STAFF INDIVIDUALISED RECORD (SIR)

COLLEGE SUPPORT MANUAL

1999 - 2000

April 2000

STAFF INDIVIDUALISED RECORD (SIR) COLLEGE SUPPORT MANUAL

CONTENTS

Note: Changes since 1998-99 are indicated by underlining.

A INTRODUCTION

The Further Education Funding Council

1 The Further Education Funding Council (the Council), which was established in July 1992, is responsible for allocating the funds put at its disposal by Parliament to those colleges in England which comprise the further education (FE) sector, and to other institutions providing further education courses which are prescribed in schedule 2 of the *Further and Higher Education Act 1992* (the Act).

The Need for Data

2 The Council requires data about staff to be able to:

- aid policy development

- publish information about the sector

- analyse trends for the sector as a whole

- publish management statistics

- comply with requests from the secretary of state for education for information and advice about the sector

- ensure that the Council can account for the funds allocated to it by demonstrating the outcomes flowing from its distribution of those funds.

3 Data are also used to meet the requirements of the Department for Education and Employment (DfEE) for statistical data.

The Staff Individualised Record (SIR)

4 The Council's staff individualised record (SIR) collects data about staff employed by colleges in the FE sector. The SIR does not apply to higher education (HE) institutions which receive Council funds, or external institutions.

5 Throughout this manual the term 'colleges' embraces all colleges incorporated under sections 15 and 16 of the Act and voluntary-aided sixth form colleges and other institutions designated under section 28 of the Act.

The SIR College Support Manual

6   This manual contains the final specification of staff data to be returned by colleges to the Council for the 1999-2000 teaching year. The manual supports the July 2000 SIR return. Detailed information about the data requested, and the structure and format is included.

7   Definition of terms used within this college support manual can be found at annex A. A glossary of abbreviations can be found at annex B.

B   GUIDANCE AND SUPPORT

Guidance and Support

1   Further guidance and support is available by faxing the Council's research and statistics support desk on 024 7686 3249. Faxes should be marked 'staff individualised record 1999-2000'. The support desk can be contacted by telephone on 024 7686 3224. All faxes and telephone calls which are not answered immediately are logged on the support desk database and assigned to the appropriate member of staff.

2   The funding and statistics support desk can also be contacted by email at the following address **fundstat.desk@fefc.ac.uk.** A form is available on the Council's web site at http://www.fefc.ac.uk, which should be used to address queries to the support desk via email.

3   The SIR 1999-2000 institution support manual is available as an MS-Word document on the Council's web site.

4   An electronic version of this manual is also available in rich text format (*.rtf) on request. If you would like a copy please fax or email the funding and statistics support desk.

C   COVERAGE OF THE SIR

College Coverage

1   The 1999-2000 collection of the SIR covers all colleges in the FE sector.

Staff Coverage

2   Data are required for:

- all staff employed by the college for a total of 15 hours or more over a teaching year, including administrative and support staff

- staff supplied by an employment agency to provide teaching and promote learning

- self employed staff who provide teaching and promote learning for a total of 15 hours or more over a teaching year.

3   Where a college has a separate company, staff data are required if the accounts of that company are consolidated within the accounts of the college.

4   Data are not required for staff who are:

- employed for a total of less than 15 hours over a teaching year

- supplied by an employment agency but do not provide teaching and promote learning

- self-employed and do not provide teaching and promote learning.

5   Full records are requested for staff who work for 25% or more of the contracted hours for a full-time post with equivalent duties as defined by the college.

6   For staff who, over a teaching year, work for a total of 15 hours or more but less than 25% of the contracted hours for a full-time post with equivalent duties as defined by the college, the college may supply data in the form of full or reduced individualised records or an aggregate return. For other staff a full record should be returned. The coverage is summarised below.

Category of staff	Type of return
employed for less than 15 hours in a year	no information required
employed for 15 hours or more but less than 25% of full-time	either: full records or reduced records including a combination of both full and reduced records or an aggregate return
employed for 25% or more of full-time	full records

The contents of the full and reduced records are set out in section G. The aggregate return (form SIRAGG1) is described in annex C.

7   Where staff have more than one contract, information may be returned in one of two forms:

- one record which reflects all of the contracts currently held

- multiple records, one for each of the contracts currently held.

In either case the information provided should reflect the totality of work undertaken for the college by the member of staff. That is if in total across all contracts a member of staff works for 25% or more of full-time then the records contract must be full records.

For any member of staff with multiple contracts the records for each contract must be the same, all full records or all reduced records.

D   TIMETABLE

General Collection Timetable

1   There is one collection of SIR data each year, with a reference date of 31 July. The closing date for returning SIR data is normally the first Monday in September.

2   The specification of the SIR for 1999-2000 contains changes to that for 1998-99. To give colleges more time to prepare their data in the new format and the Council time to test the amended validation software the return date is for 1999-2000 only, changed to 23 October 2000.

SIR Timetable for 1999-2000

3   The timetable for collection of staff data for 1999-2000 is shown below:

31 July 2000   data collection reference date

23 October 2000   return date for July 2000 staff data.

E   DATA COLLECTION ARRANGEMENTS

1   The Council will maintain a computerised database of individualised records. The most efficient form of data transmission of records for colleges and the Council will be in computer-readable format. Colleges are asked to supply their data in this format.

2   Staff data should be supplied to the Council on microcomputer disks or via email. General procedures for the transmission of data on microcomputer disks and by email are set out below.

3   Further advice about the return of data and acceptable data structures and formats can be obtained from the Council's Coventry office by contacting the research and statistics support desk.

4   The option to supply data on paper was withdrawn from 1996-97 onwards.

Microcomputer Disks

5   The Council can accept 3.5" (1.44 megabyte) DOS formatted disks. Disks should be newly formatted before the SIR data are added. The file should be given an eight- character file name followed by a three-character extension. The file name format should be:

        FAAAAABB.CCC

        where:

        F   is constant except for duplicate transmissions

        AAAAA   is the Council institution reference code

        BB   is the serial number of the disk starting at 01 (right justified, zero filled to the left eg 01, 02, 03)

        CCC   is the survey reference number. The 1999-2000 reference number is shown below:

                July 2000   008

6   If duplicate data files are supplied due to validation errors, these should have the 'F' of the file name replaced by 'D' and should be on a separate disk.

7   The data on the disk should be in ASCII character format using only characters from the set consisting of upper case alphabetic characters, the digits 0 - 9 and space. Records should be fixed length (90 characters) with no field separators. Each record should have a suitable terminator.

8   The SIR return should consist of one disk, which contains one file only, named as described in paragraph 5. The disk should have its own header and footer record as defined below. These should have the same fixed size and terminators as the data records.

Header Record

9   The header record has the following reference:

AAAAABBBBBBBBBBBB00CCCCDDMMYYYY[..............]

where:

AAAAA	is the five-character Council institution reference code
BBBBBBBBBBBB	is the 12-digit staff reference code, always 12 spaces for the header record
00	are the record identifier characters (in this case 00 for the header record)
CCCC	is the year of the survey (eg, 1999-2000 is 9900)
DDMMYYYY	is the date of preparation of the disk (date format) eg, 9 August 2000 would be entered as 09082000
	characters 32 to <u>90</u> are spaces

Footer Record

10   The footer record has the following reference

AAAAABBBBBBBBBBBB99CCCCDDMMYYYYEEEEEE[..............]

where:

AAAAA	is the five-character Council institution reference code
BBBBBBBBBBBB	is the 12-digit staff reference code, always ZZZZZZZZZZZZ For the footer record
99	are the record identifier characters (in this case 99 for the footer record)
CCCC	is the year of the survey (eg, 1999-2000 is 9900)

DDMMYYYY   is the date of preparation of the file (date format) eg, 9 August 2000 would be entered as 09082000

EEEEE   the number of records in the return including header and footer records (right justified, zero fill to left) eg, 472 records would be entered as 000472

characters 38 to <u>90</u> are spaces.

