December 2005/50
(updated March 2006)
Core funding/operations
Request for information
Response may be required

This document describes the process we will use when reconciling 2004-05 data returns made to the Higher Education Statistics Agency (HESA) with other returns made to HEFCE. We will write separately to all institutions and identify significant reconciliation differences where appropriate. This report also describes how we will use HESA data to inform the widening participation allocation for 2006-07.

2004-05 statistics derived from HESA data for monitoring and allocation of funding

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HIGHER EDUCATION FUNDING COUNCIL FOR ENGLAND

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The Executive summary, Introduction and Annex E were updated in March 2006 with new deadlines for amendments to HESA data to be incorporated into the July grant announcement.

2004-05 statistics derived from HESA data for monitoring and allocation of funding

To	Heads of HEFCE-funded higher education institutions
Of interest to those responsible for	Student data, Funding, Audit, Research
Reference	2005/**50**
Publication date	December 2005
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Executive summary

Purpose

1. This document describes:

a. How we will use 2004-05 Higher Education Statistics Agency (HESA) student data to monitor returns made to HEFCE.
b. The responses required from institutions to these monitoring processes.

2. This document is divided into the following sections:

a. The comparison of Higher Education Students Early Statistics Survey 2004-05 (HESES04) with HESA 2004-05 student data.
b. The comparison of institutional cost centre assignments with cost centre sector norms for subjects.
c.The comparison of Research Activity Survey 2004 (RAS04) with HESA 2004-05 student data.
d. How we intend to use HESA data to inform 2006-07 widening participation (WP) allocations.
e. Guidelines on returning action and implementation plans.

Key points

Data quality

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

Funding monitoring

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

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

6. Any funding adjustments arising from the reconciliation of a re-creation of HESES04 from 2004-05 HESA student data (the HESES04 re-creation) with HESES04, or from the

comparison of cost centre assignments with the sector norms for subjects, are likely to affect the funding previously announced for 2004-05 and all subsequent years.

7. Any funding adjustments arising from the reconciliation of RAS04 with a re-creation of RAS04 from 2004-05 HESA student data (the RAS re-creation) are likely to affect the funding previously announced for 2005-06.

8. In many cases the funding adjustments arising from the reconciliation may be significant. Therefore it is important for institutions to ensure that sufficient time and resources are allocated to allow the exercise to be completed accurately and promptly. If institutions have not signed off their re-creations by the deadlines given below, then we will implement any reductions to 2006-07 grant that we expect to arise, pending completion of the reconciliation process. This is an interim measure to avoid grant adjustments accumulating to the point at which they become difficult for institutions to manage. The deadline is **10 February 2006** for both the institutions selected to respond to the comparison of HESES04 and the HESES04 re-creation and those selected to respond to the comparison of the HESES04 re-creation and the HESES04 re-creation based on cost centre sector norms for subjects.

Annexes and appendices

9. The annexes below describe how we will use HESA data for this exercise. The technical appendices describe the algorithms we will use.

Action required

Funding monitoring

10. We will write to heads of institutions, copied to HESES and RAS contacts, on **16 December 2005** specifying whether a response is required to any part of the exercise.

11. Where a response is required, action and implementation plan(s) must be returned by **10 February 2006**.

12. The final deadline for receipt of amendments to HESA data and overrides to derived fields detailed in the action and implementation plan(s) is **28 March 2006**.

Timetable

13. The following timetable details the critical deadlines for this exercise **(updated deadlines are in bold type)**:

16 December 2005	Issue of letter to all institutions, requesting response to exercise where appropriate
1 May 2006	**Deadline for receipt of action and implementation plans for 2004-05 HESA amendments for incorporation in the 2006-07 WP allocations**
15 May 2006	**Deadline for sign off for amendments to 2004-05 HESA data for incorporation in the 2006-07 WP allocations**
10 February 2006	Deadline for receipt of final action and implementation plan(s) produced by each institution required to respond
28 March 2006	Final deadline for sign off for amendments to 2004-05 HESA data amendments and overrides to derived fields as detailed in action and implementation plan(s)
26 May 2006	For institutions asked to respond to the comparison of the HESES04 and HESES04 re-creation: deadline for confirmation that the HESES04 re-creation reasonably reflects the outturn position for 2004-05 to avoid interim grant adjustments (see paragraphs 31-35 of the Introduction)
5 July 2005	For institutions asked to respond to the comparison of the HESES04 re-creation and the HESES04 re-creation based on cost centre sector norm for subjects: deadline for confirmation that the HESES04 re-creation reasonably reflects the outturn position for 2004-05 to avoid interim grant adjustments

14. Table 1 summarises the response required for each of the comparisons, along with the possible causes of differences.

Table 1 **Response process for institutions required to respond**

Comparison causing selection	**Differences to explain in action and implementation plan**	**Possible causes of differences**
HESES04 and the HESES04 re-creation	All differences between HESES04 and the HESES04 re-creation	Errors in HESA student data Errors/estimation discrepancies in HESES04 Problems of fit with the HESES04 re-creation algorithms
HESES04 re-creation and the HESES04 re-creation based on cost centre sector norms for subjects	All differences between the HESES04 re-creation and the HESES04 re-creation based on cost centre sector norms for subjects, to include any differences between the HESES04 and the HESES04 re-creation	Errors in the HESA student data Errors/estimation discrepancies in HESES04 Problems of fit with the HESES04 re-creation algorithms Problems of fit with the cost centre sector norms for subjects mapping
RAS04 and the RAS04 re-creation	RAS04 and the RAS04 re-creation differences	Errors in the HESA student data Errors in RAS04 Problems of fit with the RAS04 re-creation algorithms

Introduction

15. This document describes how we will use 2004-05 HESA student data to monitor returns made to HEFCE. It also details the action required where either a response is requested or an institution wishes to correct errors in its HESA data.

16. This document consists of this Introduction and Executive summary, plus Annexes A to J. In addition technical appendices 1 to 12 are available on the web together with this document at www.hefce.ac.uk under Publications. These are of interest to readers who wish to look at the algorithms used in the calculation of their data.

Annual data returns

17. HESES and RAS data are used to determine the funding allocations made for teaching and research. HESES is used both to monitor the year's teaching funding allocation and to determine the teaching funding allocation for the following year. RAS is used to determine the research funding allocation for the following year. HESA student data are used to:

a. Monitor HESES, RAS and the assignment of activity to cost centres. If we find, either through an institution's response to our reconciliations using HESA data, or any other method of assurance or data audit, that the HESES or RAS submission does not reflect the final outturn position for the year and that incorrect funding allocations have occurred as a result, then we will adjust the HEI's funding accordingly (subject to the appeals process and the availability of our funds).
b. Inform funding allocations where the necessary information is not collected on HESES (for example, qualification on entry, age and postcode data for determining the WP allocations).

18. Our monitoring processes are applied consistently to all institutions. We receive HESA student data approximately 12 months after the equivalent year's HESES and RAS returns. We expect all institutions to have used the HESES and RAS re-creations generated by the '2004-05 statistics derived from HESA data: Guide to HEFCE web facility' (HEFCE 2005/32) to verify and correct their HESA data where appropriate before submitting their HESA returns in readiness for this exercise.

Monitoring funding

<u>Selection thresholds and action and implementation plans</u>

19. We employ thresholds to select which institutions must respond. For HESES and cost centre assignment monitoring these thresholds are set in terms of the funding differences arising from the comparisons. For RAS these thresholds are set in terms of total full-time equivalents (FTEs) for eight groupings of broadly similar units of assessment (UOAs) arising from the comparisons. The selection process represents a risk assessment. Primarily, this

assessment is intended to identify those institutions whose data differences are most likely to have a material effect on their funding allocations.

20. Each institution that is required to make a response must provide an action and implementation plan. The plan must contain specific information before we can approve it and progress with the exercise. Complete and comprehensive action and implementation plans allow us to gain a full understanding of the areas of, causes of and reasons for discrepancies. Please ensure you have understood the requirements set out in Annex H before responding. If we are unable to gain the necessary information from an action and implementation plan it is likely that we will need to visit your institution to gather this information.

HESES04

21. HESA 2004-05 student data will be used to monitor HESES04. A re-creation of HESES04 is generated from HESA 2004-05 student data using the methods detailed in Annex B. This re-creation is compared to HESES04 and if the discrepancies between the two data sources exceed our thresholds the institution will be required to respond to the exercise.

22. After both the institution and HEFCE are content that the discrepancies between the two data sources are explained, and where appropriate the necessary action has been taken to remove a discrepancy, we will ask for confirmation that the HESES04 re-creation reasonably reflects the outturn position for 2004-05.

Assignment of activity to cost centres

23. HESA 2004-05 student data will be used to monitor the assignment, by institutions, of activity to cost centres and consequently price groups. This is achieved by the production of an additional re-creation of HESES04 based on cost centre sector norms for subjects.

24. For subjects where the total student FTE assigned across the subject is greater than 100, the HESES04 re-creation (described in paragraph 21) is compared to a re-creation of HESES04 based on cost centre sector norms for subjects that is generated using the methods described in Annex C.

25. We do not require explanations where subjects are assigned to cost centres that map to a price group that does not differ from the price group for the sector norm subjects, or where the total student FTE assigned across the subject is less than 100.

26. Institutions will also be asked to provide an action and implementation plan to explain the differences in the HESES04 and the HESES04 re-creation comparison.

RAS04

27. HESA 2004-05 student data will be used to monitor forms R1a, R1b, R2a and R2b of RAS04. A re-creation of RAS04 is generated from HESA 2004-05 student data using the methods detailed in Annex D.

Confirmation

28. Once confirmation that the re-creation reasonably reflects the outturn position for 2004-05 has been requested and received by us, we will generate all three comparisons to incorporate any amendments that have been made to HESA student data. We will request a further response for any of these comparisons where the selection thresholds are exceeded (unless the causes for the differences have already been explained). For example, upon receipt of confirmation that the HESES04 re-creation reasonably reflects the outturn position for 2004-05, we will ask for a further response for the comparison of RAS04 and the RAS04 re-creation, as a result of corrections to HESA student data, if the threshold for selection to the RAS04 re-creation has been exceeded.

29. Once confirmation has been asked for and received for all comparisons where a response is required, any re-creation that has been signed off will supersede its predecessor, and any consequent grant adjustments will be calculated and made (subject to the appeals process where this is relevant and the availability of our funds). The thresholds we use to select institutions must not be interpreted as being the minimum grant adjustments that we might effect. The latter are set out in the relevant grant adjustments publication; for example for 2004-05 this is 'HEFCE grant adjustments 2004-05' (HEFCE 2004/28).

Risk assessment

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

Enacting grant adjustments – interim adjustments

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

HESES04 and the HESES04 re-creation comparison

32. We will reduce monthly grant payments for institutions where:

a. We have requested a response to the HESES04 and HESES04 re-creation comparison; and
b. We have not asked for, or we have asked for and not received, confirmation that the HESES04 re-creation reasonably reflects the outturn position for 2004-05 by **26 May 2006**; and
c. The grant adjustment for 2006-07 that would result from the HESES04 re-creation position shown on **26 May 2006** would represent a reduction in the teaching funding allocation for 2006-07.

33. In these circumstances we will effect the change to 2006-07 grant by using our own reasonable estimates, as at **26 May 2006**, of the final outturn position, reflecting the current HESES04 re-creation. The reduction in 2006-07 grant payments would be effected through the institution's standard monthly grant payment profile.

HESES04 re-creation and the HESES04 re-creation based on cost centre sector norms for subjects comparison

34. We will reduce monthly grant payments for institutions where:

a. We have requested a response to the HESES04 re-creation and HESES04 re-creation based on cost centre sector norms for subjects comparison; and
b. We have not asked for, or we have asked for and not received, confirmation that the HESES04 re-creation reasonably reflects the outturn position for 2004-05 by **5 July 2006**; and
c. The grant adjustment for 2006-07 that would result from the HESES04 re-creation and/or HESES04 re-creation based on cost centre sector norms for subjects shown on **5 July 2006** would represent a reduction in the teaching funding allocation for 2006-07.

35. In these circumstances we will effect the change to 2006-07 grant by using our own best estimate, as at **5 July 2006**, of the final outturn position, reflecting the current HESES04 re-creation and/or the HESES04 re-creation based on cost centre sector norms for subjects. The reduction in 2006-07 grant payments would be effected through the institution's standard monthly grant payment profile.

Final confirmation of outturn position where interim adjustments have been made

36. Subject to the appeals process and the availability of our funds, we will make further grant adjustments, both for 2006-07 and for previous years as appropriate, once we ask for and receive confirmation that the HESES04 re-creation reasonably represents the outturn position for 2004-05.

Grant adjustments for institutions not required to respond

37. We do not gain assurance, through this exercise, regarding the reliability of either the HESES04 re-creation or the RAS04 re-creation for institutions that have not been required to respond to these exercises. For such institutions we would not expect to adjust teaching or research funding allocations respectively based on these re-creations.

Further monitoring

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

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

Funding allocations

Widening participation funding allocation

40. We intend to use HESA 2004-05 student data to inform the following WP funding allocations for 2006-07:

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

41. See Annex E for further details of the data that are likely to be used to inform the 2006-07 WP allocations.

42. Institutions have the opportunity to amend 2004-05 HESA student data used to inform the 2006-07 WP allocations. If an institution wishes to correct its 2004-05 HESA data used to inform the provisional 2006-07 WP allocations it should submit an action and implementation plan **by 1 May 2006.** Annex H gives guidance for completing and submitting action and implementation plans.

43. HESA will not accept amendments to 2004-05 HESA student data until it has received confirmation that we are content with the institution's action and implementation plan. Amendments should be signed off by **15 May 2006** to ensure incorporation in the 2006-07 WP allocations. See Annex I for details on how to submit amendments to HESA 2004-05 student data.

44. We will endeavour to incorporate any amendments to 2004-05 signed off after **15 May 2006** in the final 2006-07 WP allocations. However institutions should be aware that there is limited availability of funds after the provisional WP allocation is announced.

