- who are detained in prison or in a secure hospital.

Institutions should check to ensure that the same student is not enrolled more than once at the institution, since this would lead to a multiple claim for entry units for the student. Such checks should cover all sites on which the institution operates.

Types of records

21 The ISR consists of full records and aggregate returns. Reduced records may not be used from 1999-2000. Full ISR data records should be returned for all student enrolments where provision is funded either wholly or partly by the Council under section 2 or section 3 of the Act. This includes all full-time students aged 16–18 and all part-time students enrolled on courses covered by schedule 2 of the Act. Full-time students of compulsory school age should also be included.

22 Full records are also required for students eligible to benefit from HEFCE funding whether or not such funding is claimed. This would include students studying higher national certificate (HNC) and higher national diploma (HND) qualifications, as responsibility for the funding of HNCs and HNDs in FE colleges and the associated funding has transferred to the HEFCE.

23 As set out in table 2, colleges are requested to provide full records or an aggregate return for students enrolled on provision which is not funded by the Council or the HEFCE and who are not eligible for HEFCE funding. For students with specified qualification aims which are externally validated, the requests for data are as follows:

- where the student is studying for 60 or more guided learning hours a year, the full ISR record is requested
- where the student is studying for fewer than 60 guided learning hours a year (equivalent guided learning hours to tariff load band 1 and below), it is acceptable to record the student's programme on the aggregate return.

24 For students with unspecified or non-externally validated qualification aims who are not benefiting from Council or HEFCE funding and are not eligible for HEFCE funding, the request for data is as follows:

- where the student is studying 120 or more guided learning hours a year, a full ISR record is requested
- where the student is studying for fewer than 120 guided learning hours a year, it is acceptable to record the student's programme on the aggregate return.

25 Colleges which wish to provide full records rather than an aggregate return, have the choice to do so. Colleges are, however, requested to be consistent in their use of the aggregate return. It is not permissible to provide a mixture of aggregate data and individualised records for students who may be included on the aggregate return.

26 Colleges are reminded that from 2000-01 the Council will no longer request aggregate returns. From that time, colleges will be asked to return full records for all students.

27 External institutions are requested to return ISR records only for students enrolled on provision funded by the Council. For this reason, all ISR records returned by external institutions should be full records. External institutions should not return aggregate returns.

Table 2. Coverage of the ISR for colleges

All students, including those students studying on provision franchised-out, funded wholly or partly by the Council and those students funded by the HEFCE (including students studying HNCs or HNDs) or eligible for HEFCE funding	Students, including those studying on provision franchised-out, whose provision is not funded either wholly or partly by the Council and who are not funded by the HEFCE and who are not eligible for HEFCE funding				Students studying on provision franchised-in
	Students who are studying to obtain an externally-validated qualification*		Other students		
	60 or more guided learning hours a year	Fewer than 60 guided learning hours a year	120 or more guided learning hours a year	Fewer than 120 guided learning hours a year	
Full record	Full record	Aggregate return (1)	Full record	Aggregate return (1)	ISRFRANIN (2)

* *the Council's qualifications database is intended to include a separate entry for each externally validated qualification; if in doubt contact the funding and statistics support desk*

(1) *Form: ISRAGG3, see annex G to the Institution Support Manual 1999-2000 for details*

(2) *Form: ISRFRANIN, see annex G to the Institution Support Manual 1999-2000 for details*

Qualification Coverage

28 Institutions are requested to return information about all the qualifications on which a student is enrolled to study.

Qualifications database

29 The Council has created a database of qualifications relevant to the FE sector in England and Wales, to assist with completion of the ISR. The database has been made available in computer-readable format to all institutions where provision is funded by the Council and new versions are issued regularly. It is intended that a new version of the database will be issued three times for each teaching year, in February, July and November.

30 Each qualification on the database has been assigned a reference code to be used in the qualification aim and qualification on entry data sets of the ISR. The database holds the qualification-specific information required by the Council and is a vital tool for institutions returning ISR data. The first version of the database, version 12.1 containing 1999-2000 tariff information, was issued with full guidance on its use to all institutions in April 1999. A second version, version 12.2 containing more up to date tariff information for 1999-2000, will be issued in July 1999. A final version of the tariff for 1999-2000 will be issued on version 13.3 of the database in November 2000.

31 Institutions may request qualification codes for qualifications which are not included in the qualification database at any time during the year. Institutions which delay requesting codes for qualifications until after the year is complete, that is until after July 2000, may find they are delayed in making returns because the Council's software may not recognise these codes. Full details and forms for making requests for qualification codes are included at annex G to the *Institution Support Manual 1999-2000*.

Qualification on entry data

32 Institutions are requested to return qualifications on entry data with respect to a student's entry on to a programme of study.