11   The disk should have a written label with the college name and Council institution reference code. The disk, together with any aggregate returns, should be sent to the Council with a completed copy of the form SIRDISK, attached at annex D to this manual.

12   SIR returns which do not meet the specification set out in this section will not be accepted. Where one is received a further return in the correct format will be requested.

Electronic Data Transfer

13   Institutions now have the option to send SIR data electronically, via email. Returns by email should be sent to **collect@fefc.ac.uk**. Institutions sending data electronically should complete electronic copies of the forms SIRDISK, SIRAGG1, SIRETH1 and SIRFFT1. These are available on the Council website at **http://www.fefc.ac.uk.**

Aggregate Returns

14   Guidance for completion of aggregate returns of ethnicity data and data for staff who work less than 25% of full-time is at annexes E and C.

Returns

15   Completed returns should consist of:

- a computer disk containing valid SIR data

- a completed copy of form SIRDISK (page 56)

- a completed copy of form SIRFFT1 (page 65)

- completed copies of forms SIRAGG1 and SIRETH1 (pages 54 and 59), even if they represent a null return.

16   Returns should be sent to Data Collection Team, Research and Statistics, The Further Education Funding Council, Cheylesmore House, Quinton Road, Coventry, CV1 2WT, marking the envelope 'SIR 1999-2000'. For the July 2000 reference date they should arrive no later than 23 October 2000.

F   CONFIDENTIALITY AND RELEASE GUIDELINES FOR STAFF DATA

1   The Council's confidentiality and release guidelines for staff data are attached at annex F to this manual.

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

G   STRUCTURE OF THE SIR

1   The SIR is made up of 30 fields. For 1999-2000 the coverage for teaching staff differs from that of staff supporting teaching and learning and other support staff.

2   For the purposes of validation teaching staff are defined as those where the value in field 16 apportionment of work providing teaching and promoting learning is greater than 0.

3   The following section describes which fields should be returned.

Teaching staff

A   Fields which are compulsory for all records

01	Council institution reference code
02	Staff reference code
03	Multiple contract number
04	Sex
05	Date of birth
07	Teaching and FE qualification 1
08	Teaching and FE qualification 2
09	Teaching and FE qualification 3
10	Teaching and FE qualification 4
14	Terms of employment
15	Fraction of full-time
16	Apportionment of work 1
17	Apportionment of work 2
18	Apportionment of work 3
22	Date of appointment
24	Date of leaving
26	Qualified Teacher status
27	Programme area of highest qualification for teaching staff
28	Programme area of subject taught
29	Category of work for staff supporting teaching and promoting learning

B   Fields which are compulsory for full records only

06	Highest qualification
11	Training to teach students with learning difficulties and/or disabilities
12	Ethnicity (see also annex E)
13	Disability
20	Distribution of work between FE and HE 1
21	Distribution of work between FE and HE 2

C   <u>Fields which will be implemented in 2000-01 or are reserved for future use</u>

       19   Cost reporting category (reserved)
       23   Immediate prior employment (reserved)
       25   Destination on leaving (reserved)
       <u>30</u>   <u>Annual Pay (to be implemented in 2000-01)</u>

Staff supporting teaching or learning or providing other support

A   **Fields which are compulsory for all records**

       01   Council institution reference code
       02   Staff reference code
       03   Multiple contract number
       04   Sex
       05   Date of birth
       14   Terms of employment
       15   Fraction of full-time
       16   Apportionment of work 1
       17   Apportionment of work 2
       18   Apportionment of work 3
       22   Date of appointment
       24   Date of leaving

B   **Fields which are compulsory for full records only**

       06   Highest Qualification
       <u>07</u>   <u>Teaching and FE qualification 1</u>
       <u>08</u>   <u>Teaching and FE qualification 2</u>
       <u>09</u>   <u>Teaching and FE qualification 3</u>
       <u>10</u>   <u>Teaching and FE qualification 4</u>
       11   Training to teach students with learning difficulties and/or disabilities
       12   Ethnicity (see also annex E)
       13   Disability
       20   Distribution of work between FE and HE 1
       21   Distribution of work between FE and HE 2

C   <u>Fields which will be implemented in 2000-01 or are reserved for future use</u>

       19   Cost reporting category (reserved)
       23   Immediate prior employment (reserved)
       25   Destination on leaving (reserved)
       <u>29</u>   <u>Category of work for staff supporting teaching and other support staff (to be implemented in 2000-01)*</u>
       <u>30</u>   <u>Annual Pay (to be implemented in 2000-01)</u>

<u>* volunteer colleges are taking part in a pilot collection of these data in 1999-2000</u>

4   Section C contains information about for which staff full and reduced records are requested.

5   For reduced records, all fields which are not completed should be zero filled.

6   The introduction of field 19, cost reporting category, has been postponed until further notice.

7   Fields 23 and 25 may be introduced in the future after due consultation.

H VALIDATION PROCEDURES

1   The validation rules are attached as annex H to this manual.

I   INDIVIDUAL FIELD FORMAT AND CODING STRUCTURES

This section of the manual gives the detailed field format and coding structures.

Field number	Field name	Field length	Field position	Field type	Page number
01	Institution reference code	5	1 to 5	alphabetic	19
02	Staff reference code	12	6 to 17	alphanumeric	20
03	Multiple contract number	1	18	numeric	21
04	Sex	1	19	alphabetic	22
05	Date of birth	8	20 to 27	date	23
06	Highest qualification	1	28	numeric	24
07	Teaching and FE qualification 1	2	29 to 30	numeric	25
08	Teaching and FE qualification 2	2	31 to 32	numeric	25
09	Teaching and FE qualification 3	2	33 to 34	numeric	25
10	Teaching and FE qualification 4	2	35 to 36	numeric	25
11	Training to teach students with learning difficulties and / or disabilities	1	37	numeric	27
12	Ethnicity	2	38 to 39	numeric	28
13	Disability	1	40	numeric	29
14	Terms of employment	1	41	numeric	30
15	Fraction of full-time	3	42 to 44	numeric	31
16	Apportionment of work 1	3	45 to 47	numeric	32
17	Apportionment of work 2	3	48 to 50	numeric	32
18	Apportionment of work 3	3	51 to 53	numeric	32
19	Reserved	2	54 to 55	-	34
20	Distribution of work 1	3	56 to 58	numeric	35
21	Distribution of work 2	3	59 to 61	numeric	35
22	Date of appointment	8	62 to 69	date	36
23	Reserved	2	70 to 71	-	37
24	Date of leaving	8	72 to 79	date	38
25	Reserved	2	80 to 81	-	40
26	Qualified teacher status	1	82	numeric	41
27	Programme area of highest qualification for teaching staff	2	83 to 84	numeric	43
28	Programme area of main subject taught	2	85 to 86	numeric	45

Field number	Field name	Field length	Field position	Field type	Page number
29	Category of work for staff supporting teaching and other support staff	2	87 to 88	numeric	46
30	Annual pay*	2	89 to 90	numeric	49

*   This field in not required for 1999-2000. Colleges are asked to complete it for the first time in 2000-2001. In 1999-2000 Colleges should complete this field with two zeros.

Field number	Field name	Field length	Field position	Field type	Page number

STAFF INDIVIDUALISED RECORD (SIR)

Field number	01	**Field length and position**	5 1 to 5
Field name	Council institution reference code	**Field type**	alphabetic
Status	compulsory for all records	**Field justification**	not necessary

Valid entries   5 character alphabetic code

Description   the Council institution reference code of the college

Reason required   although individual records are anonymous, combined with the staff reference code and the multiple contract number, the Council institution reference code will ensure that each staff individualised record that is returned has a unique identifier. This will enable the Council to refer to particular records when raising data queries with colleges.

