

June 2007/13

Core funding/operations

Assurance and funding

This report is for information and guidance

This document is a guide to HEFCE's web facility, which generates several types of analysis from the Learning and Skills Council's Individualised Learner Record (ILR). Use of the web facility will help further education colleges to return accurate higher education data to the Learning and Skills Council, prepare for the 2008 National Student Survey and to identify errors and forecasting discrepancies in their student data return to HEFCE.

2006-07 statistics derived from ILR data

Guide to HEFCE web facility

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2006-07 statistics derived from ILR data

Guide to HEFCE web facility

To Heads of further education colleges directly funded by HEFCE
Heads of lead institutions of HEFCE-recognised funding consortia
Heads of member colleges of HEFCE-recognised funding consortia

Of interest to those responsible for Reference Publication date Enquiries to

Student data, Audit, Finance
2007/13

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Executive summary

Purpose

1. This document is a guide to HEFCE's web facility, which further education colleges should use to check their Learning and Skills Council (LSC) Individualised Learner Record (ILR). It is expected that colleges will use this facility before submitting their 2006-07 ILR F04 and F05 returns to the LSC. It generates the following derived statistics:

- a. Higher Education in Further Education: Students Survey 2006-07 (HEIFES06) re-creation.
- b. Derived statistics that are likely to be used to inform the 2008-09 widening participation allocations.
- c. Summaries of data for the Unistats web-site (the new name for the Teaching Quality Information site).
- d. A target list of students to be included in the 2008 National Student Survey (NSS).
- e. HEFCE statistics used for publication and to inform policy.
- f. Lifelong Learning Network student summaries.
- g. A non-completion toolkit for the Higher Education in Further Education: Students Survey 2007-08 (HEIFES07).

Key points

2. The use of the web facility is strongly encouraged as it will help colleges to:
- return accurate data to the LSC
 - reduce the likelihood of selection for the derived statistics exercise for 2006-07 (selected colleges are typically subject to considerable additional work and potential funding adjustments)
 - identify discrepancies between forecasts in HEIFES06 and the outturn position for 2006-07 as generated from their ILR F04 return
 - identify errors in HEIFES06
 - prepare for the 2008 NSS
 - ensure that Unistats summaries are fit for publication
 - make informed estimations of non-completion rates for HEIFES07.

3. This document (including the technical appendices which can be downloaded separately) provides:

- guidance on using the web facility
- details of the algorithms used for generating the derived statistics
- guidance on troubleshooting the differences between HEIFES06 and the HEIFES06 re-creation
- details of problems of fit with HEIFES06 re-creation algorithms
- guidance for submitting overrides to our algorithms, and information on when this is appropriate
- guidance for using the HEIFES07 non-completion toolkit.

New outputs

4. This year's web facility will produce the following new outputs:

- Unistats summaries (see paragraph 25)
- target lists for the 2008 NSS (see paragraph 27)
- Lifelong Learning Network student summaries (see paragraph 30).

We intend to publish the Unistats summaries in 2008. This will be the only opportunity for colleges to ensure that these summaries are suitable for publication.

Action required

5. HEFCE-funded colleges and members of HEFCE-recognised consortia are required to use the web facility to generate 2008 NSS target lists. Further details about the arrangements for the 2008 NSS will be published later this summer.

6. We strongly encourage colleges to use the web facility as part of their data quality processes. Recent reviews have confirmed that it is an essential element of most HEFCE-funded colleges' ILR data quality processes, and that colleges that do not use the facility are more likely to be selected for the monitoring exercise described in paragraphs 7 and 8.

Relationship with 'Statistics derived from ILR data'

7. Each year we publish 'Statistics derived from ILR data for the monitoring and allocation of funding in FECs' (see HEFCE 2007/05) in which we monitor further education colleges' HEIFES returns using ILR F04 data which we receive from the LSC. If we find, either through comparisons with ILR data or any data audit, that erroneous data have resulted in colleges receiving incorrect funding allocations (including for widening participation) then we will adjust their funding accordingly (subject to the appeals process and the availability of our funds).

8. Any funding adjustments following the comparison of 2006-07 ILR F04 data with HEIFES06 are likely to affect the funding previously announced for 2006-07 and all

subsequent years, and WP funding for 2007-08. Colleges selected to make a response to the exercise must typically undertake a substantial amount of work to reconcile their data, which may take several months to complete. While the web facility is provided to complement the monitoring exercise, it does not replace it.

9. Colleges that are members of a HEFCE-recognised funding consortium should also use this web facility to ensure that ILR data errors do not cause their consortium to be selected for our monitoring exercises.

Introduction

10. This document provides guidance on using the HEFCE's web facility and its outputs. The primary purpose of the web facility is to help further education colleges (FECs) to return accurate data on the Individualised Learner Record (ILR) to the Learning and Skills Council (LSC). It provides colleges with an opportunity to identify, and therefore rectify, any errors in fields that affect the outputs generated by the web facility, before these data are submitted to the LSC.