33 Qualification on entry data sets are requested as follows:

- a. for 16–18 year-old students for whom a full ISR record is requested: complete qualification on entry data for all qualifications on entry;
- b. for all other students for whom a full ISR record is requested: full qualification on entry data for qualifications achieved in the five years prior to the start of the programme and in the same programme area as the current programme of study or in basic education.

The full ISR record is described in paragraphs 51 to 58 of this summary.

34 In addition, full details of qualifications on entry are requested where these qualifications, when combined with the qualification aims the student is undertaking, allow the institution to claim the enhanced achievement funding units associated with contributions to the national training and education targets (NTETs), and the institution has done so.

35 Institutions are given the option to return full, partial or no qualification on entry data for ISR15 (1 November 1999; 1999-2000).

36 Institutions are requested to provide qualification on entry data as described in paragraphs 32 and 33 with respect to 1999-2000 in the second ISR collection (ISR17) and the final ISR collection (ISR19).

37 Field SHE01, highest qualification on entry, should be completed for all HE students.

38 A field has been included in the student data set for institutions to confirm that full qualification on entry data are being returned. Institutions' auditors will be asked to carry out sample checks on the accuracy of this information.

Franchising – colleges

39 Colleges may provide teaching and learning to the students they enrol either directly or through a franchising arrangement with an outside organisation (franchised-out). Students who are enrolled at the college and some or all of their provision is franchised-out, should be included in the college's ISR returns. In previous years this has been described as outward collaborative provision (OCP).

40 Colleges are requested to return a franchising partners register with each return. The register is in the form of a spreadsheet provided by the Council. A sample register is included in annex G to the *Institution Support Manual 1999-2000*. The Council issued the register separately in October 1998. At that time it was known as the outward collaborative provision partners register.

41 Students who are not enrolled at the college but who are studying on provision franchised-in to the college, for some or all of their programme of study, should be recorded on the aggregate return for students studying on provision franchised-in to the college using form ISRFANIN (see annex G to the *Institution Support Manual 1999-2000* for details). Colleges should not return individualised records for them. In previous years form ISRFANIN was known as form ISRCOLLPIN.

42 Link students should be treated like students studying on provision franchised-in.

Franchising – external institutions

43 Students who are enrolled at an external institution, on provision funded by the Council, and some or all of their provision is franchised-out, should be included in the external institution's ISR returns. In previous years this has been described as outward collaborative provision (OCP).

44 Institutions which have franchising partners are requested to return a franchising partners register with each return. The register is in the form of a spreadsheet provided by the Council. A sample register is included in annex G to the *Institution Support Manual 1999-2000*. The Council issued the register separately in October 1998. At that time it was known as the outward collaborative provision partners register.

45 Students who are not enrolled at the external institution but are studying on provision delivered by the external institution on behalf of another institution, that is franchised-in to the institution for some or all of their programme of study, should not be included in the ISR returns.

Coverage of the three annual ISR returns

46 The first ISR collection (ISR15) should include all students undertaking a programme of study on 1 November 1999, all students whose programme began on or after 1 August 1999 and was completed

before 1 November 1999 and all students whose programme commenced prior to 1 August 1999 and which continued after 31 July 1999. Records should not be returned for students whose programme begins on or after 1 August 1999 and who withdraw without completing the programme before 1 November 1999.

47 Those students who are undertaking a programme of study at the institution during the 1999-2000 teaching year and whose programme begins after the 1 November 1999 reference date, and on or before 31 July 2000 should be included in the second ISR collection (ISR17), in addition to those students described in paragraph 46. In this way the ISR will provide a full picture of the teaching year. The final ISR collection (ISR19), should contain records for all students for whom a record was returned in the second collection (ISR17), updated to record their qualification outcomes and grades and their destinations as known at 31 December 2000. At ISR19, data in all other fields should be completed to reflect the position at 31 July 2000. Consequently, completion status and achievement should be changed at ISR19 for students who at the second collection (ISR17) were expected to return in 2000-01 but who did not do so.

48 The Council would expect much of the data returned for a teaching year to remain consistent between returns. Some changes will occur between the first and second ISR collections (ISR15 and 17) and these will be acceptable provided that the scale of changes is not excessive compared with other institutions and that the data collected at the second collection (ISR17) are valid. Changes between the second and final ISR collections (ISR17 and ISR19) should be minimal. If the second collection (ISR17) was incorrect, amendments can be made in the final collection (ISR19). However, if this involves the creation or deletion of student data sets then the institution is requested to explain this in an accompanying commentary to avoid unnecessary queries to the institution.

ISR reconciliation

49 The ISR is the auditable basis for calculating funding units. In order to calculate the funding units generated by a student it is necessary to have complete and unambiguous information about each student's programme of study at an institution. The reconciliation process is designed to ensure that

each student is recorded consistently in successive ISR returns in respect of a single teaching year. In addition, the reconciliation is designed to ensure that where a student studies in two or more successive teaching years then the recording between the two years is also consistent.