HEFCE web facility for 2004-05 statistics derived from HESA data

45. On 22 July 2005 we made available the HEFCE web facility for 2004-05 statistics derived from HESA data (HEFCE 2005/32). This facility is designed both to assist institutions in returning accurate data to HESA and to identify discrepancies between forecasting in HESES04 and the outturn position for 2004-05. We believe that the web facility has contributed to a year-on-year improvement in data quality in HESA student data since it was introduced in 2001-02, and we have seen a similar improvement this year.

HEFCE- recognised funding consortia

46. For the lead institution of a HEFCE-recognised funding consortium, the HESES04 re-creation will incorporate data supplied by each consortium member. Data for provision in further education colleges (FECs) included in the consortium will be sourced from the 2004-05 July Individualised Learner Record (ILR) data submitted to the Learning and Skills Council (LSC). The algorithms used to generate HESES04 re-creation data for such FECs will be published in '2004-05 statistics derived from ILR data for the monitoring and allocation of funding in FECs', which we expect to issue in February 2006. We may not receive 2004-05 July ILR data from the LSC until late January 2006, therefore the timetable given in paragraph 13 will differ for HEFCE-recognised funding consortia. Details of how we expect the timetable to differ, along with specific information for leads of HEFCE-recognised funding consortia, are given in Annex F.

Next steps

47. We will write to heads of institutions, copied to HESES and RAS contacts, by 16 December 2005 explaining whether a response is required to this exercise.

Guidance

HEFCE contact

48. Each institution required to make a response to this exercise has been assigned a HEFCE contact. This contact will be able to provide guidance during the response process and should be the primary point of contact throughout the reconciliation process. Details of the contact will be provided in a letter to be sent by Ben Grassby on 16 December 2005.

Action and implementation plans

49. For institutions required to respond we will produce electronic action and implementation plan forms for completion which will contain some pre-completed information. Full guidance for producing and submitting an action and implementation plan is given in Annex H. Example action and implementation plans are also included in Appendix 11.

Troubleshooting

50. Appendices 2, 5 and 8 have been produced to help institutions identify the causes of discrepancies between the 2004-05 HESA student data and HESES04, HESES04 re-creation based on cost centre sector norms for subjects, and RAS04 respectively.

Supplementary data

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

FAQs

52. Frequently asked questions (FAQs) for this exercise can be found on the HEFCE web-site under Questions. We encourage institutions to refer to the FAQs for guidance in the first instance. We will only use our e-mail list of HESES or RAS contacts to notify institutions of significant changes or updates.

SAS code

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

Comments and feedback

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

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

Annex A

Summary of changes since 2003-04 statistics derived from HESA data (HEFCE 2004/47)

Purpose

1. This annex describes the changes that have been made to the monitoring of HESA returns and guidance since the release of '2003-04 statistics derived from HESA data for monitoring and allocation of funding' (HEFCE 2004/47).

Amendments to HESA data

2. There is a new process for submitting amendments to 2004-05 HESA data as a result of this exercise. If errors are found in 2004-05 HESA data, institutions will be required to submit amendments directly to HESA rather than to HEFCE as in previous years. See Annex I for further information.

New method of submitting action and implementation plans

3. Action and implementation plans should be submitted via the HEFCE extranet, rather than by e-mail or fax as in previous years. This submission method has allowed us to include validation and in the action and implementation plans.

4. We have revised Annex H to provide more specific guidance on submitting these plans.

Information for lead institutions of HEFCE-recognised funding consortia

5. Annex F provides lead institutions of HEFCE-recognised funding consortia with details of the different timetable for consortia, along with information on the availability and provision of data for member colleges.

Selection criterion for students with undetermined completion status

6. Clarification of the selection criterion relating to students with undetermined completion status is given in paragraphs 10 to 11 of Annex B.

Extranet address

7. The HEFCE extranet address has changed to https://extranet.hedata.ac.uk.

Index of derived fields

8. Appendix 12 contains a complete alphabetical list of all algorithms that are included in the publication, in addition to the existing sequential lists in other appendices.

Changes to algorithms

HESLEVEL

9. The algorithm for assigning level has been changed to reflect the fact that undergraduates were split into undergraduates excluding foundation degrees and foundation degrees for HESES04. The algorithm for HESLEVEL is given in Appendix 1.

YEARONE

10. The algorithm for indicating whether a student is a ‘new entrant’ has changed to reflect the change in definition of a ‘new entrant’ in HESES04. The new definition in HESES04 uses commencement date of programme of study, rather than year of programme of study, to determine new entrant status. The algorithm for YEARONE is given in paragraph 38 in Appendix 1. As a result the derived field FOU_LINK (flag indicating whether the course includes an integrated foundation year) has been removed.

Price groups

11. There is no longer a separate Psychology price group in HESES as all Psychology provision is now funded at price group C. All activity returned in cost centre 07 is assigned to price group C.

12. All students on a sandwich year-out are now assigned to price group C for the purposes of funding, regardless of the academic cost centre.

13. The assignment of pre-clinical medicine and dentistry has been improved to reflect the expected subject of study for this activity.

Annex B

Comparison of HESES04 and the HESES04 re-creation

Purpose

1. This annex details the process of making a response, where one is required, to the comparison of HESES04 and the HESES04 re-creation that has been generated from HESA 2004-05 student data. This annex also specifies the thresholds we have used to select institutions for response, based on discrepancies between their HESES04 and the HESES04 re-creation. Where an institution's data lead to discrepancies that exceed any of the thresholds in paragraph 8, we require a full response through an action and implementation plan that addresses all areas of discrepancy, including those causing the selection of the institution. Guidelines for completing and submitting action and implementation plans are provided in Annex H.

HESES04 re-creation tables

2. The HESES04 re-creation tables and HESES04 tables can be accessed from the HEFCE extranet. Annex G describes how to access the Excel workbook (HESR04XXXX.xls -where XXXX denotes the HESA institution identifier). The workbook contains the following worksheets:

Page number	Worksheet*	Title
1	Coversheet	Title page containing information about the thresholds and the difference in terms of contract range holdback, medical and dental holdback, funding conditional upon delivery of growth and students with undetermined completion status between HESES04 and the HESES04 re-creation
2	Summary	Summary comparison of HESES04 and the HESES04 re-creation
3	SummaryPG	Summary comparison of price group activity between HESES04 and the HESES04 re-creation
4	EXCL	Summary of students excluded from the HESES04 re-creation
5	FTS	HESES04 re-creation Table 1a: Full-time and sandwich years of programme of study
6	MED	HESES04 re-creation Table 1b: Medical and dental full-time and sandwich years of programme of study
7	SWOUT	HESES04 re-creation Table 2: Sandwich year-out years of programme of study
8	PT	HESES04 re-creation Table 3: Part-time years of programme of study and load
9	FEE	HESES04 re-creation Table 4: Home and EC fees
10	HBK	HESES04 re-creation grant adjustments
11	STD	HESES04 re-creation recalculation of standard resource
12	F03	HESES04 re-creation recalculation of assumed fee income

13	hFTS	HESES04 Table 1a: Full-time and sandwich years of programme of study
14	hMED	HESES04 Table 1b: Medical and dental full-time and sandwich years of programme of study
15	hSWOUT	HESES04 Table 2: Sandwich year-out years of programme of study
16	hPT	HESES04 Table 3: Part-time years of programme of study and load
17	hFEE	HESES04 Table 4: Home and EC fees
18	hHBK	HESES04 grant adjustments
19	hSTD	HESES04 recalculation of standard resource
20	hF03	HESES04 recalculation of assumed fee income

* For worksheet reference see spreadsheet tabs

3. All the information contained in the HESES04 re-creation tables can be re-built by categorising and aggregating the data contained in the individualised file which we provide. The file (HESR04XXXX.ind) contains details, in the form of HESA and derived fields, of how each student was classified in the re-creation. A full description of the data in the individualised file is given in Appendix 1.

Comparison

4. We derive a HESES04 re-creation, and hence an individualised file, by applying the algorithms detailed in Appendix 1 to HESA 2004-05 student data.

5. We compare the HESES04 re-creation to HESES04. This comparison takes place after the 2004-05 student data have been finalised with HESA.

6. We re-calculate a grant adjustment report for the HESES04 re-creation by applying the same formulae that were used to calculate the grant adjustment report for HESES04.

7. We select institutions to explain discrepancies between their HESES04 and the HESES04 re-creation using a comparison of the grant adjustment reports derived from each return. Notwithstanding the thresholds, we may also ask for further information from any institution in respect of this comparison. This may result ultimately in adjustments to grant, where appropriate.

Selection of institutions required to respond

8. We will require a full, timely and detailed response from institutions where any of the following thresholds are exceeded:

a. The difference between total recurrent teaching funding for HESES04 and the HESES04 re-creation exceeds £500,000, or 5 per cent of total recurrent teaching funding for 2004-05.
b. The difference in any net grant adjustment relating to funding conditional upon delivery of growth between HESES04 and the HESES04 re-creation exceeds £500,000.

c. The difference between holdback for under-recruitment against the medical and dental contract FTE for HESES04 and the HESES04 re-creation exceeds £100,000.
d. More than 700 students are identified with undetermined completion status and there is a difference in total recurrent teaching funding exceeding £500,000 between HESES04 and the HESES04 re-creation.

9. In calculating the grant adjustment reports we have ignored any appeals for mitigation. Therefore, the grant adjustment report derived from HESES04 may differ from the final grant adjustment report notified for 2004-05. Before making adjustments to an institution's funding as a result of this exercise, we will take into account any previously agreed mitigation. We have adopted this approach to allow us to apply consistent monitoring procedures to all institutions, irrespective of individual circumstances that have affected previously announced funding allocations.

Criterion for undetermined completion status (criterion d)

10. In general, a student will only have an undetermined completion status when the final assessment for a module falls outside the academic year in which it is counted, or exceptionally, outside the year of programme of study. In either case, institutions can return students with undetermined completion status as 'year of programme of study not yet completed, but has not failed to complete' (FUNDCOMP = 3) on their 2004-05 HESA student return. However, FUNDCOMP = 3 should only be used if the completion status for the student is undetermined on the census date of the HESA return.

11. For the purposes of the HESES re-creation we do not know whether such students are completions or non-completions. In our algorithms we assume all students with FUNDCOMP = 3 complete their year of programme of study. We believe there is a risk that our algorithms will disguise large numbers of non-completions that are returned as FUNDCOMP = 3. Therefore we have introduced a selection criterion designed to mitigate that risk. Specific guidance on our requirements is given in paragraph 28.

Action required

12. We will write to heads of institutions, copied to HESES contacts, on 16 December 2005 specifying whether a response is required.

13. Where we require a response, an action and implementation plan must be submitted via the HEFCE extranet by 10 February 2006, detailing how the institution will reconcile the two data sources. Guidance for completing and submitting an action and implementation plan is in Annex H.

Action and implementation plan

14. Each institution required to make a response will be asked to provide an action and implementation plan. The plan must contain specific information before we can approve it

and progress with the exercise. Please ensure you have understood the requirements in Annex H.

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

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

16. In order to gain these assurances we may need to collect or review data as part of these visits. Paragraph 28a of the Financial Memorandum (HEFCE 2003/54) provides for the cost of such investigations to be deducted from institutions' grant.

17. We expect the explanations that institutions provide for discrepancies between the two data sources to fall into one or more of the following three categories:

- errors in HESA 2004-05 student data
- errors/estimation discrepancies in HESES04
- problems of fit with the HESES04 re-creation algorithms.

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

Errors in HESA data

19. If we find, either through reconciliations with HESA data, or any data audit, that the HESES submission does not reflect the final outturn position for the year, and that this has resulted in institutions receiving incorrect funding allocations, the HESES04 re-creation will supersede HESES04, and any consequent grant adjustments will be made (subject to the appeals process and the availability of our funds). Therefore it may be necessary for an institution to submit to HESA a revised 2004-05 HESA student return, which incorporates all necessary amendments to ensure it reasonably reflects the outturn position for 2004-05. Annex I details how to submit amendments to HESA data.

20. The procedures for the quality assurance of HESA data must take place before an institution signs off the HESA data as correct. Any resubmitting of 2004-05 HESA student data to the HESA after this point must be seen as exceptional.

21. Where errors are found in HESA data we require institutions to submit a revised, full and valid HESA return directly to HESA only once these changes have been notified to us through an action and implementation plan, and this plan has been approved.

22. We recognise that HESA returns are necessarily complicated, and that errors may occur in them. However, we expect that if institutions use the HEFCE web facility for 2004-05 statistics derived from HESA data this will keep the number of amendments to a minimum. (See HEFCE 2005/32 for more details.)

23. We may carry out further investigations where amendments to HESA data contradict our understanding of the broad characteristics of activity at an institution.

Errors/estimation discrepancies in HESES04 data

24. If we find, either through reconciliations with HESA data, or any data audit, that the HESES submission does not reflect the final outturn position for the year, and this is due to errors/estimation discrepancies in the HESES return, then the HESES04 re-creation will supersede HESES04, and any consequent grant adjustments will be made (subject to the appeals process and the availability of our funds). Therefore it will not be necessary for institutions to submit corrections to their HESES04.

Problems of fit with the HESES04 re-creation algorithms

25. We do not expect that problems of fit with the HEFCE algorithms will fully explain the discrepancies to which institutions are required to respond. However, where a problem of fit between our algorithms and HESES04 definitions contributes to a discrepancy, an explanation will be required of where the problem occurs, and its impact, through the action and implementation plan. Annex J details how to submit overrides to derived fields. Appendix 3 details all known problems of fit with the HESES04 re-creation algorithms.

26. Where problems of fit are identified, we require institutions to submit an override file to us. Institutions are strongly encouraged to submit overrides prior to the deadline of **28 March 2006** in order to ensure that, if required, any additional overrides and amendments can be submitted within this timeframe.

27. Overrides must follow the specification described in Annex J. This is essential in order to establish an audit trail of data changes, and to ensure that overrides are applied in a timely and accurate manner.