Notes   the Council institution reference code is used in all Council data collections. The majority of codes consist of the first five characters of the institution name.

Examples   Abingdon College   ABING
                        Yorkshire Coast College of FE & HE   YCCFE

STAFF INDIVIDUALISED RECORD (SIR)

Field number	02	**Field length and position**	12 6 to 17
Field name	Staff reference code	**Field type**	alphanumeric
Status	compulsory for all records	**Field justification**	right justify with leading spaces

Valid entries a code which is unique to the member of staff within the college

Description the staff reference code is assigned by the college at which the member of staff is currently employed. It can consist of up to 12 alphabetic characters or numeric digits or a combination of both. It is up to individual colleges to decide upon the format of their staff reference codes. They may be existing codes, modified codes or a completely new set of codes, established for this purpose.

Reason required although individual records are anonymous, combined with the Council institution reference code and multiple contract number, the staff reference code will ensure that each staff individualised record that is submitted will have a unique identifier. This will enable the Council to refer to particular records when raising data queries with colleges.

Notes staff reference codes should be retained by individual members of staff throughout their employment with the college.

STAFF INDIVIDUALISED RECORD (SIR)

Field number	03	**Field length and position**	1 18
Field name	Multiple contract number	**Field type**	numeric
Status	compulsory for all records	**Field justification**	not necessary

Valid entries   sequential number for each record held for a single member of staff, beginning with '1'

Description   an additional number to enable the Council to distinguish between multiple records held by a single member of staff

Reason required   more than one individualised record may contain information about a member of staff if more than one contract is held. The multiple contract number, combined with the Council institution reference code and the staff reference code will ensure that each record that is returned will have a unique identifier. This will enable the Council to refer to particular records when raising data queries with colleges

Notes   for a member of staff with one record only, the field should contain '1' the combination of Council institution reference code, staff reference code and the multiple contract number will uniquely identify each record

Example   a member of staff with three separate contracts may have three separate records. The Council institution reference code and staff reference code would be identical on each record, only the multiple contract number would identify the separate records, for example:

	Council institution reference code code	Staff reference number	Multiple contract
record 1	ABING	00000132MECH	1
record 2	ABING	00000132MECH	2
record 3	ABING	00000132MECH	3

STAFF INDIVIDUALISED RECORD (SIR)

Field number	04	**Field length and position**	1 19
Field name	Sex	**Field type**	alphabetic
Status	compulsory for all records	**Field justification**	not necessary

Valid entries   F   female
                          M   male

Description   the sex of the member of staff

Reason required   to describe the gender profile of the workforce within the sector.

Notes

STAFF INDIVIDUALISED RECORD (SIR)

Field number	05	**Field length and position**	8 20 to 27
Field name	Date of birth	**Field type**	date
Status	compulsory for all records	**Field justification**	date format

Valid entries   DDMMYYYY   date pattern

DD (day)   between 01 and 31
MM (month)   between 01 and 12
YYYY (year)   year

Description   the date of birth of the member of staff

Reason required   to describe the age profile of the workforce within the sector

Notes   while this information is requested for all staff, the Council recognises that colleges may have difficulty obtaining this information from some part-time staff. In these instances, if the member of staff has a fraction of full-time entry of less than 25% it is acceptable to zero fill this field. This option should be used only in exceptional circumstances.

Examples   21 August 1966   21081966

2 April 1953   02041953

29 December 1946   29121946

STAFF INDIVIDUALISED RECORD (SIR)

Field number	06	**Field length and position**	1 28
Field name	Highest qualification	**Field type**	numeric
Status	compulsory for full records only	**Field justification**	not necessary

Valid entries

1	Foundation - up to 4 GCSEs (D-G)	*
2	Intermediate - up to 4 GCSEs (A-C)	*
3	Advanced - up to 2 A levels/OND/ONC	*
4	Higher technical - up to HND/HNC	
5	Professional - first degree, further degree and above	
8	No formal qualifications	
9	Not known	
0	Field not required - reduced record	

Description the highest qualification level which has been attained by the member of staff

Reason required to provide summary information of the qualifications held by FE sector staff

Notes the examples shown are not exhaustive and it is left to the judgement of college staff to assign qualifications to the most appropriate qualification level.

Where it is unclear which of two qualification levels is appropriate, that with the higher code should be used the codes shown above equate approximately to NVQ levels 1 – 5 the Council's qualifications database includes notional NVQ level entries for the majority of qualifications for the purpose of establishing their contribution towards national targets. This information may be a helpful guide in establishing the level of vocational qualifications.

* the following qualifications have these equivalencies:-

CSE grade 1	= GCSE grade C or above
GCE 'O' level grades A - C	= GCSE grades A - C
GCE 'O' level grades D - F	= GCSE grades D - G
2 AS level passes	= 1 A level pass

STAFF INDIVIDUALISED RECORD (SIR)

Field number	07, 08, 09, 10	**Field length and position**	2 (occurs 4 times) 29 to 36
Field name	Teaching and FE qualification field 1 Teaching and FE qualification field 2 Teaching and FE qualification field 3 Teaching and FE qualification field 4	**Field type**	numeric
Status	compulsory for all teaching staff employed for 15 hours or more each year and for all other staff employed for 25% or more of full-time.	**Field justification**	right justify with leading zeros

Valid entries

teaching qualifications requested for all teaching staff and which may be optionally provided for staff supporting teaching and other support staff

01   BEd/BA/BSc with concurrent qualified teacher status
02   Certificate of Education
03   City and Guild G730
04   PGCE
05   TDLB

qualifications requested for staff supporting teaching and other support staff who work for 25% or more of full-time

51   qualification at NVQ level 3 related to the main role of staff supporting teaching and other support staff
52   professional qualification at NVQ level 4 or above related to the main role of staff supporting teaching and other support staff

other codes for all staff

97   no further qualification on the above list
98   none
99   not known

codes for reduced records

00   null value

Description	details of teaching and FE qualifications held by the member of staff

Reason required to provide information about the teacher training received by staff in the sector with particular reference to standards in education; and to monitor teaching qualifications and other qualifications of interest to FENTO

Notes up to four codes may be entered in whichever order the college thinks appropriate. A code must be entered in each field. Code 97 should only appear in fields 08, 09 and 10.

where a member of staff has both a teaching role and a supporting teaching or other support role details of both teaching and FE qualifications should be returned.   If a member of staff in this position holds four teaching qualifications these should take priority and it would not be necessary to return details of FE qualifications.

where a member of staff has multiple contracts the entries in fields 7,8,9 and 10 should be the same for each contract.

a BA or BSc should only be included as a teacher training qualification if it entitles the holder to qualified teacher status following a probationary period.

Examples

A member of teaching staff with a PGCE	04 97 97 97
A member of teaching staff with a BEd and a TDLB qualification	01 05 97 97
A member of staff supporting teaching with a professional qualification at NVQ level 4 or above related to that member of staff's main role	52 97 97 97
A member of staff who has both a teaching role and an other support role with a BEd and a qualification at NVQ level 3 related to the other support role.	01 51 97 97
A member of staff with no qualifications on the above list	98 97 97 97
A member of staff for which information is not known	99 97 97 97

STAFF INDIVIDUALISED RECORD (SIR)

Field number	11	**Field length and position**	1 37
Field name	Training to teach students with learning difficulties and / or disabilities	**Field type**	numeric
Status	compulsory for full records only	**Field justification**	not necessary

Valid entries
    1   training received
    2   training not received
    8   not applicable
    9   not known
    0   field not required - reduced record

Description   whether or not the member of staff has received training to teach students with learning difficulties and/or disabilities

Reason required   the Council has a responsibility for the funding of provision for students with learning difficulties and disabilities and is therefore interested in knowing the number of teaching and learning staff who have specialist training in this area

Notes   this field refers to any externally validated training which staff have received in addition to that received as part of any standard teacher training

    this information is only requested of staff who provide teaching and promote learning (ie, have an entry greater than zero in field 16). All other staff may be coded as 8 (not applicable).