50 Guidance on the reconciliation lists required to support the 1999-2000 ISR is included in the section 'Reconciliation Lists 1999-2000' of the *Institution Support Manual 1999-2000* and the technical format of the reconciliation list is described at annex J to the *Institution Support Manual 1999-2000*.

Structure of the ISR

The full record

51 The full ISR consists of the following three data sets (related groups of data fields):

- a student data set
- a qualification aim data set
- a qualification on entry data set.

52 The full ISR is made up of 71 fields which fall into the three data sets as laid out in table 3. Seventy-six fields are shown, but five are not currently used. Not all fields are compulsory for all students and further details can be found in the sections 'Student Data Set Fields', 'Qualification Aim Data Set Fields' and 'Qualification on Entry Data Set Fields' of the *Institution Support Manual 1999-2000*.

53 The module delivery data set has been withdrawn from 1999-2000 and instead a field has been included to record the accreditation of prior learning (APL) hours in the qualification aim data set.

54 The relationship between data sets is shown in figure 1 and is explained in more detail in the following sections.

Student data set

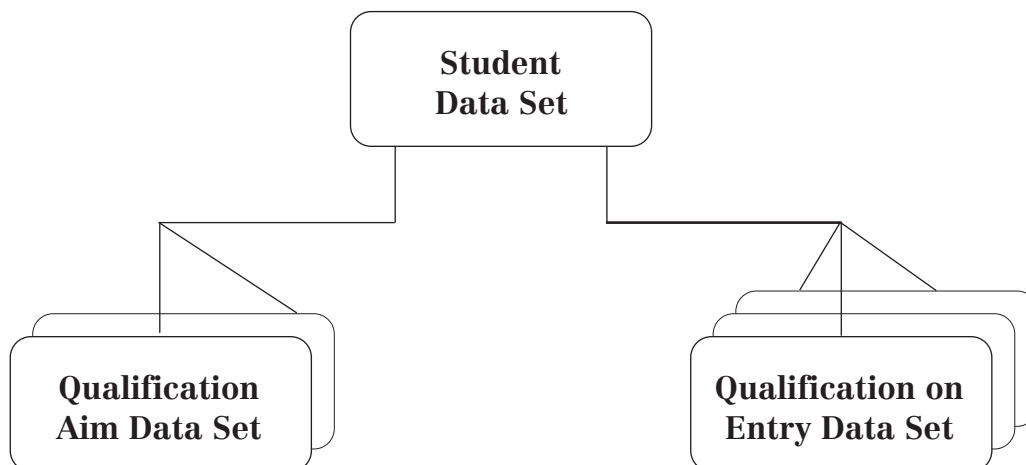
55 There is only one student data set for each student enrolled at the institution. The student data set contains basic information such as the name, date of birth, sex and ethnicity.

56 Each student data set has associated with it one or more qualification aim data sets and from zero to many qualifications on entry data sets as shown in figure 1. These other data sets are linked to the student data set. That is, the student data set 'owns' these other data sets.

Qualification aim data set

57 There is one qualification aim data set for each qualification for which a student is studying. For example, where a student is studying for three GCE A levels there would be three qualification aim data sets. A qualification aim data set contains qualification-related information such as start date, end date, fee information and outcome. The information in a qualification aim data set relates specifically to the student data set which owns the qualification aim data set.

Figure 1. Individualised student record structure



Qualification on entry data set

58 There is one qualification on entry data set for each qualification that a student has gained before enrolment to a programme of study. Each qualification on entry data set is owned by only one student data set. The qualification on entry data set does not own any other data sets.

Aggregate returns

59 External institutions are not required to complete the aggregate return.

ISRAGG3

60 The aggregate return form for students on provision not funded by the Council or the HEFCE and not eligible for HEFCE funding is attached at annex G to the *Institution Support Manual 1999-2000*. The aggregate return form, form ISRAGG3, should be returned for students for whom aggregate data is requested (see table 1).

61 From the first data collection in respect of the 2000-01 teaching year, the coverage of the ISR aggregate return will change. The option to return the form ISRAGG3 will be withdrawn. Colleges will be asked to return full records for all students. The extent of qualification on entry data will be reviewed for 2000-01 in the light of the planned withdrawal of the aggregate return.

ISRFRANIN

62 Aggregate return form ISRFRANIN should be returned for students not enrolled at the college but who are studying on provision franchised-in to the college. The form is attached at annex G to the *Institution Support Manual 1999-2000*. A student studying on provision delivered by the college on behalf of another institution, that is franchised-in to the college, for part of their programme, but enrolled directly at the college for another part of their programme, would have an entry on the ISRFRANIN form for the former part and an ISR record for the latter part of the programme.