Criterion for undetermined completion status (criterion d)

28. Where an institution has exceeded the threshold in paragraph 8d, we require an override file to be submitted to correct the derived field HESCOMP for those students which are now known to be non-completions. (Full details of how to produce and submit override files are given in Annex J). This is to ensure the HESES04 re-creation is a more accurate reflection of the outturn position for 2004-05. We believe that the completion status of the majority of FUNDCOMP = 3 students should be known by the deadline for submitting overrides for derived fields (see the timetable in paragraph 13 of the Executive summary). Appendix 1 gives further details of the algorithm for HESCOMP, and Appendix 3 gives fuller details of the approximation in our algorithms for determining completion status.

Further action

29. Revised HESA data submitted directly to HESA and overrides made to derived fields will be used to reproduce the HESES04 re-creation. Once all overrides have been processed, and the revised 2004-05 HESA student data have been incorporated, we will review the HESES04 re-creation. If we are not content that all discrepancies between HESES04 and the HESES04 re-creation have been reasonably explained we will ask the institution to submit a further action and implementation plan to explain any remaining discrepancies between the two data sources.

30. Once the revised HESA data and all overrides to derived fields have been processed, and we are content that all discrepancies between the HESES04 return and the HESES04 re-creation have been reasonably explained, we will ask the institution to confirm:

- that the HESES04 re-creation reasonably reflects the outturn position for 2004-05
- the accuracy of overrides to derived fields.

31. If, after processing the revised HESA data and all overrides, we are not content that all discrepancies between the HESES04 return and the HESES04 re-creation have been reasonably explained, we will ask the institution to submit a further action and implementation plan to explain any remaining discrepancies between the two data sources. It is likely that we will visit institutions to discuss remaining discrepancies.

Guidance

HEFCE contact

32. Each institution required to make a response to this exercise has been assigned a HEFCE contact, who should be the primary point of contact throughout the reconciliation process. This contact will be able to provide guidance during the response process. We will provide information to institutions about their contact in a letter to be sent by Ben Grassby on 16 December 2005.

Action and implementation plan

33. Guidance for completing and submitting action and implementation plans is given in Annex H. Example action and implementation plans can also be found in Appendix 11.

Troubleshooting

34. Appendix 2 will assist with identifying the causes of discrepancies between HESES04 and the HESES04 re-creation.

Supplementary data

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

FAQs

36. FAQs for this exercise can be found on the HEFCE web-site under Learning & teaching/Data collection. We encourage institutions to refer to the FAQs for guidance in the first instance. We will only use our e-mail list of HESES contacts to notify institutions of significant changes or updates.

SAS code

37. We use the SAS programming language to generate the HESES04 re-creation. The SAS code we use to do this is on the HEFCE web-site under Learning & teaching/Data collection.

Comments

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

Deadline for responses

39. Action and implementation plans must be uploaded to the HEFCE extranet no later than **10 February 2006.**

40. The final deadline for sign off for amendments to HESA data and overrides to derived fields, as detailed in the action and implementation plan(s) is **28 March 2006**.

Annex C

Comparison of the HESES04 re-creation and the HESES04 re-creation based on cost centre sector norms for subjects

Purpose

1. This annex details the process of making a response, where one is required, to the comparison of a re-creation of HESES04 generated from HESA 2004-05 student data, and a re-creation of HESES04 that is generated from HESA 2004-05 student data using the assignment of activity to cost centres based on sector norms for subjects (HESES04 re-creation based on sector norms for subjects) for subjects where the total student FTE assigned across the subject is greater than 100.

2. This annex also specifies the threshold we have used to select institutions required to make a response to the exercise. This threshold is based upon funding differences that arise from discrepancies between cost centre assignments and the cost centre sector norms for those subjects.

3. Where the comparison identifies funding differences that exceed the threshold in paragraph 16 we require a full response to be made through an action and implementation plan. This should explain discrepancies between the HESES04 re-creation and the HESES04 re-creation based on cost centre norms for subjects, and also between HESES04 and the HESES04 re-creation. Guidance for completion of acceptable action and implementation plans is provided in Annex H. The HESES04 re-creation based on 'cost centre sector norms for subjects' action plan template contains pre-completed fields indicating the areas where we require an explanation for differences between the two re-creations.

Background

4. We expect, based upon HEFCE guidance, that student load has been allocated to cost centres based on the cost centre of the member of staff most directly associated with it. In general, academic staff should be assigned to the cost centre that best represents the majority of their academic activity.

5. Further guidance on assigning departments to academic cost centres is contained in 'Assigning departments to academic cost centres: 2003-04' (HEFCE Circular Letter 25/2003). This can be downloaded from the HEFCE web-site under Publications/Circular letters.

Tables for HESES04 re-creation based on cost centre sector norms for subjects

6. The tables for the HESES04 re-creation based on cost centre sector norms for subjects can be accessed from the HEFCE extranet. Annex G describes how to access the Excel workbook SNCC04XXXX.xls (where XXXX denotes the HESA institution identifier).
The workbook contains the following worksheets:

Page	Worksheet*	Title
1	Coversheet	Title page containing information about the thresholds and the difference in terms of contract range holdback between the HESES04 re-creation, and the HESES04 re-creation based on cost centre sector norms for subjects
2	snSummary	Summary comparison of HESES04 re-creation and the HESES04 re-creation based on cost centre sector norms for subjects
3	snSummaryPG	Summary comparison of price group activity between HESES04 re-creation and the HESES04 re-creation based on cost centre sector norms for subjects
4	snExcl	Students excluded from the HESES04 re-creation based on cost centre sector norms for subjects
5	snFTS	HESES04 re-creation based on cost centre sector norms for subjects Table 1a: Full-time and sandwich years of programme of study
6	snMED	HESES04 re-creation based on cost centre sector norms for subjects Table 1b: Medical and dental full-time and sandwich years of programme of study
7	snSWOUT	HESES04 re-creation based on cost centre sector norms for subjects Table 2: Sandwich year-out years of programme of study
8	snPT	HESES04 re-creation based on cost centre sector norms for subjects Table 3: Part-time years of programme of study
9	snFEE	HESES04 re-creation based on cost centre sector norms for subjects Table 4: Home and EC fees
10	snHBK	HESES04 re-creation based on cost centre sector norms for subjects grant adjustments
11	snSTD	HESES04 re-creation based on cost centre sector norms for subjects recalculated standard resource
12	snF03	HESES04 re-creation based on cost centre sector norms for subjects recalculated assumed fee income
13	FTS	HESES04 re-creation Table 1a: Full-time and sandwich years of programme of study
14	MED	HESES04 re-creation Table 1b: Medical and dental full-time and sandwich years of programme of study
15	SWOUT	HESES04 re-creation Table 2: Sandwich year-out years of programme of study
16	PT	HESES04 re-creation Table 3: Part-time years of programme of study
17	FEE	HESES04 re-creation Table 4: Home and EC fees
18	HBK	HESES04 re-creation grant adjustments
19	STD	HESES04 re-creation recalculated standard resource
20	F03	HESES04 re-creation recalculated assumed fee income

*For worksheet reference see spreadsheet tabs.

7. All of the information in the tables for the HESES04 re-creation based on cost centre sector norms for subjects can be re-built by categorising and aggregating the data contained in the individualised file which we provide. The file (SNCC04XXXX.ind) contains details of how each student was assigned to price groups in the re-creation in terms of HESA and derived fields. A full description of the data in the individualised file is given in Appendix 4.

Sector norm cost centre assignments

8. We generated a cost centre sector norm mapping of subject activity to cost centres using HESA 2004-05 student data. To do this, we identified the cost centre to which most institutions assigned the subject activity. This was calculated as follows:

a. For each institution, the FTE for each subject area was calculated. The first two characters of the Joint Academic Coding System (JACS) code were used to assign module activity (HESA fields SBJ01-16) to subject areas.
b. For each institution, if the FTE of a subject area was less than 50 the activity was removed from the analysis to identify the cost centre sector norms.
c. For each institution and each subject area, the cost centre with the largest FTE was assumed to be the institution's cost centre 'preference'.
d. For each subject area, the cost centre with the largest number of 'preferences' was taken to be the cost centre sector norm.

9. Details of the number and percentage of institutions that returned the cost centre sector norm as their 'preference' for the subject area are provided in an Excel file on the HEFCE web-site under Learning & teaching/Data collection.

Comparison

10. We compare the HESES04 re-creation with the HESES04 re-creation based on cost centre sector norms for subjects.

11. We derive the HESES04 re-creation, and hence the individualised file, by applying the algorithms detailed in Appendix 1 to HESA 2004-05. We use 2004-05 HESA data to assign activity to cost centres, and consequently price groups.

12. We also derive a HESES04 re-creation based on cost centre sector norms for subjects by applying the algorithms detailed in Appendix 1 to HESA 2004-05 student data, except that cost centres, and consequently price groups, are assigned using the sector norm cost centre mapping in Appendix 4. Where HEFCE-funded FTE assigned across the subject area is less than 100 we assign activity to cost centres, and consequently price groups, using the institution's 2004-05 HESA student return.

13. We calculate a grant adjustment report for both the HESES04 re-creation and also the HESES04 re-creation based on cost centre sector norms for subjects. Both of these grant

adjustment reports are produced by applying the same formulae that were used originally to calculate the grant adjustment report for HESES04.

14. We select institutions to explain discrepancies between their cost centre assignments and the sector norm cost centre assignments for subjects using a comparison of the grant adjustment reports derived from each return. Notwithstanding the thresholds, we may also ask for further information from any institution in respect of any part of this comparison. This may result ultimately in adjustments to grant where appropriate.

15. During this comparison, we will incorporate any previous decisions we have made regarding individual institutions' assignments of subject activity to cost centres as a result of previous responses to this exercise.

Selection of institutions required to respond

16. We will require a full, timely and detailed response from institutions where the difference in holdback for exceeding the contract range between the HESES04 re-creation and the HESES04 re-creation based on sector norm assignments of subject activity to price groups, exceeds £1,000,000.

17. In calculating the grant adjustment reports we have ignored any appeals for mitigation. Before making adjustments to an institution's funding as a result of this exercise, we will take into account any previously agreed mitigation. We have adopted this approach to allow us to apply consistent monitoring procedures to all institutions, irrespective of individual circumstances that have affected previously announced funding allocations.

Action required

18. We will write to heads of institutions, copied to HESES contacts, on 16 December 2005 specifying whether a response is required.

19. Where we require a response, two separate action and implementation plans must be submitted via the HEFCE extranet by **10 February 2006**, detailing how the institution will reconcile differences between HESES04, the HESES04 re-creation and the HESES04 re-creation based on cost centre sector norms for subjects. Guidance for completing and submitting an action and implementation plan is included in Annex H.

Action and implementation plans

20. Each institution required to make a response will be asked to provide two action plans. Differences between HESES04 and the HESES04 re-creation must be explained, in addition to differences between the HESES04 re-creation and the HESES04 re-creation based on cost centre sector norms for subjects, regardless of whether the thresholds described in paragraph 8 of Annex B have been exceeded. Therefore institutions will be asked to complete and submit an action plan to explain differences between HESES04 and the HESES04 re-creation, as well as an action plan to explain differences between the

HESES04 re-creation and the HESES04 re-creation based on cost centre sector norms for subjects. The plans must contain the specific information detailed in Annex H before we can approve them and progress with the exercise. Please ensure you have understood the requirements in Annex H.

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

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

22. In order to gain these assurances we may need to collect or review data as part of these visits. Paragraph 28a of the Financial Memorandum (HEFCE 2003/54) provides for the cost of such investigations to be deducted from institutions' grant.

23. Paragraphs 8-9 of Annex B provide further details of the requirements for responses to the HESES04 and the HESES04 re-creation comparison.

24. We expect the explanations that institutions provide for discrepancies between the HESES04 re-creation and the HESES04 re-creation based on cost centre sector norms for subjects to fall into one or more of the following four categories:

- errors in HESA 2004-05 HESA student data
- problems of fit with the HESES04 re-creation based on cost centre sector norms for subjects algorithms because the subject area is small
- problems of fit with the HESES04 re-creation based on cost centre sector norms for subjects algorithms because the subject area is not the primary subject area for the member of staff teaching the activity
- problems of fit with the HESES04 re-creation based on cost centre sector norms for subjects algorithms because the sector norm cost centre for the subject area is not appropriate for the activity.

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

Errors in HESA data

26. If we find, either through reconciliations with HESA data, or any data audit, that the HESES submission does not reflect the final outturn position for the year, and that this has resulted in institutions receiving incorrect funding allocations, the HESES04 re-creation will supersede HESES04, and any consequent grant adjustments will be made (subject to the appeals process and the availability of our funds). Therefore it may be necessary for an institution to submit to HESA a revised 2004-05 HESA student return which incorporates all

necessary amendments to ensure it reasonably reflects the outturn position for 2004-05. Annex I details how to submit amendments to HESA data.

27. There are two areas where we would expect the explanation of a discrepancy between the HESES04 re-creation and the HESES04 re-creation based on cost centre sector norms for subjects to be due to errors in 2004-05 HESA student data. Firstly where an institution has returned erroneous subject information (JACS codes) in the HESA module subject fields SBJ01-16; and secondly where an institution has returned erroneous cost centre information in the HESA module cost centre fields COSTCN01-16. In both cases the 2004-05 HESA student data are erroneous, regardless of cause, if their effect is inconsistent with the guidance for assigning departments to academic cost centres (HEFCE Circular Letter 25/2003), and the consequent assignment of activity to cost centres.

28. The procedures for the quality assurance of HESA data must take place before an institution signs off the HESA data as correct. Any resubmitting of 2004-05 HESA student data to HESA after this point must be seen as exceptional.

29. Where errors are found in HESA data we require institutions to submit a revised, full and valid HESA return directly to HESA only once these changes have been notified to us through an action and implementation plan, and this plan has been approved.

30. We recognise that HESA returns are necessarily complicated, and that errors may occur in them. However, we expect that if institutions use the HEFCE web facility for 2004-05 statistics derived from HESA data this will keep the number of amendments to a minimum (see HEFCE 2005/32 for more details).