STAFF INDIVIDUALISED RECORD (SIR)

Field number	12	**Field length and position**	2 38 to 39
Field name	Ethnicity	**Field type**	numeric
Status	compulsory for full records only	**Field justification**	right justify, zero fill to left

Valid entries

00   ethnicity information for all applicable members of staff is returned in summary form or field not required - reduced record
01   Bangladeshi
02   Black African
03   Black Caribbean
04   Black other
05   Chinese
06   Indian
07   Pakistani
08   White
09   Other - Asian
98   Other
99   Not known

Description   the ethnic origin of the member of staff, as defined by the member of staff

Reason required   to monitor the distribution of ethnic groups amongst sector staff and support equal opportunities policy

Notes   the categories above are consistent with those used by the Office of Population and Census Surveys for the 1991 population census and are recommended by the Commission for Racial Equality (CRE). This will allow comparative statistics to be calculated

due to the sensitive nature of this particular field, it is acceptable to provide a summary record of ethnicity data rather than include it within individual records. A summary record sheet and full instructions for completion are attached at annex E

if a summary record is completed it should include all applicable staff while this field within all full individual records should contain the code '00'.

STAFF INDIVIDUALISED RECORD (SIR)

Field number	13	**Field length and position**	1 40
Field name	Disability	**Field type**	numeric
Status	compulsory for full records only	**Field justification**	not necessary

Valid entries
1   yes
3   no
9   not known
0   field not required - reduced record

Description   whether the member of staff has a disability, as defined by the member of staff

Reason required   to monitor the distribution of disability amongst sector staff and support equal opportunities policy

Notes

STAFF INDIVIDUALISED RECORD (SIR)

Field number	14	**Field length and position**	1 41

Field name   Terms of employment   **Field type**   numeric

Status   compulsory for all records   **Field justification**   not necessary

Valid entries

1	permanent staff
2	fixed term staff
3	casual staff
4	teaching staff employed through an agency
5	self-employed teaching staff

Description   differentiates between staff on permanent contracts, staff on fixed-term contracts and casual staff

Reason required   to monitor the way that staff are employed

Notes   all staff with temporary contracts should be classified as fixed-term staff

supply teachers should be classified as casual staff. Unless they are employed via an agency or self-employed.

STAFF INDIVIDUALISED RECORD (SIR)

Field number	15	**Field length and position**	3 42 to 44
Field name	Fraction of full-time	**Field type**	numeric
Status	compulsory for all records	**Field justification**	right justify, zero fill to left
Valid entries	between 000 and 200		

Description the proportion of full-time hours that the member of staff is contracted to work over the year, expressed as a percentage of the standard full-time hours over a year for the particular type of employment as defined by the college

Reason required to monitor changes in the way that staff are employed within the sector

Notes colleges are asked to inform the Council annually of the number of contracted hours that they define as full-time for different types of staff (annex G)

full-time staff should be recorded as 100%. Full-time staff with an additional contract may be shown as greater than 100%

it is not necessary to include overtime in the calculation of the fraction of full-time unless it is a contractual arrangement

in certain circumstances it may be necessary to enter a fraction of full-time of zero. This is acceptable.

STAFF INDIVIDUALISED RECORD (SIR)

Field number	16, 17, 18	**Field length and position**	3 (occurs 3 times) 45 to 53
Field name	Apportionment of work; 1, 2, 3	**Field type**	numeric
Status	compulsory for all records	**Field justification**	right justify, zero fill to left

Valid entries

Field 16	Providing teaching and promoting learning	enter percentage between 000 and 100
Field 17	Supporting teaching and learning	enter percentage between 000 and 100
Field 18	Other support	enter percentage between 000 and 100

Description the proportion of time which the member of staff spends on each of the above categories of work, expressed as a percentage of their total time employed

Reason required to monitor changes in the way that staff are employed within the sector

Notes the three fields combined (16, 17 and 18) should be completed to the nearest 10% and must total 100%

Field 16 - providing teaching and promoting learning

time spent lecturing and teaching, preparing to lecture and teach, for example; preparing teaching material and marking and assessing students work

Field 17 - supporting teaching and learning

time spent directly supporting teaching and learning in an environment where students are situated, for example; undertaking care assistance, providing technical assistance in a workshop or laboratory, supervising YT students

Field 18 - other support

time spent on any other work which has not been included in fields 16 and 17. This work is support that is not related to individual students nor directly related to learning, for example; undertaking building maintenance, administration, cleaning or catering.

Examples staff employed who perform only one role should be apportioned wholly to one category of work, for example:

	fields		
Member of staff	**16**	**17**	**18**

lecturer whose only role is lecturing	100 000 000
teacher whose only role is teaching	100 000 000
careers officer whose only role is careers counselling	000 100 000
laboratory technician whose only role is supporting teaching staff within the laboratory	000 100 000
administrator whose only role is administration	000 000 100
cleaner whose only role is cleaning	000 000 100

In some instances staff may be employed to perform more than one role, for example:

- more than one contract is held, and these are for different roles, for example; administrative assistant with a part-time lecturing contract

- one contract is held, but the member of staff performs more than one role, for example; head of teaching department with a teaching role and also administrative and management roles.

Where staff perform more than one role it may be necessary to apportion their time between two or three of the categories of work. The roles of various types of staff and the apportionment of work within them will vary between colleges. The following examples are provided to give an indication of the type of entries which may be necessary. They are not intended to be exhaustive and it is left to the discretion of colleges to decide how to complete these fields to best represent the work performed by individual members of staff:

Member of staff	**fields**
	16 17 18
head of teaching department (teaching role, administrative role and resource management roles)	070 010 020
programme leaders (teaching role and curriculum management role)	090 010 000
senior tutors (teaching role and cross faculty role in respect of monitoring students)	080 020 000
receptionist (also assists with the training of NVQ students)	000 010 090
administrative assistant (with an additional teaching role)	020 000 080

STAFF INDIVIDUALISED RECORD (SIR)

Field number	19	**Field length and position**	2 54 to 55
Field name	Field reserved (cost reporting category)	**Field type**	reserved
Status		**Field justification**	not necessary
Valid entries	zero fill		

Description

Reason required

Notes

STAFF INDIVIDUALISED RECORD (SIR)

Field number	20, 21	**Field length and position**	3 (occurs 2 times) 56 to 61

Field name	Distribution of work between FE and HE; 1, 2	**Field type**	numeric

Status	compulsory for full records only	**Field justification**	right justify, zero fill to left

Valid entries

Field 20	FE direct learning contact activities	percentage between 001 and 100
	no direct learning contact	000
	field not required - reduced record	000
Field 21	HE direct learning contact activities	percentage between 001 and 100
	no direct learning contact	000
	field not required - reduced record	000

Description   the proportion of time that the member of staff spends on FE and HE level activities. This field only applies to staff who provide teaching and promote learning (as defined for field 16) for all or part of their employment. It is not necessary to apportion supporting teaching and learning or other support (as defined for fields 17 and 18), between FE and HE

Reason required   to allow the Council to estimate the amount of staff activity devoted to HE in sector colleges. This estimate will be given to the Higher Education Funding Council for England (HEFCE) and will obviate the need for colleges to supply staff data to the HEFCE

Notes   percentages should only refer to the amount of time spent providing teaching and learning. It is not necessary to calculate precisely the proportion of time spent on FE and HE activities, reasoned estimates are   acceptable, but the two fields must total 100%

for members of staff not providing teaching and promoting learning, both fields should contain zeros

Examples   (A)   a member of staff providing teaching and promoting learning for 100 % of their total time employed, all of which is FE provision:

20	FE activities	100
21	HE activities	000

(B)   a member of staff providing teaching and promoting learning for 75 per cent of their total time employed, 70% of which is for FE provision and 30% of which is HE provision.