Treatment of optional fields

63 Where a value is not required in a field for a student and there is no appropriate null value, the field should be returned as below:

Field type	Complete
numeric	zero fill
alphanumeric	space fill
alphabetic	space fill
date	zero fill.

Fields for HE students in the full ISR

64 Fourteen fields in the ISR are required for HE students only. For the purpose of the ISR 1999-2000 returns, HE students are defined as students studying on a programme eligible for HEFCE funding and/or studying for a qualification aim which is indicated as HE level on the Council's qualifications database. The 14 fields are included within the student and qualification aim data sets and further details can be found in the sections '*Student Data Set Fields*' and '*Qualification Aim Data Set Fields*' of the *Institution Support Manual 1999-2000*. The specific fields are as follows:

- highest qualification on entry (SHE01)
- A/AS level score (SHE02)
- nationality (SHE03)
- Universities and Colleges Admissions Service (UCAS) applicant number (SHE04)
- new entrant to HE (SHE05)
- term time accommodation (SHE06)
- reason for leaving (SHE07)
- type of programme year (SHE09)
- mode applicable to Funding Council Early Statistics/HESES (SHE10)
- level applicable to Funding Council HESES (SHE11)
- completion of year of programme of study (SHE12)
- student FTE (SHE13)
- major source of tuition fees (QHE01)
- year of programme (QHE02).

The fields SHE01–13 are within the student data set, and fields QHE01 and QHE02 are within the qualification aim data set.

Table 3. ISR Data Fields

STUDENT DATA SET

<i>Field Number</i>	<i>Field Name</i>
S01	student data set reference
S02	student surname/family name
S03	student initials
S04	date of birth
S05	sex
S06	home postcode
S07	country of domicile
S08	ethnicity
S09	learning difficulties and/or disabilities
S10	additional support band
S11	additional support assessment
S12	destination
†S13	
S14A	annual fees indicator
S14B	amount of tuition fees received or expected for the student
S15	reason for partial or full non-payment of tuition fees
S16	major source of tuition fees
S17	institution-specified data 1
S18	institution-specified data 2
S19	GCE/GCSE boards' reference
S20	widening participation factor
S21	widening participation category
S22	status of qualification on entry data
*SHE01	highest qualification on entry
*SHE02	A/AS level score
*SHE03	nationality
*SHE04	UCAS applicant number
*SHE05	new entrant to HE
*SHE06	term time accommodation
*SHE07	reason for leaving
†SHE08	
*SHE09	type of programme year
*SHE10	mode applicable to funding council early statistics/HESES
*SHE11	level applicable to funding council HESES
*SHE12	completion of year of programme of study
*SHE13	student FTE

* *HE students only*

† *field not used*

Table 3. ISR Data Fields (continued)

QUALIFICATION AIM DATA SET

<i>Field Number</i>	<i>Field Name</i>
Q01	qualification aim data set reference
Q02	qualification reference code
Q03	mode of attendance
†Q04	
Q05	type of tuition fees
†Q06	
Q07A	annual fees indicator
Q07B	amount of tuition fees received or expected for the student
Q08	reason for partial or full non-payment of tuition fees
Q09	major source of tuition fees
Q10	Council or HEFCE funding
Q11	major source of funding other than tuition fees and Council/HEFCE funding
Q12	minor source of funding other than tuition fees and Council/HEFCE funding
Q13	franchising-out arrangements
†Q14	
Q15	guided learning hours
Q16	start date
Q17	expected end date
Q18	actual end date
Q19	completion status
Q20	outcome
Q21	grade
Q22	resit
Q23	childcare
Q24	institution-specified data 1
Q25	institution-specified data 2
Q26	NVQ delivery arrangement
Q27	qualification delivery period
Q28	expected end date at 1 February
Q29	government initiative
Q30	franchising partner
Q31	implied rate of Council partial funding for ESF in Q11
Q32	implied rate of Council partial funding for ESF in Q12
Q33	APL hours
*QHE01	major source of tuition fees
*QHE02	year of programme
E01	Qualification on entry data set reference
E02	Qualification on entry reference code
E03	Grade
E04	Date awarded

* *HE students only*

† *field not used*

Validation Procedures

65 Before returning ISR data to the Council for each ISR collection, institutions are requested to use the Council's ISR validation software. All institutions will receive a copy of the Council's ISR validation software with full instructions prior to the first ISR collection for 1999-2000. The ISR validation software implements the ISR validation rules which will form annex I to the *Institution Support Manual 1999-2000*. The rules for 1999-2000 will be published shortly.

66 The Council's ISR validation software for 1999-2000 will no longer have the option to enter student details manually. A small number of external institutions used this option to produce their ISR returns. This will no longer be possible and another method of producing ISR returns should be sought.