31. We may carry out further investigations where amendments to HESA data contradict our understanding of the broad characteristics of activity at an institution.

Problems of fit with the algorithms because the subject area is small

32. If the staff FTE for a subject area is less than 20 then we do not require any further information to be included in the action plan for differences between the two re-creations for this subject area.

33. Once we are content that the explanation for a difference between the two re-creations is because the subject area is small, we will use the information from the action plan to insert an override in our algorithms. The override will assign activity for the subject area to cost centres, and consequently price groups, using the institution's 2004-05 HESA student return.

Problems of fit with the algorithms because the subject area is not the primary subject area for the member of staff teaching the activity

34. It is quite common for staff to teach small amounts of activity in subject areas that are typically taught in another department at the institution. For example, a member of the engineering department may teach a module in mathematics to engineering students, where

the mathematics content is integral to the engineering course. Where this is the cause of differences between the two re-creations for a particular subject area, the action plan should contain details of the name(s) of the department(s) of the members of staff teaching the activity, as well as an indication of the extent of teaching in the subject area by members of staff where this is not their primary subject area.

35. Following review of the action plan we may ask for more details about the subject content of the modules.

36. Once we are content that the explanation for a difference between the two re-creations is because the subject area is not the primary subject area for the member of staff teaching the activity, we will use the information from the action plan to insert an override in our algorithms. The override will assign activity for the subject area to cost centres, and consequently price groups, using the institution's 2004-05 HESA student return.

Problems of fit with the algorithms because the sector norm cost centre is not appropriate for the activity

37. For a given institution, the assignment of a particular subject area to a cost centre may be different to the majority of the sector (the sector norm) if the costs associated with delivering the activity are fundamentally different. Where this is the cause of differences between the two re-creations for a particular subject area, the action plan should contain details of the name(s) of the department(s) of the members of staff teaching the activity.

38. Following review of the action plan we may ask for more details about the typical subject content of the activity being taught by the department.

39. Once we are content that the explanation for a difference between the two re-creations is because the sector norm cost centre is not appropriate for the activity, we will use the information from the action plan to insert an override in our algorithms. The override will assign activity for the subject area to cost centres, and consequently price groups, using the institution's 2004-05 HESA student return.

Further action

40. Revised HESA data submitted directly to HESA and overrides made to derived fields will be used to reproduce the HESES04 re-creation and the HESES04 re-creation based on cost centre sector norms for subjects. Once all overrides have been processed, and the revised 2004-05 HESA student data have been incorporated, we will review the HESES04 re-creation. If we are not content that all discrepancies between HESES04, the HESES04 re-creation and the HESES04 re-creation based on cost centre sector norms for subjects have been reasonably explained, we will ask the institution to submit a further action and implementation plan to explain any remaining discrepancies between the two data sources.

41. Once we are content that all discrepancies between the HESES04 return, the HESES04 re-creation and the HESES04 re-creation based on cost centre sector norms for subjects

have been reasonably explained, we will ask the institution to confirm that the HESES04 re-creation reasonably reflects the outturn position for 2004-05.

42. Once confirmation has been received we will generate a RAS04 re-creation, to incorporate any amendments that have been made to HESA 2004-05 student data. We will request a further response where the selection threshold for the comparison of HESA 2004-05 student data with the RAS04 re-creation is exceeded.

Guidance

HEFCE contact

43. Each institution required to make a response to this exercise has been assigned a HEFCE contact, who should be the primary point of contact throughout the reconciliation process. This contact will be able to provide guidance during the response process. We will provide information to institutions about their contact in a letter from Ben Grassby on 16 December 2005.

Action and implementation plan

44. Guidance for completing and submitting action and implementation plans is given in Annex H. Example action and implementation plans can also be found in Appendix 11.

Troubleshooting

45. Appendix 2 will assist with identifying the causes of discrepancies between HESES04 and the HESES04 re-creation.

Supplementary data

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

FAQs

47. FAQs for this exercise can be found on the HEFCE web-site under Learning & teaching/Data collection. We encourage institutions to refer to the FAQs for guidance in the first instance. We will only use our e-mail list of HESES contacts to notify institutions of significant changes or updates.

SAS code

48. We use the SAS programming language to generate the HESES04 re-creation. The SAS code we use to do this is on the HEFCE web-site under Learning & teaching/Data collection.

Comments

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

Deadline for responses

50. Action and implementation plans must be submitted no later than **10 February 2006.**

51. The final deadline for sign off for amendments to 2004-05 HESA data amendments and overrides to derived fields as detailed in action and implementation plan(s) is **28 March 2006**.

Annex D

Comparison of RAS04 and the RAS04 re-creation

Purpose

1. This annex details the process of making a response, where one is required, to the comparison of RAS04 and the RAS04 re-creation that has been derived from HESA 2004-05 student data. This annex also specifies the threshold we have used to select institutions for response, based on discrepancies between their RAS04 and RAS04 re-creation. Where an institution's data lead to discrepancies which exceed the threshold, we require a full response through an action and implementation plan. Guidance for completing an acceptable action and implementation plan is provided in Annex H.

RAS04 re-creation tables

2. The RAS04 re-creation tables and RAS04 tables can be accessed from the HEFCE extranet. Annex H describes how to access the Excel workbook (RASR04XXXX.xls-where XXXX denotes the HESA institution identifier). The workbook contains the following worksheets:

Page	Worksheet*	Title
1	CoverSheet	Title page containing information about the thresholds and the difference in terms of the sum of the absolute difference between RAS04 and the RAS04 re-creation over the eight subject groups which exceed 300 FTEs compared to the initial position
2	R1a	RAS04 re-creation Form R1a: All full-time research students by year of programme
3	R1b	RAS04 re-creation Form R1b: All part-time research students by year of programme
5	R2a	RAS04 re-creation Form R2a: Fundable Home and EC fee paying full-time research students by year of programme
6	R2b	RAS04 re-creation Form R2b: Fundable Home and EC fee paying part-time research students by year of programme
8	Funds	RAS04 re-creation calculation of quality related research (QR) funding for 2005-06 using HESA 2004-05 student data and other HEFCE research funding data
10	Summary	Summary comparison of RAS04 and the RAS04 re-creation
11	Summary by subject groupings	Summary comparison of RAS04 and the RAS04 re-creation by broad subject group
12	rR1A	RAS04 Form R1a: All full-time research students by year of programme
13	rR1B	RAS04 Form R1b: All part-time research students by year of programme
15	rR2A	RAS04 Form R2a: Fundable Home and EC fee paying full-time research students by year of programme

16	rR2B	RAS04 Form R2b: Fundable Home and EC fee-paying part-time research students by year of programme
18	rFunds	RAS04 HEFCE data for quality-related (QR) funding for 2005-06 using RAS 2004 and other HEFCE research funding data table
20	Broad subject groups	Mapping of units of assessment to broad subject groups used for comparison tables

3. All the information contained in the RAS04 re-creation tables can be built by categorising and aggregating the data contained in the individualised file which we provide. The file (RASR04XXXX.ind) contains details of how each student was classified in the re-creation. A full description of the data in the individualised file is given in Appendix 7.

Comparison

4. We derive a RAS04 re-creation of forms R1a, R1b, R2a and R2b, and hence the individualised file, by applying the algorithms detailed in Appendix 7 to the HESA 2004-05 student data.

5. We compare the RAS04 re-creation to RAS04. This comparison takes place after the 2004-05 student data have been finalised with HESA.

6. We re-calculate the 2005-06 research grant from the RAS04 re-creation by applying the same formulae that were used to calculate it from RAS04. Further information about research funding is provided in Appendix 7.

7. We assign each UOA to one of eight subject groups. The assignments of UOAs to subject groups are given in Appendix 7.

8. We select institutions to explain discrepancies between their RAS04 and RAS04 re-creation where there are significant differences in FTEs over the eight subject groups between RAS04 and the RAS04 re-creation. Notwithstanding the thresholds, we may also ask for further information from any institution in respect of this comparison.

Selection of institutions required to respond

9. We will require a full, timely and detailed response from institutions where the following threshold is exceeded: The sum of the absolute difference between RAS04 and the RAS04 re-creation over eight subject groups exceeds 300 FTEs and 30% as a percentage of total FTEs.

Action required

10. We will write to heads of institutions, copied to RAS contacts, on 16 December 2005 specifying whether a response is required.

11. Where we require a response, an action and implementation plan must be submitted via the HEFCE extranet by 10 February 2006, detailing how the institution will reconcile the two data sources. Guidance for submitting an action and implementation plan is included in Annex H.

Action and implementation plan

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

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

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

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

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

16. We expect explanations provided by institutions for discrepancies between the two data sources to fall into one or more of the following three categories:

- errors in HESA 2004-05 student data
- errors in RAS04
- problems of fit with the RAS04 re-creation algorithms.

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

Errors in HESA data

18. Where errors are found in RAS04, the RAS04 re-creation will supersede RAS04, and any consequent grant adjustments will be made (subject to the appeals process and the availability of our funds). Therefore it may be necessary to submit to HESA a full valid HESA return which incorporates all necessary amendments to its HESA data to ensure they reasonably reflect the outturn position for 2004-05.

19. The procedures for the quality assurance of HESA data must take place before an institution signs off the HESA data as correct. Any resubmitting of a HESA return to HESA after this point must be seen as exceptional.

20. Where errors are found in HESA data we require institutions to submit a revised, full and valid HESA return directly to HESA only once these changes have been notified to HEFCE on the action and implementation plan, and this plan has been approved.

21. Where errors are found in HESA data we require institutions to resubmit a full and valid amended HESA return to HESA. Institutions are strongly encouraged to submit this well before the deadline of **28 March 2006**, in order to ensure that, if required, any additional amendments are submitted within this timeframe.

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

Errors in RAS04 data

23. Where errors are found in RAS04, the RAS04 re-creation will supersede RAS04, and any consequent grant adjustments will be made (subject to the appeals process and the availability of our funds). Therefore it will not be necessary for institutions to submit corrections to their RAS04.

Problems of fit with the RAS04 re-creation algorithms

24. We do not expect that problems of fit with the HEFCE algorithms will fully explain the discrepancies which institutions are required to respond to. However, where a problem of fit between our algorithms and RAS04 definitions contributes to a discrepancy, evidence will be required of where the problem occurs, and its impact, with details on the action and implementation plan. Appendix 9 gives all known problems of fit with the RAS04 re-creation algorithms.

25. Where problems of fit are identified we require institutions to submit an override file to HEFCE. Institutions are strongly encouraged to submit overrides before the deadline of **28 March 2006** in order to ensure that, if required, any additional overrides and amendments can be submitted within this timeframe.

26. Overrides must follow the specification described in Annex J. This is essential in order to establish an audit trail of data changes, and to ensure that overrides are applied in a timely and accurate manner.

27. Where problems of fit are identified with the mapping of subjects to UOAs, once we have been informed and agree to the problem of fit, we will construct an override file. This will be implemented when the institution has approved the file.

Further action

28. Amendments to HESA data and overrides to derived fields will be used to update the RAS04 re-creation. Once all amendments/overrides have been processed, if we are not content that all discrepancies between the RAS04 return and the re-creation have been reasonably explained, we will ask the institution to submit a further action and implementation plan to explain any remaining discrepancies between the two data sources.

29. Once all amendments to HESA data and overrides to derived fields have been processed, and we are content that all discrepancies between the RAS04 return and the re-creation have been reasonably explained, we will ask the institution to confirm that the RAS04 re-creation reasonably reflects the outturn position for 2004-05.

30. Once confirmation has been received we will generate both a HESES04 re-creation and a HESES04 re-creation based on cost centre sector norms for subjects to incorporate any amendments made to HESA 2004-05 student data. We will request a further response where the threshold are exceeded for the comparisons of HESA 2004-05 student data with either HESES04 or the HESES04 re-creation based on cost centre sector norms for subjects.

Guidance

HEFCE contact

31. Ben Grassby is the assigned HEFCE contact for all institutions that are required to make a response to the comparison of RAS04 and the RAS04 re-creation exercise. He will provide guidance during the response process, and should be the primary point of contact throughout the reconciliation process.

Action and implementation plan

32. Guidance for completing the action and implementation plan is given in Annex H. An example action and implementation plan is also provided in Appendix 11.

Troubleshooting

33. Appendix 8 will assist with identifying the causes of discrepancies between RAS04 and the RAS04 re-creation.

FAQs

34. FAQs for this exercise can be found on the HEFCE web-site under Learning & teaching/Data collection. We encourage institutions to refer to the FAQs for guidance in the first instance. We will only use our e-mail list of RAS contacts to notify institutions of significant changes or updates.

SAS code

35. We use the SAS programming language to generate the RAS04 re-creation. The SAS code we use to do this can be found on the HEFCE web-site under Learning & teaching/Data collection.

Comments

36. All institutions are invited to comment on the algorithms described in Appendix 7, and to suggest how they can be improved. Comments should be e-mailed to hesa_heses_feedback@hefce.ac.uk.

Deadline for responses

37. Action and implementation plans must be submitted no later than **10 February 2006.**

38. The final deadline for sign off for amendments to HESA data and overrides to derived fields as detailed in the action and implementation plan(s) is **28 March 2006.**

Annex E

Derived statistics likely to inform the 2006-07 widening participation allocations

Purpose

1. This annex describes how we intend to use 2004-05 HESA data to inform the widening participation (WP) allocations for 2006-07. Further details of the algorithms are provided in Appendix 10.

Derived statistics outputs

2. Annex H describes how to access the derived statistics likely to be used to inform the 2006-07 WP allocations in an Excel workbook (WP04XXXX.xls – where XXXX denotes the HESA institution identifier).

3. The WP derived statistics can be re-built from the individualised file (WP04XXXX.ind) which we provide. The file contains details of how each student was classified in the tables and, where relevant, details of the reasons they were excluded from the tables. A full description of the data in the individualised file is given in Appendix 10.