20	FE activities	070
21	HE activities	030

STAFF INDIVIDUALISED RECORD (SIR)

| **Field number** | 22 | **Field length** | 8 |
| | | **and position** | 62 to 69 |

| **Field name** | Date of**Field type** | date |
| | appointment | |

| **Status** | compulsory for | **Field justification** | date format |
| | all records | |

Valid entries   DDMMYYYY date pattern

DD (day)	between 01 and 31
MM (month)	between 01 and 12
YYYY (year)	year

Description   the date that the member of staff began their current period of continuous employment at the college

Reason required   to describe movements of the workforce

Notes   date of appointment does not refer to the transfer of contract from the LEA which occurred on 1 April 1993.

Examples

22 April 1988	22041988
13 June 1979	13061979
2 October 1977	02101977

STAFF INDIVIDUALISED RECORD (SIR)

Field number	23	**Field length and position**	2 70 to 71
Field name	Field reserved (immediate prior employment)	**Field type**	reserved
Status		**Field justification**	not necessary
Valid entries	zero fill		

Description

Reason required

Notes

| **Field number** | 24 | **Field length** | 8 |
| | | **and position** | 72 to 79 |

| **Field name** | Date of **Field type** | date |
| | leaving | |

| **Status** | compulsory for | **Field justification** | date format |
| | all records | | |

Valid entries: DDMMYYYY date pattern

if the member of	DD (day)	between 01 and 31
staff has ceased	MM (month)	between 01 and 12
employment	YYYY (year)	year

if the member of	DD (day)	00
staff has not	MM (month)	00
ceased employment	YYYY (year)	0000

Description this field should be completed for all staff. If the member of staff has ceased employment at the college since the last data collection, their last   date of employment should be recorded. For all other staff it is necessary to fill the field with zeros.

Reason required to describe movement of the workforce

Notes the following definitions of 'ceased employment' should be used for staff:

permanent staff the date at which their contract terminates

fixed term and casual staff the date at which their contract terminates,
if the college does not expect to renew their contract for the period immediately
following eg, at the beginning of the next term.

Examples

a member of staff employed on a permanent contract which
has not been terminated   00000000

a member of staff employed on a fixed-term contract which
has terminated at the end of the summer term (18 June 2000)
but is expected to be renewed at the beginning of
the following autumn term   00000000

a member of staff who was employed on a permanent contract
which was terminated on 29 May 2000   29052000

a member of staff employed on a fixed-term contract which
has terminated at the end of the summer term (18 June 2000)
and is not expected to be renewed at the beginning of the
following autumn term   18062000

STAFF INDIVIDUALISED RECORD (SIR)

Field number	25	**Field length**	2
		and position	80 to 81
Field name	Field reserved (destination on leaving)	**Field type**	reserved
Status		**Field justification**	not necessary
Valid entries	zero fill		

Description

Reason required

Notes

STAFF INDIVIDUALISED RECORD (SIR)

Field number	26	**Field length and position**	1
			82

Field name	Qualified teacher status	**Field type**	numeric

Status	compulsory for all teaching staff optional for other staff	**Field justification**	not necessary

Valid entries

1	Member of staff has qualified teacher status
2	Member of staff does not have qualified teacher status
8	Not applicable (use only for teaching support staff and other support staff)
9	College has been unable to establish whether member of staff has qualified teacher status (use for teaching staff only).

Description   whether or not the member of staff has qualified teacher status

Reason required   to monitor the number of staff in the sector who have qualified teacher status

Notes   This is a new field added for 1999-2000.

This field is compulsory for all teaching staff and may optionally be supplied for staff supporting teaching and other support staff.

Qualified teacher status is awarded to people who have successfully completed a course of approved initial teacher training in this country. Qualified teacher status can also be gained by successfully completing employment based training schemes. These were formerly schemes such as the Licence and Overseas trained routes which have now been replaced by the Graduate and Registered Teacher Programs.

Teachers who are recognised as qualified in an EC member country can qualify for QTS in this country by virtue of the Council Directive 89/48/EEC.

Qualifications from other overseas countries are not automatically recognised for awarding QTS and the member of staff would need to have completed an initial teacher training course or employment based training in this country.

Members of staff who hold QTS should have a letter from the DfEE confirming this.

Possession of a DfEE number does not necessarily mean that the member of staff holds qualified teacher status. These numbers are used only as a means of identification by the DfEE.

STAFF INDIVIDUALISED RECORD (SIR)

Field number	27	**Field length and position**	2 83 to 84
Field name	Programme area of highest qualification for teaching staff	**Field type**	numeric
Status	compulsory for teaching staff	**Field justification**	right justify with leading zeros

Valid entries

01	sciences
02	agriculture
03	construction
04	engineering
05	business
06	hotel and catering
07	health and community care
08	art and design
09	humanities
10	basic education
80	member of staff providing teaching and promoting learning with highest qualification with a level lower than HND/HNC
99	not a member of staff providing teaching and promoting learning

Description   details of the programme area of the highest qualification held by the member of staff

Reason required   to allow the Council to monitor the relevance of qualifications to teaching

Notes   Colleges are asked to complete this field only for teaching staff

Where the subject of the highest qualification is wider than one programme area colleges are asked to identify the programme area of the subject that comprises most of the qualification. Where it is not clear which subject contributes most to the highest qualification or where the subject divides equally between more than one programme area colleges are asked to use their judgement and to favour the programme area which is most relevant to the subject taught by the member of staff.

For a member of teaching staff with a highest qualification below HND/HNC level colleges are asked not to indicate the programme area of the highest qualification instead they are asked to return code 80 to indicate the highest qualification was below this level.

STAFF INDIVIDUALISED RECORD (SIR)

Field number	28	**Field length and position**	2 85 to 86
Field name	Programme area of main subject taught	**Field type**	numeric
Status	compulsory for teaching staff	**Field justification**	right justify with leading zeros

Valid entries

01	sciences
02	agriculture
03	construction
04	engineering
05	business
06	hotel and catering
07	health and community care
08	art and design
09	humanities
10	basic education
99	not a member of staff providing teaching and promoting learning

Description details of the programme area of the main subject taught by the member of staff

Reason required to allow the Council to monitor the relevance of qualifications to teaching

Notes Colleges are asked to complete this field only for teaching staff

The main subject taught is the one which a member of staff spends most time teaching. Where the main subject taught is wider than one programme area, colleges are asked to use their judgement in assigning a programme area to it.