Indicative funding calculations

4. We have generated an indicative 2006-07 funding calculation for each of the WP allocations. The calculations use 2005-06 allocation rates applied to 2005-06 assumed FTEs in most cases. They will not incorporate 2006-07 additional student numbers, transfers or mergers. We have included a change in the rate of funding for the part-time widening access allocation to give an estimate of the effect of the extra £40 million committed to this funding stream for 2006-07 and 2007-08.

5. The indicative allocations for 2006-07 are provided solely to highlight potential 2004-05 HESA student data errors. They should not be considered as any kind of funding commitment by HEFCE and are without prejudice to what the HEFCE Board may agree to be the final allocations for any institution. The final allocations for 2006-07 may be higher or lower than the illustrations given in the output, as a result of changes to data by the institution or to the data provided by any other institution, or to the total sum available for allocation.

Widening access for students from disadvantaged backgrounds

6. This is a formula-based allocation of funding for teaching to recognise the extra costs associated with recruiting and supporting undergraduate students from disadvantaged backgrounds, who are currently under-represented in higher education. The funds are allocated on the basis of higher education participation rates and average educational achievement for census wards. They are calculated for each institution using HESA 2004-05 data. The method is as follows.

7. First, using postcode information from 2004-05 HESA student data, each student is mapped to a census ward. These wards are then ranked in terms of their higher education

participation rate (for young, under 21, full-time students) or average educational achievement (for mature full-time students and all part-time students), split into quintiles, and weighted as follows.

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

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

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

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

10. The population is defined as:

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

11. Some students are excluded from the population:

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

12. These students are counted in the next step (see paragraph 13), and therefore receive an average weight for the purpose of allocating funds.

13. The average weight derived from paragraphs 9 and 10 is London weighted (8 per cent for inner London and 5 per cent for outer London) and applied to the assumed undergraduate (including foundation degree) FTE for 2006-07.

Improving retention

Full-time

14. As well as allocating funding to widen access, we are also allocating funding to improve retention. For full-time undergraduate students, this is based on their pre-entry qualifications and age. The allocations are calculated as follows.

15. Firstly, using age and pre-entry qualification information from 2004-05 HESA data, full-time undergraduate entrants are assigned to one of six categories which are then weighted as shown below.

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

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

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

$$\frac{\text{English-domiciled full-time and sandwich undergraduate entrants, weighted according to age and pre-entry qualification}}{\text{All English-domiciled full-time and sandwich undergraduate entrants}}$$

18. The average weight derived from paragraph 17 is given a London weighting and applied to the assumed undergraduate (including foundation degree) FTE for 2006-07.

Part-time

19. This allocation is distributed pro rata to London weighted part-time undergraduate assumed FTEs.

Widening access for students with disabilities

20. This allocation has been calculated using HESA 2004-05 student data as follows.

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

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

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

23. Institutions' share of the allocation is pro rata to the assumed FTE for 2006-07, weighted according to the quartile in which they fall and a London weighting, although a minimum allocation of £10,000 for each HEI applies.

Errors in 2004-05 HESA data

24. The procedures for the quality assurance of 2004-05 HESA data should take place prior to an institution signing off their 2004-05 HESA data. Any amendments accepted after this point to recalculate funding should be seen as exceptional, and not as part of quality assurance procedures.

25. If institutions wish to correct their 2004-05 HESA data used to inform the 2006-07 WP allocations, they should submit an action and implementation plan **by 1 May 2006.** Annex H gives guidance on completing and submitting action and implementation plans. The action plan must be completed in the correct format as shown in the example in Appendix 11.

26. HESA will not accept amendments to 2004-05 HESA student data until it has received confirmation that we are content with the institution's action and implementation plan. Amendments should be signed off by **15 May 2006** to ensure incorporation in the 2006-07 WP allocations. See Annex I for details on how to submit amendments to HESA 2004-05 student data.

27. We will endeavour to incorporate any amendments to 2004-05 HESA data signed off after **15 May 2006** in the final 2006-07 WP allocations. However institutions should be aware that there is limited availability of funds after the WP allocations are announced.

28. We may carry out an investigation where amendments contradict our understanding of the broad characteristics of activity at an institution.

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

	Young	**Mature**
Low risk	A-levels/Highers/vocational A-levels with more than 260 or 0* Tariff points Baccalaureate Degree or higher Unknown†	A-levels/Highers/vocational A-levels with more than 320 or 0* Tariff points Degree or higher Unknown†
Medium risk	A-levels/Highers/vocational A-levels with between 260 and 161 tariff points Foundation course Vocational A-levels only Other HE qualification	A-levels/Highers/vocational A-levels with 320 or fewer tariff points Other HE qualification Foundation course Access course Vocational A-levels only
High risk	A-levels/Highers/vocational A-levels with between 160 and 1 tariff points BTEC Access course Others None	BTEC Baccalaureate Others None

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

†Entrants with 'unknown' entry qualifications or unknown UCAS tariff points have been assigned to the 'low risk' category. Institutions should ensure that entry qualifications are fully recorded, if students are to be weighted appropriately in the allocation method for this stream of funding.

Annex F

Information for lead institutions of HEFCE-recognised funding consortia

Purpose

1. The purpose of this annex is to inform higher education institutions that are leads of a HEFCE-recognised funding consortia how we will use data from them and their member colleges for the monitoring and allocation of funding. It also provides details of the timetable for the derived statistics exercise that we expect will apply to HEFCE-recognised funding consortia.

2. Under a HEFCE-recognised funding consortium, the lead institution is responsible for co-ordinating responses to any element of the exercise. In particular, we expect the lead institution to co-ordinate any response to the comparison of HESES04 and the HESES04 re-creation where a response is required.

3. Member colleges' 2004-05 July ILR F04 data will also be used to inform the 2006-07 WP allocations for the consortium, and the lead may wish to co-ordinate any necessary correction of member colleges' 2004-05 July ILR data.

Data collection arrangements for HEFCE-recognised funding consortia

4. Under the arrangements for HEFCE-recognised funding consortia, each student is recognised as a student of the appropriate consortium member, rather than of the lead institution. Therefore lead HEIs of HEFCE-recognised funding consortia must submit data to HESA only for students that are registered at their institution. Likewise students that are registered at a member college will be returned on that college's ILR.

5. All member colleges' data for students funded under the consortium arrangement should have been returned by the lead institution on its HESES04 return. Therefore, for the lead institution of a HEFCE-recognised funding consortium, the HESES04 re-creation will incorporate its HESA 2004-05 student data along with 2004-05 July ILR data for each member college.

Outputs for HEFCE-recognised funding consortia

6. We produce the following outputs for HEFCE-recognised funding consortia:

- comparison of HESES04 and the HESES04 re-creation (includes HESA student data for the lead higher education institution, and ILR data for the member colleges)
- HESES04 re-creation for the lead institution (includes HESA student data for the lead higher education institution only)
- separate HESES04 re-creations for each of the member colleges (includes ILR data for the member college only)
- HESES04 re-creation individualised file for the lead institution (includes HESA student data for the lead higher education institution only)

- separate HESES04 re-creation individualised files for each of the member colleges (includes ILR data for the member college only)
- comparison of the HESES04 re-creation and the HESES04 re-creation based on cost centre sector norms for subjects (includes HESA student data for the lead higher education institution, and ILR data for the member colleges)
- derived statistics likely to be used to inform 2006-07 WP allocations (includes HESA student data for the lead higher education institution, and ILR data for the member colleges).

7. In addition, for lead higher education institutions, we produce a comparison of RAS04 and the RAS04 re-creation: Forms R1a, R1b, R2a and R2b.

HESES04 and the HESES04 re-creation

8. The comparison of HESES04 and the HESES04 re-creation (which includes HESA student data for the lead higher education institution as well as ILR data for the member colleges) can be accessed from the HEFCE extranet. Annex G describes how to access the Excel workbook (HESR04XXXX.xls - where XXXX denotes the HESA institution identifier). The workbook contains the same worksheets as described in Table 1 of Annex B, and is only accessible by the lead institution of the consortium.

9. The HESES04 re-creation for the lead institution (which includes HESA student data for the lead higher education institution only) can be accessed from the HEFCE extranet. Annex G describes how to access the Excel workbook (LEAD04XXXX.xls - where XXXX denotes the HESA institution identifier). The workbook contains the same worksheets as described in Table 1 of Annex B, and is only accessible by the lead institution of the consortium.

10. The HESES04 re-creation for the lead institution (which includes HESA student data for the lead higher education institution only) can be re-built by categorising and aggregating the data contained in the HESES04 re-creation individualised file for the lead institution, HESR04XXXX.ind. This contains details, in the form of HESA and derived fields of how each student was classified in the re-creation. The individualised file contains the same HESA fields and derived fields that are described in Tables 1 and 2 of Appendix 1, and is only accessible by the lead of the consortium.

11. We will not normally provide HESES04 re-creation tables and individualised files for leads of HEFCE-recognised funding consortia until the member colleges' ILR data are available. However, if a lead higher education institution would like to benefit from early sight of its HESES04 re-creation and individualised file (containing data for that institution only), it can be provided by contacting Ben Grassby (e-mail: hesa_heses_stats@hefce.ac.uk) shortly after 16 December 2005.

12. Separate HESES04 re-creations for each of the member colleges (which include ILR data for the member college only) can be accessed from the HEFCE extranet. Annex G describes how to access the Excel workbook (HEIR04YYYYYY.xls where YYYYYY is the LSC's Unique Provider Identification Number, UPIN, for the member college). The workbook contains the following worksheets, and is only accessible by the member college and the lead institution of the consortium.

Page number	Worksheet (see tabs on spreadsheet)	Description
1	Coversheet	Title page
2	Excl	Exclusion table using 2004-05 ILR data
3	FTS	Table 1a: Full-time and sandwich years of programme of study using 2004-05 ILR data
4	SWOUT	Table 2: Sandwich year-out years of programme of study using 2004-05 ILR data
5	PT	Table 3: Part-time years of programme of study using 2004-05 ILR data
6	FEE	Table 4: Home and EC fees using 2004-05 ILR data

13. The separate HESES04 re-creations for each of the member colleges (which include ILR data for the member college only) can be re-built by categorising and aggregating the data contained in the individualised file, HEIR04YYYYYY.ind. This contains details, in the form of ILR fields and derived fields, of how each student was classified in the re-creation.

14. The algorithms used to generate HESES04 re-creation data for member colleges will be available in the publication '2004-05 statistics derived from ILR data for the monitoring and allocation of funding in FECs', which we expect to issue in February 2006. We do not expect to receive ILR July 2004-05 student data from the LSC until late January 2006. Lead institutions will not be given automatic access to the separate HESES04 re-creation individualised files for each of the member colleges.

Access to outputs

15. Lead institutions will be given automatic access to all outputs except the separate HESES04 re-creation individualised files for each of the member colleges. Each member college will receive access to its separate HESES04 re-creation, and a separate HESES04 re-creation individualised file containing only ILR data for that college.

16. Where a member college gives us permission to give the lead institution access to its HESES04 re-creation individualised file, we will write to the lead institution to describe how it can access the individualised files via the HEFCE extranet.

Annex G

Obtaining data from the HEFCE extranet

1. Outputs from the derived statistics exercise should be accessed from the HEFCE extranet at https://extranet.hedata.ac.uk.

2. When we receive amendments to HESA data or overrides due to problems of fit with our algorithms, the version of the derived statistics outputs held on our extranet will be overwritten once these amendments/overrides have been incorporated. Therefore, if institutions wish to retain intermediate versions of the outputs, they will need to make copies on their own system. Each time we make an update, the date will be printed on the outputs along with a 'run number' that will increase by one for each new version.

Registering a new account

3. New users of the HEFCE extranet will first need to register an e-mail address and extranet password. This can be done by clicking the 'Register' link on the login screen. In order to register, you will require an 'organisation key' and a 'group key', details of which have been provided in the letter to be sent to your head of institution by Ben Grassby on 16 December 2005.

4. Once registered, you should be able to log in by entering the e-mail address you used during registration, and the password that you created.

Existing users of the extranet

5. If you have used the HEFCE extranet for other HEFCE returns, you will be required to log in and join the group for '2004-05 statistics derived from HESA data'. Follow the log-in procedure by entering your e-mail address and password. You will be directed to a page for 'HEFCE extranet – All resources'; under 'Applications', click 'Join a group'. Enter the group key supplied in Annex A of the letter entitled '2004-05 statistics derived from HESA data', which was sent to your head of institution by Ben Grassby on 16 December 2005, and select 'Join group'.

6. If you have registered in the past but your account has expired, you will be required to refresh your account using the organisation key referred to in paragraph 3.

Athens Single Sign On Account

7. You can also log in to the HEFCE extranet using the Athens Single Sign On account (if this is available at your institution).

a. Follow the 'Log in via Athens SSO' link on the login page.
b. Log in to Athens as normal (if you have not already done so).
c. When Athens has authenticated you, your browser will be directed to the 'HEFCE extranet – available resources page' where institutions will have access to their output files.

d. You will be required to join the group for '2004-05 statistics derived from HESA data'. Under 'Applications', click 'Join a group'. Enter the group key supplied in Annex A of the letter titled '2004-05 statistics derived from HESA data', which was sent to your head of institution by Ben Grassby on 16 December 2005, and select 'Join group'.

Accessing the output files

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

9. Click 'HEFCE Resources' under the 'Folders' heading to be directed to the 'HEFCE extranet – HEFCE resources' page. Next click '2004-05 Statistics derived from HESA data' to be directed to the 'HEFCE extranet – 2004-05 Statistics derived from HESA data page. If this link is not visible, it is possible that you do not have the appropriate access. To obtain this, you will need the appropriate group key (see paragraph 3 above for further details). Click on the '2004-05 Statistics derived from HESA data' link to start the download of a zipped archive containing the following output files (in each case, XXXX is the institutional identifier):

- HESR04XXXX.xls. This is an Excel workbook containing the HESES04 re-creation tables
- SNCC04XXXX.xls. This is an Excel workbook containing the tables for the HESES04 re-creation based on cost centre sector norms for subjects
- RASR04XXXX.xls. This is an Excel workbook containing the RAS04 re-creation tables
- WP04XXXX.xls. This is Excel workbook containing data likely to inform the 2006-07 WP allocation
- HESR04XXXX.ind. This is a comma-separated file containing the derived fields that generate the HESES04 re-creation. For leads of HEFCE-recognised funding consortia this file does not include data for the member colleges
- SNCC04XXXX.ind. This is a comma-separated file containing the derived fields that generate the HESES04 re-creation based on cost centre sector norms for subjects. For leads of HEFCE-recognised funding consortia this file does not include data for the member colleges
- RASR04XXXX.ind. This is a comma-separated file containing the derived fields that generate the RAS04 re-creation
- WP04XXXX.ind. This is a comma-separated file containing the derived fields that generate the data that is likely to inform the 2006-07 WP funding allocations - for leads of HEFCE-recognised funding consortia this file does not include data for the member colleges.

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

- LEAD04XXXX.xls. This is an Excel workbook containing the HESES04 re-creation tables for the lead institution (includes HESA student data for the lead HEI only)

- HEIR04YYYYYY.xls. These are Excel workbooks containing the HESES04 re-creation tables for each of the member colleges (includes ILR data for the member college only). In each case, YYYYYY is the UPIN for the member college.

11. The following additional action plan templates are available depending on which area of the exercise you have been selected to respond to. These outputs are available from the HEFCE extranet – 2004-05 Statistics derived from HESA data page. To access these outputs follow the instructions in paragraph 9. You will need to click the download link to download the templates.

- APHESR04XXXX.xls. This is an Excel workbook containing the action and implementation plan template for the HESES04 re-creation. This workbook is only available to institutions that have been formally requested to respond to this element of the exercise. If you are selected to respond to the sector norm cost centre area of the exercise then an identical plan will be provided in sheet AP2 of the APSNCC04XXXX.xls workbook.

- APSNCC04XXXX.xls. This is an Excel workbook containing the action and implementation plan template for the HESES04 re-creation based on cost centre sector norms for subjects and the HESES04 re-creation, and also the HESES04 re-creation and HESES04. These are provided in sheets AP1 and AP2 respectively. This workbook is only available to institutions that have been formally requested to respond to this element of the exercise.

- APRASR04XXXX.xls. This is an Excel workbook containing the action and implementation plan template for the RAS04 re-creation. This workbook is only available to institutions that have been formally requested to respond to this element of the exercise.

- APHESA04XXXX.xls. This is an Excel workbook containing the action and implementation plan template for the general 2004-05 HESA amendments. This workbook is available for all institutions.

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

13. Instruction on how to upload the completed action and implementation plans are provided in paragraph 67 of Annex H.

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

Annex H

Guidance for completing and submitting action and implementation plans

Purpose

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

Approval

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

3. Institutions that wish to make amendments to their 2004-05 HESA student data (for example to correct data that are likely to be used to inform the 2006-07 WP allocations), are also required to submit an action and implementation plan before HESA will accept their amendments. Guidance for completing action plans for institutions that wish to make amendments to their 2004-05 HESA student data is given in paragraphs 60-66.

General requirements of action and implementation plans

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

5. Where an institution wishes to amend its 2004-05 HESA student data, we will use the action plan to gain an understanding of the reasons why amendments are being made and to which HESA fields, so that the impact of incorporation can be checked. In addition the action plan provides us with dates when we can expect the institution to submit the data to HESA. Similarly, implementation plans provide us with assurance that systems or processes will be put in place to reduce the likelihood of similar errors recurring in future returns.

Action and implementation plan templates

6. There are a number of templates for action and implementation plans. These are explained below: in each case, XXXX is the institutional identifier.

7. Institutions selected to respond to the comparison of HESES04 and the HESES04 re-creation are required to complete the template APHESR04XXXX.xls. This Excel workbook contains the HESES04 re-creation action plan template. It is only available where an institution has been formally requested to respond to this element of the exercise.

8. Institutions selected to respond to the comparison of the HESES04 re-creation and the HESES04 re-creation based on cost centre sector norms for subjects are required to complete the template APSNCC04XXXX.xls. This Excel workbook contains the action plan template for the HESES04 re-creation based on cost centre sector norms for subjects and the HESES04 re-creation. It is only available where an institution has been formally requested to respond to this element of the exercise.

9. Institutions selected to respond to the comparison of RAS04 and the RAS04 re-creation are required to complete the template APRASR04XXXX.xls. This Excel workbook contains the RAS04 re-creation action plan template. It is only available where an institution has been formally requested to respond to this element of the exercise.

10. Institutions that wish to make amendments to their 2004-05 HESA student data (for example to correct data that are likely to be used to inform the 2006-07 WP allocations) are required to complete the template APHESA04XXXX.xls. This Excel workbook contains the action plan template for general 2004-05 HESA amendments. It is available to all institutions.

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

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

Detailed requirements for action and implementation plans

13. Below are detailed instructions about the information that we require in each column of the action and implementation plan(s). Action and implementation plan templates are given in Figures 1–4. Example action and implementation plans are given in Appendix 11.

<u>HESES04 re-creation and RAS04 re-creation action plan templates</u>

14. The information that we require in the HESES04 re-creation action plan template, APHESR04XXXX.xls, and the RAS04 re-creation action plan template, APRASR04XXXX.xls, are as follows.

Column 1

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

Column 2

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

17. The troubleshooting guides contained in Appendices 2 and 8 for the HESES04 re-creation and the RAS04 re-creation respectively will allow institutions to identify specific areas of difference between the re-creation and the original return. We expect institutions to exercise their own judgement to decide when small differences between the two data sources do not warrant inclusion within the action plan. However, institutions need to be aware that small differences may accumulate. If their combined total becomes large, this will reduce our confidence in the institution’s ability to identify areas of discrepancy between two data sources.

Column 3

18. This column should contain the cause of the difference between the two data sources. The cause can be attributed to either:

- errors in HESA 2004-05 HESA student data
- errors/estimation discrepancies in HESES04/RAS04, or
- problems of fit with the re-creation algorithms.

19. Paragraphs 18-28 of Annex B and paragraphs 16-27 of Annex D give further descriptions of these broad types of cause for the HESES04 re-creation and the RAS04 re-creation respectively.

20. The only information that should be entered into Column 3 are the words ‘HESA’ (for errors in 2004-05 HESA student data), ‘HESES’ (for errors/estimation discrepancies in HESES04), ‘RAS’ (for errors in RAS04) or ‘HEFCE’ (for problems of fit with the re-creation algorithms).

Column 4

21. This column should contain a detailed description of the cause of the difference. The description should be sufficient to allow us to understand why this discrepancy occurred.

22. Where Column 3 is returned as ‘HESA’, ‘HESES’, or ‘RAS’ we require a brief explanation for the cause of the error. For example: ‘The script in our student record system

for generating MODE on the HESA return incorrectly assigned all students that became dormant during the academic year as code 64 ”Dormant – previously part-time”.’

23. Where Column 3 is returned as ‘HEFCE’, we require a brief explanation of why the algorithms do not fit for the activity. For example: ‘Students on our foundation degree for teaching assistants have been assigned to price group D, however we were awarded these numbers as part of an ASN bid and therefore they should be assigned to price group C. See paragraph 12, Annex G of HESES04 for more details.’

Column 5

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

Column 6

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

Column 7

26. If the cause of difference identified in Column 3 is ‘HESA’, the number of records that are being amended should be included, for example, 33.

Column 8

27. If the cause of difference identified in Column 3 is ‘HESA’, the date by when amended data will be submitted to HESA must be returned in Column 8. Guidance on how to submit amendments to HESA data is at Annex I. Amended data be submitted no later than **28 March 2006**.

Column 9

28. If the cause of difference identified in Column 3 is ’HEFCE’ then a full list of the derived fields that require overrides must be identified by the institution and listed, for example ‘RASUOA1’. For further information on which derived fields are affected by problems of fit with re-creation algorithms see Appendices 3 and 9 for the HESES04 re-creation and RAS04 re-creation respectively. For all other causes of difference given in Column 3, this column should remain blank.

Column 10

29. If the cause of difference identified in Column 3 is ‘HEFCE’ then the number of records to be overwritten should be included, for example, 30.

Column 11

30. If the cause of difference identified in Column 3 is 'HEFCE', the date by which override files will be submitted to HEFCE must be returned in Column 11. Guidance on how to submit overrides is given in Annex J. For all other causes of difference given in Column 3, this column should remain blank. Overrides files should be submitted no later than **28 March 2006**.

Column 12

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

32. For the HESES04 re-creation, estimates of funds due back and funds to be held back can be made by multiplying the FTEs for the area of discrepancy by the rate per FTE (this rate is given in the HBK worksheet of the HESES04 re-creation workbook).

33. For the HESES04 re-creation, estimates of the effect on contract range holdback, in its simplest form, could be approximated as:

FTE x ((base price x price group weighting) – regulated fee for the course)

34. For example, suppose an institution is outside of the contract range in the HESES04 re-creation, where the area of difference is full-time and sandwich undergraduates in price group B with £1,150 regulated fee for the course, and the difference between HESES04 and the HESES04 re-creation is 10 FTEs. Using the calculation above, the difference in contract range holdback could be approximated by 10 x ((£3,484 x 1.7) – 1,150) = £47,728. Institutions may need to include other premiums to increase the accuracy of the estimate.

35. For the RAS04 re-creation the contribution should be measured in student numbers and FTEs only.

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

Column 13

37. If Column 3 is 'HESA', 'HESES' or 'RAS' we require an implementation plan for the area of difference. This section should describe the changes to systems or processes that will be implemented to eliminate the likelihood of similar errors recurring. For example: 'We will hold training sessions for staff in each research department that are involved in entering data into

the student record system. The sessions will focus on the coverage of RAS and its general definitions. In particular, we will place special emphasis on the importance of entering withdrawal information on the student record system as soon as it is known that a student has withdrawn.'

Column 14

38. If Column 3 is 'HESA', 'HESES' or 'RAS' we require a date by which any future improvements will be implemented.

Differences between the HESES04 re-creation and HESES04 re-creation based on cost centre sector norms for subjects

39. The action plan template includes two sheets: AP1 for the HESES04 re-creation and HESES04 re-creation based on cost centre sector norms for subjects and AP2 for the HESES04 re-creation and HESES04. Both of these should be filled in and submitted to HEFCE. The information that we require in the action plan template, APCCSN04XXXX.xls, for the comparison of the HESES04 re-creation based on sector norms for subjects and the HESES04 re-creation are as follows.

Column 1

40. We have pre-completed this column. It contains a sequential number starting at 1 which is used to reference each area of difference identified on the action plan.

Column 2

41. We have pre-completed this column. It contains the subject area and JACS code, where:

- the cost centre sector norm for the subject area is different to the cost centre returned on the 2004-05 HESA student record
- the price group for the cost centre sector norm is different to the price group for the cost centre returned on the 2004-05 HESA record, and
- HEFCE-funded FTEs for the subject area are greater than 100.

Column 3

42. We have pre-completed this column. It contains the cost centre returned on the 2004-05 HESA student record for the subject area listed in Column 2.

Column 4

43. We have pre-completed this column. It contains the cost centre sector norm for the subject area listed in Column 2.

Column 5

44. This column should contain the cause of the difference between the two re-creations. The cause can be attributed to either:

- errors in HESA 2004-05 HESA student data
- problems of fit with the HESES04 re-creation based on cost centre sector norms for subjects algorithms because the subject area is small
- problems of fit with the HESES04 re-creation based on cost centre sector norms for subjects algorithms because the subject area is not the primary subject area for the member of staff teaching the activity, or
- problems of fit with the HESES04 re-creation based on cost centre sector norms for subjects algorithms, because the sector norm cost centre for the subject area is not appropriate for the activity.

45. Paragraphs 26-39 of Annex C give detailed descriptions of these broad types of cause.

46. The only information that should be entered into Column 5 are the words:

- 'HESA' (for errors in 2004-05 HESA student data)
- 'HEFCE-SMALL' (for problems of fit with the re-creation algorithms because the subject area is small)
- 'HEFCE-SECONDARY' (for problems of fit with the re-creation algorithms because the subject area is not the primary subject area for the member of staff teaching the activity) or
- 'HEFCE-MAPPING' (for problems of fit with the re-creation algorithms because the sector norm cost centre for the subject area is not appropriate).

Column 6

47. This column should contain a detailed cause of the difference, unless 'HEFCE-SMALL' was returned in Column 5. The description should be sufficient to allow us to understand why this difference occurred.

48. Where Column 5 is returned as 'HESA' we require a brief description of the cause of the error. For example: 'The script in our student record system for generating COSTCN01 on the HESA return incorrectly assigned all students on mathematics modules to cost centre 24 (Mathematics), whereas some of these modules were taught by members of staff from our engineering department and therefore should have been returned as cost centre 16 (General engineering).'

49. Where Column 5 is returned as 'HEFCE-SECONDARY', we require the name(s) of the department(s) of the members of staff teaching the activity, as well as an indication of the extent of teaching in the subject area by members of staff where this is not their primary subject area. For example: 'Modules in this subject area are taught by the Engineering, Physics, Earth Science and Statistics departments, and a member of staff may teach up to 2

modules per year in this subject area, out of a typical teaching timetable of 8 modules per year.'

50. Where Column 5 is returned as 'HEFCE-MAPPING', we require the name(s) of the department(s) of the members of staff teaching the activity.

51. Where Column 5 is returned as 'HEFCE-SMALL', Column 6 should be left blank.

Column 7

52. If the cause of difference identified in Column 5 is 'HESA', a full list of the fields that the institution expects to correct must be identified and included: for example 'COSTCN01-08'. Erroneous COSTCN01-16 and SBJ01-16 data are the only 2004-05 HESA fields that can cause differences between the two re-creations.