STAFF INDIVIDUALISED RECORD (SIR)

Field number	29	**Field length and position**	2 87 to 88
Field name	Category of work for staff supporting teaching and other support staff	**Field type**	numeric
Status	compulsory for staff supporting teaching and other support staff for colleges which are taking part in the pilot collection of these data	**Field justification**	right justify

Valid entries

Managers

01   college adminstrator/manager
02   centre (sub_college) administrator
03   finance administrator/manager (bursar)
04   librarian
05   marketing administrator/manager
06   computer/database manager
07   estate/site manager
08   other administrator/manager

Administrative and professional staff

21   careers officer
22   student co-ordinator
23   admissions co-ordinator
24   examinations co-ordinator
25   sports centre manager
26   finance officer
27   personnel officer
28   adult education administrator
29   assistant librarian
30   office manager
31   principal's secretary/personnel assistant
32   other administrative/professional staff

Technical staff

41   computer/database officer
42   computer technician
43   reprographics manager
44   senior laboratory/workshop technician
45   laboratory/workshop technician
46   arts technician
47   audio/video technician
48   other technical staff
49   learning support technician

Word processing, clerical and secretarial staff
61   word processor operator/clerical assistant
62   administrative assistant
63   secretary
64   receptionist/telephonist
65   finance assistant
66   personnel assistant
67   library assistant
68   exams assistant
69   admissions assistant
70   reprographics assistant
71   other clerical/secretarial staff

Service staff
81   caretaker
82   site assistant
83   security officer
84   maintenance staff e.g. electrician, plumber
85   learning support assistant
86   nurse (including nursery nurse)
87   nursery/crèche assistant
88   catering manager
89   catering assistant
90   gardener/groundsperson
91   cleaner
92   other service staff

Teaching Staff
99   member of teaching staff (no categorisation)

Colleges which are not taking part in the pilot collection
00   null value

Description	details of the category of work for staff supporting teaching and other support staff
Reason required	to allow the Council to monitor changes in staff employed in the sector and to identify recruitment and training needs
Notes	Colleges which volunteered to take part in the pilot collection of these data are asked to complete it in 1999-2000 for staff supporting teaching and other support staff.

Colleges not taking part in the pilot collection are asked not to complete this field in 1999-2000 and should use the null value of two zeros.

The list of codes is based on the categories used by the Sixth Form Colleges' Employers' Forum Limited (SFCEF) in their annual survey of staff. The list will be reviewed for 2000-01 in the light of this pilot collection and taking account of responses to Circular 99/41. All colleges will be asked to complete the field in 2000-01 for staff employed supporting teaching and other support staff. |

STAFF INDIVIDUALISED RECORD (SIR)

Field number	30	**Field length and position**	2 89 to 90
Field name	Annual Pay	**Field type**	numeric
Status	not required for 1999-2000; compulsory for all records for 2000-01	**Field justification**	right justified with leading spaces

Valid entries for 1999-2000

00   Null value

Valid entries for 2000-01

01	£0 to £1,999	26	£26,000 to £26,999	51	£51,000 to £51,999
02	£2,000 to £2,999	27	£27,000 to £27,999	52	£52,000 to £52,999
03	£3,000 to £3,999	28	£28,000 to £28,999	53	£53,000 to £53,999
04	£4,000 to £4,999	29	£29,000 to £29,999	54	£54,000 to £54,999
05	£5,000 to £5,999	30	£30,000 to £30,999	55	£55,000 to £55,999
06	£6,000 to £6,999	31	£31,000 to £31,999	56	£56,000 to £56,999
07	£7,000 to £7,999	32	£32,000 to £32,999	57	£57,000 to £57,999
08	£8,000 to £8,999	33	£33,000 to £33,999	58	£58,000 to £58,999
09	£9,000 to £9,999	34	£34,000 to £34,999	59	£59,000 to £59,999
10	£10,000 to £10,999	35	£35,000 to £35,999	60	£60,000 to £60,999
11	£11,000 to £11,999	36	£36,000 to £36,999	61	£61,000 to £61,999
12	£12,000 to £12,999	37	£37,000 to £37,999	62	£62,000 to £62,999
13	£13,000 to £13,999	38	£38,000 to £38,999	63	£63,000 to £63,999
14	£14,000 to £14,999	39	£39,000 to £39,999	64	£64,000 to £64,999
15	£15,000 to £15,999	40	£40,000 to £40,999	65	£65,000 to £65,999
16	£16,000 to £16,999	41	£41,000 to £41,999	66	£66,000 to £66,999
17	£17,000 to £17,999	42	£42,000 to £42,999	67	£67,000 to £67,999
18	£18,000 to £18,999	43	£43,000 to £43,999	68	£68,000 to £68,999
19	£19,000 to £19,999	44	£44,000 to £44,999	69	£69,000 to £69,999
20	£20,000 to £20,999	45	£45,000 to £45,999	70	£70,000 to £70,999
21	£21,000 to £21,999	46	£46,000 to £46,999	71	£71,000 to £71,999
22	£22,000 to £22,999	47	£47,000 to £47,999	72	£72,000 to £72,999
23	£23,000 to £23,999	48	£48,000 to £48,999	73	£73,000 to £73,999
24	£24,000 to £24,999	49	£49,000 to £49,999	74	£74,000 to £74,999
25	£25,000 to £25,999	50	£50,000 to £50,999	75	£75,000 or More

Description	Annual pay for the college year, 1 August to 31 July
Reason required	to identify the cost and effect of proposed pay awards and to monitor salary by type of work

Notes

The following should not be included in annual pay for individual member of staff; employer's national insurance contributions and cost of payment in kind such as accommodation or vehicles made available as part of a salary package or other arrangement.

Where staff are paid in arrears colleges should take this into account when completing this field

The Council consulted about proposed changes to the specification of the SIR for 1999-2000 in Circular 99/41.

One proposal was to collect annual rate of pay. The Association of Colleges (AoC), the National Association of Teachers in Further and Higher Education (NATFHE), UNISON and the tariff advisory committee (TAC) staffing subgroup requested these data. They are already collected by the Higher Education Statistics Agency (HESA) for staff in HE institutions.

The proposal was supported by 68% of those responding to Circular 99/41 while each of the other five proposals was supported by over 80% of those responding. The comments on this proposal indicated that annual rate of pay would be:

a.   difficult to calculate and interpret for staff with multiple contracts who worked different hours at different times of year, or who were casual workers;

b.   of little use in 1999-2000 for staff supporting teaching and other support staff as it is proposed to collect category of work for these staff for the first time in 2000-01;

c.   more logical to collect annual pay than annual rate of pay.

To address these concerns the Council now proposes to:

i.   postpone the first collection of pay information to 2000-01 to give colleges more time to prepare and so that it is collected along with category of work without which it is of little value;

ii   request pay for the period 1 August to 31 July rather than annual rate of pay to make the data easier to collect. These data would be consistent with the fraction of full-time field, field 15, more robust and easier to interpret. This proposal is more consistent with the Council's data collection approach to collect verifiable information.

ANNEX A

DEFINITIONS

Aggregate return

an aggregate return which may be completed instead of including ethnicity data within individual records or instead of providing reduced staff individualised records for staff who work less than 25% of the contracted hours for a full-time post with equivalent duties, as defined by the college

Colleges

this term is used to refer to colleges incorporated under sections 15 and 16 of the *Further and Higher Education Act 1992* (the Act), ie, general further education, tertiary, sixth form other than voluntary-aided, agriculture and horticulture, art and design colleges, and colleges and institutions designated as part of the further education sector under section 28 of the Act, ie, voluntary-aided sixth form colleges and other designated institutions

Cost reporting categories

the Council framework for grouping college activities into standard categories to provide a framework within which colleges can compare themselves to national norms and groups of colleges of various types

Fraction of full-time

the percentage of the standard full-time hours over a year for the particular type of employment, as defined by the college

Full staff individualised record

the record for staff who work 25% or more of the contracted hours for a full-time post with equivalent duties as defined by the college

Full-time hours

the number of hours which constitute full-time for each type of employment as defined annually by colleges and used to calculate fraction of full-time (field 15)

Highest qualification

the highest level of qualification that has been attained by the member of staff at the collection reference date

ANNEX A

Institutions

the term 'institutions' means colleges as defined above, local education authority maintained institutions which receive funds from the Council under section 6(5) of the Act ('external institutions') and higher (HE) institutions which receive funds from the Council

Reduced individualised record

a record which may be returned for staff who work for more than 15 hours and less than 25% of the contracted hours for a full-time post with equivalent duties as defined by the college. Please refer to section G for the fields which are required for a reduced record.

Teaching year

the teaching year runs from 1 August to 31 July, for 1999-2000, that is from 1 August 1999 to 31 July 2000.