53. For all other causes of difference given in Column 5, this column should remain blank.

Column 8

54. If the cause of difference identified in Column 5 is 'HESA', the number of records to be amended must be included, for example, 99.

Column 9

55. If the cause of difference identified in Column 5 is 'HESA', the date by which amended data will be submitted to HESA must be returned in Column 8. Guidance on how to submit amendments to HESA data is given in Annex I.

56. For all other causes of difference given in Column 5, this column should remain blank.

Column 10a

57. We have pre-completed the student FTEs in this column. Where Column 5 is 'HEFCE-SMALL', the staff FTEs for the subject area should be returned. Otherwise the staff FTEs should remain blank.

Column 10b

58. Where Column 5 is returned as 'HEFCE–SMALL' a value less than 20 FTE should be entered.

Column 11

59. If Column 5 is 'HESA', we require an implementation plan for the area of difference. This section should describe the changes to systems or processes that will be implemented to eliminate the likelihood of similar errors recurring. For example: 'We will hold training

sessions for staff in each research department that are involved in entering data into the student record system. The sessions will focus on the coverage of RAS and its general definitions. In particular, we will place emphasis on the importance of entering withdrawal information on the student record system as soon as it is known that a student has withdrawn'.

Column 12

60. If Column 5 is 'HESA', we require a date by which any future improvements will be implemented.

Institutions that wish to make amendments to their 2004-05 HESA student data

61. The information that we require in the action plan template, APHESA04XXXX.xls, for institutions that wish to make amendments to their 2004-05 HESA student data (for example to correct data that are likely to inform the 2006-07 WP allocations) is as follows.

Column 1

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

Column 2

63. This column should contain a detailed description of the nature of the amendment to 2004-05 HESA student data. For example 'Highest qualification on entry returned as not known for some full-time undergraduates that were not recruited through UCAS. We expect this to have an impact on the improving retention allocation'.

Column 3

64. Either 'CHANGE', 'ADD' or 'DELETE' should be selected to highlight the type of amendments that are being made to the HESA record.

Column 4

65. Where Column 3 is returned as 'CHANGE', this column should contain a list of the fields that the institution expects to correct, for example 'QUALENT2'. If Column 5 is 'ADD' or 'DELETE' then the words 'All fields' should be entered.

Column 5

66. The number of records to be overwritten should be included, for example, 30.

Column 6

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

Submitting action and implementation plans

68. Click ‘HEFCE Resources’ under the ‘Folders’ heading to be directed to the ‘HEFCE extranet – HEFCE resources’ page. Next click ‘2004-05 Statistics derived from HESA data’ to be directed to the ‘HEFCE extranet – 2004-05 Statistics derived from HESA data page. If this link is not visible, it is possible that you do not have the appropriate access. To obtain this, you will need the appropriate group key (see paragraph 3 above for further details). Click the appropriate link to the action plan. For example the ‘APHESR04 data collection’ link. Next click the upload button, browse to the location that the action and implementation plan is saved and click ‘Upload’.

69. For reference the action and implementation plans can be found in a separate Excel file on the HEFCE web-site.

Annex I

New procedure for submitting amendments to HESA data

1. This annex describes the new procedure for making amendments to 2004-05 HESA data after they have been collected from HEIs. Institutions were notified of the new procedure for making post-collection amendments to HESA returns in HESA Student Circular 05/03 '2004/05 HESA student record collection (ref: C04011)'. This procedure will apply to the 2004-05, and subsequent, HESA returns.

2. Previously we accepted post-collection amendments to HESA data and only passed these on to HESA after they were signed-off by the institution. For 2004-05 onwards such exceptional amendments will be collected via HESA.

3. The agreement between HESA and us allows for the costs of processing such exceptional amendments to be recovered from institutions by HESA. It has been agreed that for the student record this charge should be set at 20 per cent of the institution's annual HESA subscription. As this is the first year of operation of this process, these charges have been waived for the 2004-05 collection, but charging will be introduced for 2005-06. Amendments submitted via this route will not be used to inform routine publications such as the HESA 'students in Higher Education institutions' volumes, performance indicators or the TQI statistics until April 2007. HESA has indicated that it will not use these data for ad-hoc analysis before April 2007.

Submitting amendments to HESA data

4. Institutions required to make corrections to their 2004-05 HESA student data are initially required to submit an action and implementation plan to HEFCE before we will consider whether to authorise HESA to receive amendments, as do institutions that wish to make amendments to their 2004-05 HESA student data (for example, to correct data that are likely to be used to inform the 2006-07 WP allocations). Guidance on submitting and completing action and implementation plans is given in Annex H.

5. Once we have approved an action and implementation plan, we will e-mail HESA, copied to the institution, authorising HESA to accept post-collection amendments to HESA 2004-05 student data. This authorisation will also summarise the nature of the amendments to be made (for example, the HESA fields that we expect to be amended along with an approximation of the number of records that will be affected) and a date by which we expect the revised data to be submitted. This information will be extracted directly from the approved action and implementation plan. HESA will only open its post-collection system when it has received explicit instructions from us to do so, and will only accept amendments that are consistent with the summary that we have approved.

6. HESA's post-collection processing is in other ways analogous to the normal collection process. HESA will carry out the same data quality assurance processes that apply for the standard collection of data from HEIs. A full description of the HESA data collection system

is at http://submit.hesa.ac.uk/help. Note that post-collection submissions will only be accepted during a limited period (as described at http://submit .hesa.ac.uk).

7. Shortly after data are committed (as described at http://submit.hesa.ac.uk) during the post-collection process, we will produce updated 2004-05 derived statistic outputs. These outputs will be made available to the institution via the HEFCE extranet. If we are content with the outputs, where appropriate, we will ask the institution to confirm:

- that the re-creation reasonably reflects the outturn position for 2004-05

- the accuracy of overrides to derived fields.

8. Upon receipt of this confirmation we will e-mail HESA, copied to the institution, notifying it that we are content with the revised data. HESA will continue the exceptional data collection processing (for example, credibility checking) until the process is complete.

9. Throughout this process, if we or the institution identify further 2004-05 HESA data amendments that are required (for example, if the amendments made do not result in the expected elimination of a particular difference between HESES04 and the HESES04 re-creation), we will ask the institution to submit a revised action and implementation plan and the procedure described in paragraphs 5-8 will be repeated. Similarly, if during credibility checking, or at any other point during the processing, HESA identifies that further amendments to 2004-05 HESA data are required, HESA will request that the data are de-committed and any necessary revisions to the data made before the data are once again committed, at which point the procedure described in paragraphs 7 and 8 will be repeated.

10. At the end of the process, HESA will mark the return as ‘credible’ to allow the institution to record a ‘sign-off’ (as described at http://submit .hesa.ac.uk) transaction.

11. We will identify and contact institutions that have not submitted valid files by the expected date or where there are other significant delays, for example in achieving a valid COMMIT transaction.

Annex J

Submitting overrides to derived fields

Background

1. An override file would only be applied where the data submitted to the HESA return is correct but there is a problem of fit with the HEFCE algorithms. Therefore changes need to be made to derived fields that generate the re-creations rather than to the underlying HESA data.

2. All known problems of fit with the HESES04 re-creation algorithms are described in Appendix 3. All known problems of fit with the HESES04 re-creation based on cost centre sector norms for subjects are described in Appendix 6. All known problems of fit with the RAS04 re-creation algorithms are described in Appendix 9.

3. The problem of fit that the override is rectifying should be stated clearly on the action plan. We will only apply overrides where we agree that they are appropriate, and (in the case of an override to the sector norm cost centre mapping) where we have made a decision based on evidence provided. Therefore we may seek further information where necessary. For example, in the case of the sector norm cost centre mapping we may seek further module information. It may not always be possible to determine whether an override is appropriate until we have examined the students affected. Therefore we may refuse to accept an override once submitted, or will seek further clarification.

Purpose

4. This annex details the data structure and format for overrides to derived fields. Institutions must only supply override files using the file structure and format detailed within this annex.

5. Override files should contain the data structure and format described in paragraphs 8-11, with slight modifications for overrides provided in four special cases. The four special cases occur where overrides are made to the following derived fields:

a. Proportion of countable year in each price group (PRGA, PRGB, PRGC, PRGD, PRGMEDIA, PRGPSYCH, PRGITT, PRGINSET).
b. Proportion of countable year in each sector norm price group (SNPRGA, SNPRGB, SNPRGC, SNPRGD, SNMEDIA, SNPSYCH, SNITT, SNINSET).
c. RAS UOAs (RASUOA1-3).
d. Proportion of time spent in each subject area, used to scale FTE (UOAP1-UOAP3).

6. The structure and format that the override file should contain for each of these cases is described in this annex. An example of a typical override file, with examples of files that should be generated for each of the four cases above, can be found at the end of this annex (see Figures 6-10).

7. These specifications are necessary to ensure we can process overrides to derived fields in a timely and accurate manner. We will require institutions to re-submit override files that differ, either in structure or format, from the specifications detailed in this annex.

Format and naming

8. Overrides to derived fields must be sent as a comma-separated file in an e-mail attachment to hesa_heses_stats@hefce.ac.uk. We will also accept overrides on a 3.5" floppy disk or CD-ROM. Override files must be given a file name in the form ovrXXXXn.amd, where:

- XXXX is the HESA institution identifier for the institution
- n is a sequential number starting at 1.

For example, the first override file submitted would be called ovrXXXX1.amd, and the second would be called ovrXXXX2.amd.

Structure

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

10. Only derived fields should be included in the change line (line 6) for override files. For further information on which derived fields are affected by problems of fit, see Appendices 3, 6 and 9.

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

line 1 – Override reference in the form ovrXXXXn where XXXX is the HESA institution identifier and n is a sequential number starting at 1; this will be the file name with the '.amd' file extension removed.

line 2 – Creation date of the override file in the form ddmmyyyy. For example 01032005 for a file created on 1 March 2005.

line 3 – A brief description of the override and the reference number of the area of difference on the action plan that it rectifies. For example: 'Overrides to derived field HESFEELV' - reference number 3.

line 4 – This line must contain the words OVERRIDE, NORMAL, and either the word TEMPORARY or PERMANENT. If the override is temporary then the last academic year that it applies to should be entered. For example: 'OVERRIDE, NORMAL, TEMPORARY, 2005' indicates that the override will be applied in academic year 2005-06 but not in 2006-07 onwards.

line 5 – The HESA fields used to identify records on the override file, comma-separated. For example OWNPSD could be used to identify records on a course level, or HUSID, NUMHUS, or RECID can be used to identify records on a student level.

line 6 – The derived fields being changed, comma-separated. For example: HESFEELV.

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

line 8 – The HESA/derived field used to calculate the file check sum (see paragraph 18 for an explanation of the file check sum).

line 9 – File check sum.

lines 10 and 11 – Any notes the institution wishes to include.

line 12 – HESA/derived fields included in the override file. These fields must appear in the same order as each row of the data and must be comma-separated. For example: OWNPSD, HESFEELV on one line.

line 13 – Override data must begin on this line.

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

Special cases

Proportion of countable year in each price group

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

Proportion of countable year in each sector norm price group

13. If permission has been granted by HEFCE, and overrides are being applied to the sector norm price groups, then the override file should contain information about all of the sector norm price group fields SNPRGA, SNPRGB, SNPRGC, SNPRGD, SNMEDIA, SNPSYCH, SNITT, SNINSET (even if a particular sector norm price group is not being changed). We would recommend that a field called SBJ that contains the JACS code of the subject of the area of study is used as the linking field. The word SNPRGRP must be substituted in line 4 to replace the word NORMAL. An example of this file is given in Figure 8. If required, we will construct an override file. This will be implemented when the institution has approved the file.

RAS UOAs

14. If permission has been granted by HEFCE, and overrides are being applied to RASUOA1-3, then we would recommend that the subject of qualification aim fields SBJQA1-3 are used as the linking fields. The word RASUOA must be substituted in line 4 to replace the word NORMAL. An example of this file is given in Figure 9. If required, we will construct an override file. This will be implemented when the institution has approved the file.

Proportion of time spent in each subject area, used to scale FTE

15. If overrides are being applied to UOAP1, UOAP2, UOAP3 then we require information about all of these fields. We would recommend that the subject of qualification aim fields SBJQA1-3 are used as the linking fields. An example of this file is given in Figure 10.

Identifying records

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

Saving files

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

Check sum

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

Outcome

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

Examples of override files

Figure 6 **A typical override file**

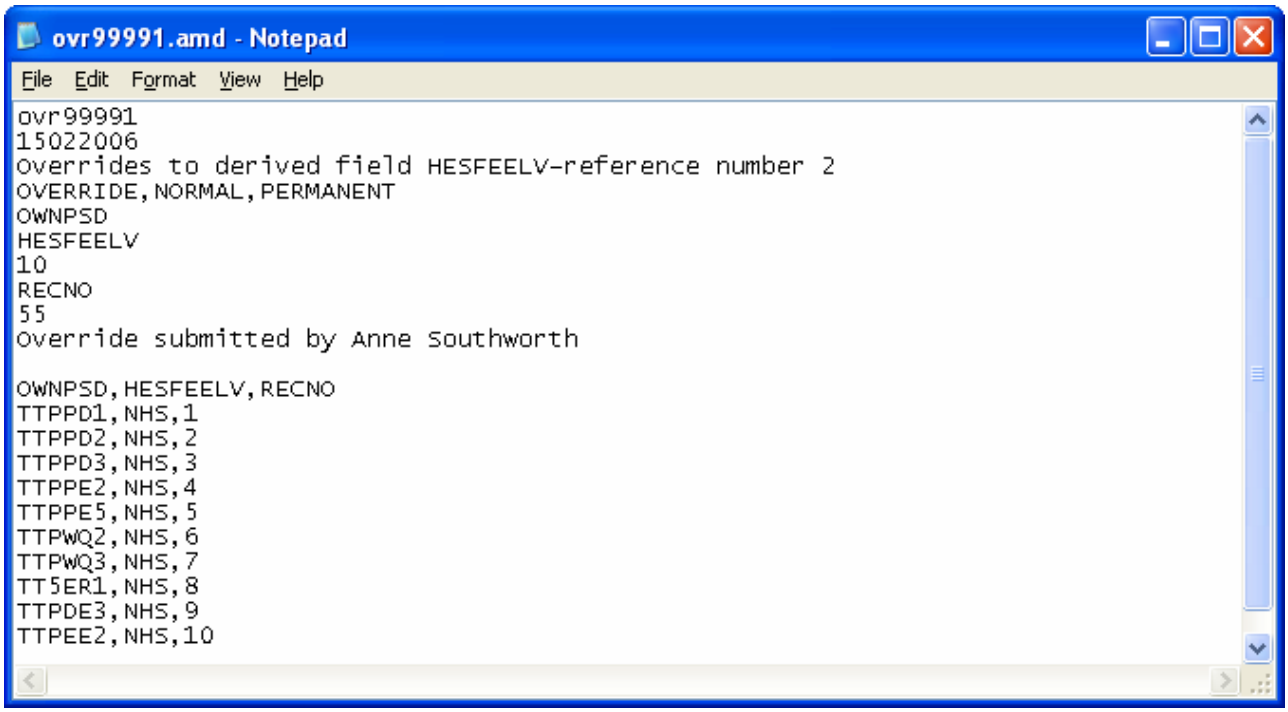


Figure 7 **Proportion of countable year in each price group file**

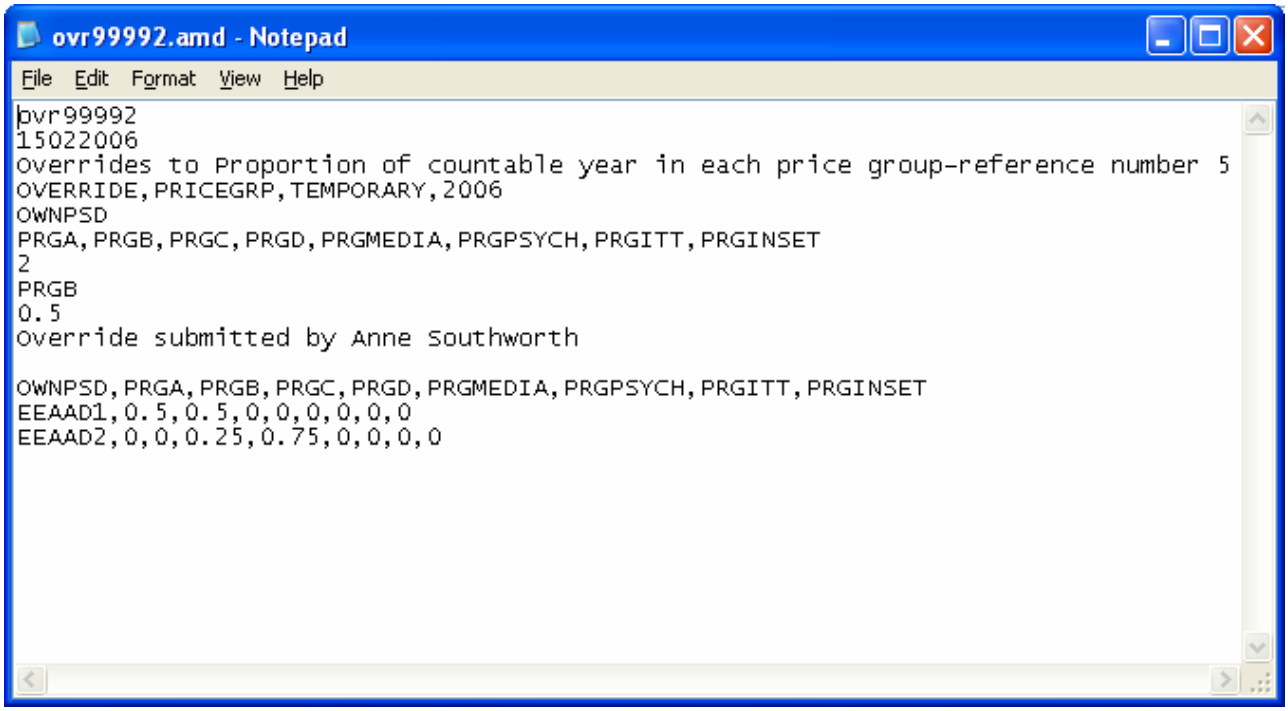


Figure 8 **Proportion of countable year in each sector norm price group file**

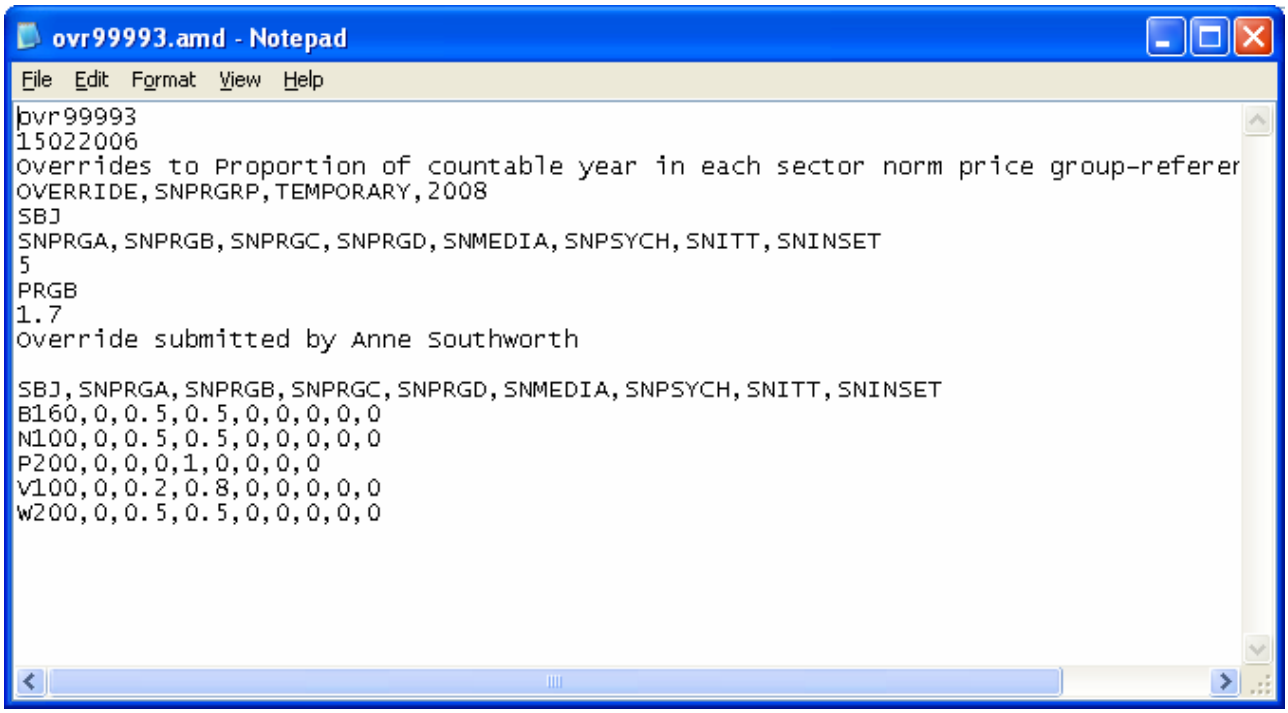


Figure 9 **RAS UOAs file**

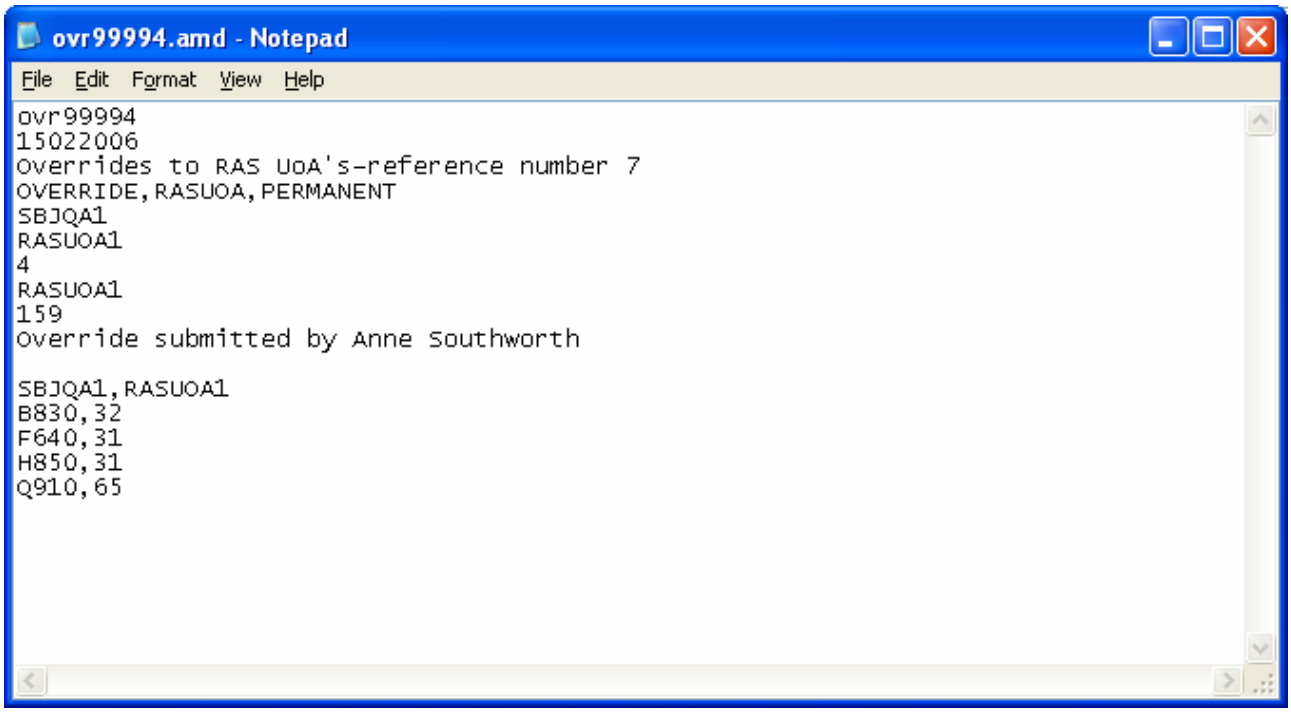
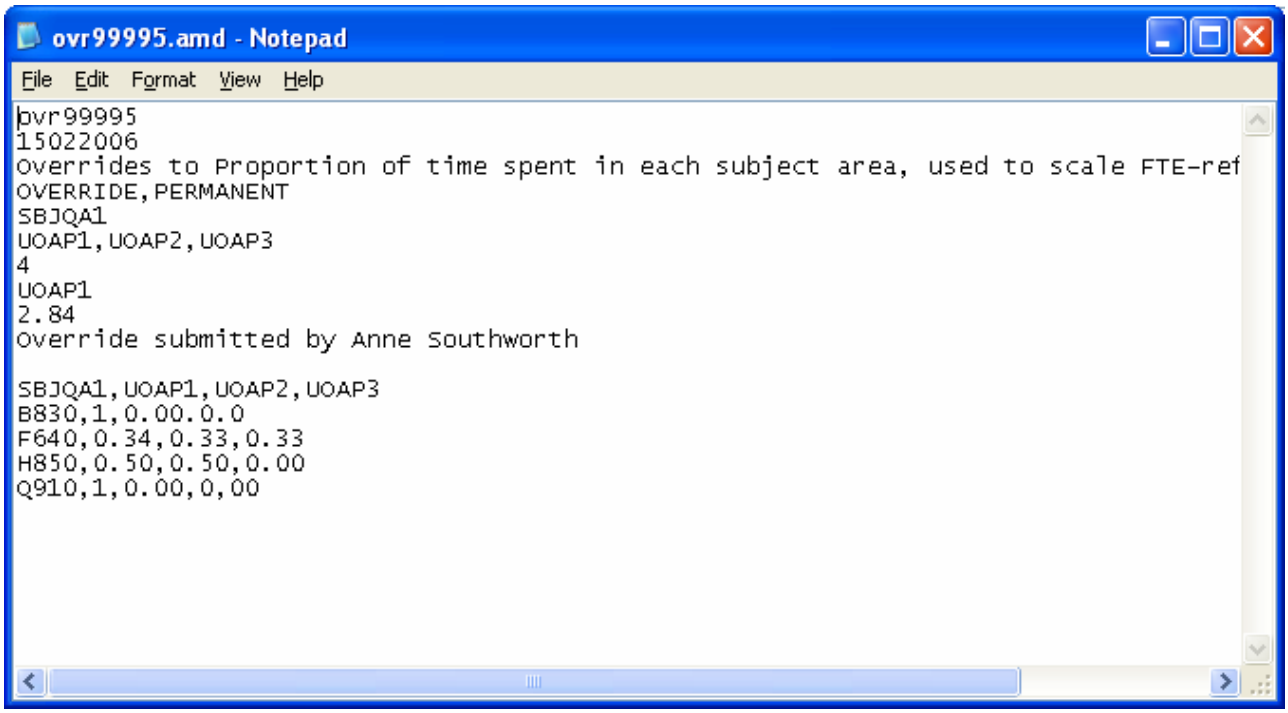


Figure 10 **Proportion of time spent in each subject area, used to scale FTE**



Annex K
List of abbreviations

EC	European Community
DSA	Disabled Students Allowance
FAQ	Frequently asked question
FE	Further education
FEC	Further education college
FTE	Full-time equivalent
FTS	Full-time and sandwich
HE	Higher education
HESA	Higher Education Statistics Agency
HESES	Higher Education Students Early Statistics survey
HIN	HUSID X INSTID X NUMHUS
ILR	Individualised Learner Record
JACS	Joint Academic Coding System
LSC	Learning and Skills Council
RAS	Research Activity Survey
UCAS	Universities and Colleges Admissions Service
UOA	Unit of Assessment
UPIN	Unique Provider Identification Number
WP	Widening participation