ANNEX B

ABBREVIATIONS

AMS	Annual Monitoring Survey
CSE	Certificate of Secondary Education
DfEE	The Department for Education and Employment
DPA	*Data Protection Act 1984*
FE	Further Education
FEFC	The Further Education Funding Council
GCSE	General Certificate of Secondary Education
GNVQ	General National Vocational Qualification
HE	Higher Education
HEFCE	The Higher Education Funding Council for England
HESA	The Higher Education Statistics Agency
HNC	Higher National Certificate
HND	Higher National Diploma
NHS	National Health Service
NVQ	National Vocational Qualification
ONC	Ordinary National Certificate
OND	Ordinary National Diploma
PGCE	Post Graduate Certificate in Education
SIR	Staff Individualised Record
TDLB	Training Development Lead Body
The Act	*The Further and Higher Education Act 1992*
The Council	The Further Education Funding Council

ANNEX C

AGGREGATE RETURN - STAFF WORKING LESS THAN 25% OF FULL-TIME

Aggregate Return

1   An aggregate return is acceptable instead of individualised records for staff employed for less than 25% of full-time and who work 15 or more hours a year.

2   If an aggregate return is made, it must include all staff employed for less than 25% of full-time and who work 15 or more hours a year. A combination of individualised records and an aggregate return should not be submitted.

Completion

3   An aggregate record may be made in two ways:

- completion of a photocopy of form SIRAGG1 which is shown on page 54

    or

- completion of a spreadsheet. A disk containing the spreadsheet is available by contacting the data collection team in Coventry.

4   The aggregate return, in either format, should be returned with other SIR data.

ANNEX D

FORM FOR RETURN OF SIR DATA ON MICROCOMPUTER DISK

1   The form to send with SIR data on microcomputer disk is on page 57 (form SIRDISK).

2   Colleges should complete and return a copy of this form with SIR data. Further details about the return of data can be found in section E of this manual.

ANNEX D

IMPORTANT NOTES

1   records must be fixed length (<u>90</u> characters) with no field separators

2   disks must be freshly formatted

3   disks must be 3.5"(1.44 Megabyte) DOS formatted ASCII (double sided, high density, soft sectoring)

4   disks must have a written label with the college name and Council institution reference code

ANNEX E

STAFF ETHNICITY DATA - SUMMARY RECORD

Summary record

1   Due to the sensitive nature of this information, it is acceptable to provide a summary record rather than including the data within full individual staff records.

2   The summary record should only include staff who are employed for 25% or more of full-time.

Completion of the ethnicity data summary record

3   If it is decided that a summary record is to be submitted for ethnicity, this should be provided on a photocopy of form SIRETH1 which is shown on page 59 of this manual. The ethnicity field within the individualised records should be coded '00'. Ethnicity data should not be returned as a combination of summary and individual records.

4   The summary record should be returned with other SIR data.

ANNEX F

CONFIDENTIALITY AND RELEASE GUIDELINES FOR DATA

GENERAL PRINCIPLES

Data Confidentiality

1   The Council regards data about individual students and staff and individual financial data items about institutions as confidential unless already published by the institution.

2   The Council will not release confidential data to a third party or publish them without the express permission of the originator, unless this is specifically allowed for under these guidelines. The originator is taken to be the individual or institution to whom the data relate. Data exchange with the Department for Education and Employment (DfEE) and with the Higher Education Funding Council for England (HEFCE) is dealt with specifically in these guidelines.

3   Where the Council publishes analyses drawn from confidential data, the groupings used will be sufficiently large to protect individual confidentiality.

4   Originators have the right to request a copy of those confidential data held by the Council about them.

Data Protection Act

5   The data holdings and general interests of the Council are registered under the *Data Protection Act 1984* (DPA).

Publications

6   In the context of these guidelines, references to publications include all tables or other statistical analyses for use outside the Council such as:

> Council bulletins and circulars

> tables supplied to researchers or other outside enquirers

> advice to the secretary of state or government departments.

SPECIFIC GUIDELINES

Data about Individual Students

7   Named data about individual students will not be released to any person or persons other than the staff in the Council's research and statistics team.

ANNEX F

8   Anonymised data about individual students will be accessible only to those Council staff who require access in order to subject the data to further analysis.

9   To ensure that individual confidentiality is protected, analyses using data defining students by ethnicity, disability, age or date of birth, qualifications on entry, qualifications obtained or first destination on leaving will not be released where groups contain fewer than five individuals.

10   Individual students have the right to request, via their institution, a printout of the data about them held by the Council.   Institutions will be provided with guidance on how students may request this information.

Data about Individual Staff

11   Data about individual staff held by the Council will always be anonymous. The Council will not collect named staff data.

12   Anonymous staff data will only be accessible to those Council staff who require access in order to subject the data to further analysis.

13   To ensure that individual confidentiality is protected, analyses using data defining staff by age or date of birth, ethnicity, disability, or terms of employment will not be released where groups contain fewer than five individuals.

14   Staff have the right to request, via their institution, a printout of the data about them held by the Council. Institutions will be provided with guidance on how staff may request this information.

Data about individual institutions

15   Data about individual institutions will be accessible within the Council.

16   The Council will wish to publish information about individual institutions such as their total units of funding or their total enrolments.

17   Analyses providing sensitive data about institutions will not be released where groups contain fewer than five institutions.

18   The Council has sought advice from the steering group on statistical needs on suitable definitions of sensitive institution data. This covers:

• individual items of financial data which are not included in the published college annual accounts

• individual financial data items broken down by cost centre

• college strategic plans and enrolment forecasts.

ANNEX F

Linking between Data Sets

19   Individual record identifiers will only be used to identify records during validation queries to institutions, for linkage with data from other years within the same data set, or to conduct a sample survey to enhance the information held about some individuals.

20   If the Council wishes to conduct a sample survey to enhance the records for a selected group of students, those students will be approached via institutions. The institutions will be asked to explain the purpose of the survey and either to collect the data on behalf of the Council or to seek the permission of the student concerned to supply the Council with suitable identifying information so that the data can be collected directly by the Council. In the case of staff, collection will always be via the institution to protect their anonymity.

Data Exchange with the DfEE

21   The DfEE will be provided with a copy of the anonymised individual data about students and staff solely for its own use. The data will be made available only to those DfEE staff who require access in order to subject them to further analysis. The Council will also make individual institution statistical data available to the DfEE unless the intention not to do so has been indicated on the particular Council return.

22   A memorandum of agreement with the DfEE specifies that the DfEE is subject to these guidelines in respect of any data supplied to it by the Council and that it will follow the Council's guidelines when publishing data.

Data Exchange with the HEFCE

23   Anonymous individualised records for higher education (HE) students will be made available to the Higher Education Statistics Agency (HESA) which will in turn make the data available to the Higher Education Funding Council for England (HEFCE). The data will be made available only to those HESA or HEFCE staff who require access in order to subject them to further analysis.

24   A memorandum of agreement between the Council and HESA, on behalf of the HEFCE, specifies that HESA and the HEFCE is subject to these guidelines in respect of any data supplied to them by the Council, and that they will follow the Council's guidelines when publishing data.

External Agents

25   The Council may wish to use external agents, researchers or contractors to collect data on its behalf.

26   No agents will be given access to individual student names and identifiers in order to collect additional data unless the individual's permission has been given beforehand. The Council may also wish to use staff identifiers as a means for selecting staff to be included in sample surveys. The anonymity of staff will not be compromised. Agents other than the DfEE, HESA and HEFCE will not be given access to individual staff or student data already held by the Council.

ANNEX F

27   Agents, collecting data on behalf of the Council under contract will be subject to these guidelines. The data will not be used for any other purpose by the agent and all copies of the data held by the agent will be destroyed as soon as the work is complete.

Implementation of the Guidelines

28   Responsibility for ensuring the observance of these guidelines rests with the head of research and statistics within the Council.

29   The Council undertakes to publish these guidelines. Colleges and institutions are encouraged to make a copy available to anyone who requests it.

ANNEX G

DEFINITION OF FULL-TIME BY TYPE OF EMPLOYMENT

1   As outlined on page 31, the term 'full-time' is defined by colleges for different types of staff.

2   A photocopy of form SIRFFT1 on the following page should be completed with each SIR return.

3   Definitions of full-time should be provided for different types of staff in the form of standard number of contracted hours per week (excluding overtime) multiplied by the number of contracted weeks per year (including holidays) that constitute full-time.

The following examples illustrate this:

example 1   a group of staff, group 1, who are contracted to work for 37 hours per week for 52 weeks per year

example 2   a group of staff, group 2, who are contracted to work for 15 hours per week for 40 weeks per year (term-time only)

	Number of hours per week	Number of weeks per year	Number of hours per year	Type of Staff
Ex 1	37	52	1924	group 1
Ex 2	15	40	600	group2.

4   Categorisation of the type of staff is at the discretion of colleges but it should reflect the group for which standard contracts apply. In some cases there may be two or more definitions of full-time for the same type of staff, for example lecturing staff. This is acceptable but where this is the case, colleges should give some indication of the proportion of staff employed under each definition of full-time.

5   This information is required to allow the Council to monitor changes which may effect full-time equivalents across the sector.

ANNEX H

VALIDATION RULES

1   Data validation routines for the SIR fall into four categories. Individual field validations, validations between fields, validations between staff records and validation to ensure that only full or reduced records are returned.

Individual Field Validations

Field		**Error**
01	Council institution reference code	field not completed entry not valid entry not correct (incorrect code for college)
02	Staff reference code	field not completed entry not valid (12 digit alphanumeric)
03	Multiple contract number	field not completed entry not valid (single digit numeric)
04	Sex	field not completed code not valid (F,M)
05	Date of birth	field not completed entry not valid (date invalid eg, 32121963) entry not within set parameters (not younger than 12, not older than 100)
06	Highest qualification	code not valid (1,2,3,4,5,8,9)
07,08,09 10	Teaching and FE qualification	code not valid (01,02,03,04,05,51,52,97,98,99)
11	Training to teach students with learning difficulties and / or disabilities	code not valid (1,2,8,9)
12	Ethnicity	code not valid (00,01,02,03,04,05,06,07,08, 09,98,99)
13	Disability	code not valid (1,3,9)
14	Terms of employment	field not completed code not valid (1,2,3,4,5)
15	Fraction of full-time	field not completed entry not valid (3 numeric digits between 000 and 200)

16,17,18	Apportionment of work	field not completed entry not valid (3 numeric digits between 000 and 100)
20,21	Distribution of work	field not completed entry not valid (3 numeric digits between 000 and 100)
22	Date of appointment	date not valid format not valid (DDMMYYYY)
24	Date of leaving	field not completed date not valid format not valid (DDMMYYYY) or (00000000)
26	Qualified teacher status	field not completed entry not valid (1,2,8,9)
27	Programme area of highest qualification	field not completed entry not valid (01,02,03,04,05,06,07,08,09,10,80,99)
28	Programme area of main subject taught by the member of staff	field not completed entry not valid (01,02,03,04,05,06,07,08,09,10,99)
29	Category of work for staff staff supporting teaching and promoting learning	field not completed entry not valid (00.01,02,03,04,05,06,07,08,21,22,23, 24,25,26,27,28,29,30,31,32,41,42,43,44,45,46,47,48, 49,61,62,63,64,65,66,67,68,69,70,71,81,82,83,84,85 86,87,88,89,90,91,92,99)
30	Annual pay	field not completed entry not valid (00)

Validations between Fields and Additional Checks

Field		**Error**
01	Council institution reference code	not all records have same reference number
02	Staff reference code	staff reference code and multiple contract number (field 3) duplicated
06	Highest qualification	'0' entered and entry for fraction of full-time (field 15) is 25% or more
07,08,09, 10	Teaching and FE qualification	'00' entered and (entry for fraction of full-time (field 15) is 25% or more or the apportionment of work for providing teaching and promoting learning (field 16) is greater than 0)

<u>07,08,09</u> <u>10</u>	<u>Teaching and FE</u> <u>qualification</u>	<u>codes 01, 02, 03, 04 or 05, 51, 52, 98, 99 used in more</u> <u>than one of the teaching and FE qualification fields</u>
11	Training to teach SLDD	'0' entered and entry for fraction of full-time (field 15) is 25% or more
12	Ethnicity	'00' entered and entry for fraction of full-time (field 15) is 25% or more unless all records are coded '00' and a summary record is used
14	Terms of employment	'4' or '5' entered and field 16, apportionment of work for providing teaching and promoting learning, is "000"
13	Disability	'0' entered and entry for fraction of full-time (field 15) is 25% or more
16,17,18	Apportionment of work	fields 16,17 & 18 do not total 100%
20,21	Distribution of work	fields 20 & 21 do not total 100% and the entry for fraction of full-time (field 15) is 25% or more and the entry for providing teaching and promoting learning (field 16) is greater than '000'. <u>and fields 20 & 21 do not total 0% and entry for</u> <u>providing teaching and promoting learning is '000'</u> <u>and fields 20 & 21 do not total 0% or 100%</u>
<u>26</u>	<u>Qualified teacher status</u>	<u>'8' entered and apportionment of work for providing</u> <u>teaching and promoting learning (field 16) is greater</u> <u>than '000'</u>
<u>27</u>	<u>Programme area of highest</u> <u>qualification for teaching staff</u>	<u>'99' entered and apportionment of work for providing</u> <u>teaching and promoting learning (field 16) is greater</u> <u>than '000'</u>

28	Programme area of main subject taught	'99' entered and apportionment of work for providing teaching and promoting learning (field 16) is greater than '000'

Validation rules to be implemented for 2000-01

29	Category of work for staff supporting teaching and other support staff	'00' or '99' entered and (apportionment of work entered for supporting teaching and learning (field 17) or other support (field 18) greater than '000')

ANNEX H
Validations between Records

If multiple records are supplied for an individual member of staff, entries in the following fields must be the same in each of the records relating to the member of staff

Field

04	Sex
05	Date of birth
06	Highest qualification
07,08,09,10	Teaching and FE qualification 1,2,3 and 4
12	Ethnicity
13	Disability
26	Qualified Teacher status
27	Programme area of highest qualification for teaching staff

If multiple records are supplied for an individual member of staff, each record must have a different entry, between 1 and 9, in the multiple contract number field, field 03.

Validation to Ensure that only Full or Reduced Records are Returned

Full records

SIR records which have an entry of greater than 024 in the fraction of full-time field, field 15, must have each field completed without the use of null values (zeros).

Reduced records

SIR records with an entry of less than 025 in the fraction of full-time field meet one of the following criteria:

Field	Full record	Reduced record
01	completed	completed
02	completed	completed
03	completed	completed
04	completed	completed
05	completed	completed
06	completed	null
07	completed	completed for teaching staff null for other staff *
08	completed	completed for teaching staff null for other staff *
09	completed	completed for teaching staff null for other staff *
10	completed	completed for teaching staff null for other staff *
11	completed	null

ANNEX H

12	completed or null	null
13	completed	null
14	completed	completed
15	completed	completed
16	completed	completed
17	completed	completed
18	completed	completed
19	field reserved	field reserved
20	completed or null	null
21	completed or null	null
22	completed	completed
23	field reserved	field reserved
24	completed	completed
25	field reserved	field reserved
26	completed	completed
27	completed	completed
28	completed	completed
29	completed or null	completed or null
30	null	null

*   Teaching staff are identified by field 16 being set to greater than 000