11. Both the LSC and HEFCE strongly encourage colleges to use this facility, before submitting their ILR return. Both organisations regard it as an essential element of HEFCE-funded FECs' data quality processes for higher education (HE) students.

12. Last year over 100 FECs used the web facility, which is a significant majority of HEFCE-funded FECs. We believe that since the introduction of the web facility there has been a significant improvement in ILR data quality for HE students. In previous years, colleges that did not use the facility before submitting their F04 return to the LSC were more likely to be selected for the derived statistics exercise later in the year. This typically generated a significant amount of additional work for them.

13. Use of the web facility can help identify errors and discrepancies between the forecasts made in the Higher Education in Further Education: Students Survey 2006-07 (HEIFES06) and the outturn position for 2006-07 as recorded in the 2006-07 ILR F04. Where discrepancies occur, we expect colleges to take full account of the outputs from this facility when preparing future HEIFES returns. We encourage colleges to analyse the web facility outputs as part of their planning and audit processes.

14. Changes since the 2006 version of the HEFCE web facility (HEFCE 2006/22) are described in Annex A.

15. The web facility generates seven outputs. These are:

- a HEIFES06 re-creation
- derived statistics likely to inform the 2008-09 allocations for widening participation (WP)
- summaries of data for the Unistats web-site
- a target list of students to be included in the 2008 National Student Survey (NSS)
- HEFCE statistics used in publications and to inform policy
- summaries for students taught as part of a Lifelong Learning Network (LLN)
- a non-completion toolkit for HEIFES07.

Using the web facility

16. The web facility allows colleges to upload their ILR data to a server at HEFCE. Instructions on how to use it are in Annex B.

17. Typically colleges submit their data to the web facility and retrieve the derived statistics several times before all identified errors are remedied. Therefore, we will not restrict colleges' use of the facility. However, users should be aware that response times may be slower when there is high demand.

18. Colleges should allow adequate time to make full use of the web facility without jeopardising ILR quality arrangements or timetables.

19. Generally, we will not view ILR data submitted to, or outputs generated by, the web facility unless permission is given by the college. However, HEFCE staff will access outputs relating to Unistats summaries and NSS target lists. We will monitor use of the web facility in order to offer assistance and to promote the facility to colleges who have not used it.

HEIFES06 re-creation

20. The web facility generates a HEIFES06 re-creation from 2006-07 ILR data submitted by the college. This includes the calculation of formulaic adjustments to teaching grant and WP allocations. This output is coupled with a copy of the original HEIFES06 outputs for comparison and reconciliation.

21. The algorithms used to generate the re-creation are intended to be the same as those to be used for the 'Statistics derived from ILR data for the monitoring and allocation of funding in FECs' exercise. We may, however, make changes to improve the algorithms. The HEIFES06 re-creation is generated using the methods described in Annex C and the algorithms in Appendix 1.

22. We strongly advise colleges to use this opportunity to identify the cause of all discrepancies between their HEIFES06 return and the HEIFES06 re-creation, so that where errors are caused by ILR data, these can be corrected before submitting the F04 and F05 returns to the LSC. The removal of such errors from 2006-07 ILR F04 data will reduce the likelihood of colleges being selected for the 2006-07 statistics derived from ILR data exercise (see paragraphs 7 and 8).

Derived statistics likely to inform 2008-09 WP allocations

23. The 2006-07 ILR F04 data are likely to be used to inform the following WP allocations for 2008-09:

- widening access from disadvantaged backgrounds: full-time and part-time
- improving retention: full-time
- students with disabilities.

24. The derived statistics used to inform these allocations are likely to be generated using the methods described in Annex D and the algorithms in Appendix 4.

Unistats summaries

25. Unistats is the new name for the Teaching Quality Information web-site. Following consultation, we intend to publish Unistats summaries from 2006-07 ILR F05 data. The web facility provides an opportunity for colleges to check, before submission, that their ILR F05 data are fit for publication on the Unistats web-site. The methods used to generate these statistics are described in Annex F and the algorithms are given in Appendix 5. Any comments on the suitability for publication of colleges' Unistats summaries, or the method used to generate them, should be sent to Ben Grassby (e-mail: ilr_heifes_stats@hefce.ac.uk) by **22 February 2008**.

26. From February 2008 HEFCE staff may view Unistats summaries generated by the web facility to investigate any general issues of data quality.

2008 NSS target lists

27. Following consultation we intend to extend the NSS in 2008 to HEFCE-funded FECs and member colleges of HEFCE-recognised funding consortia. We will use 2006-07 F04 ILR data to produce a target list of students to be included in the 2008 NSS. Colleges are encouraged to use the list to start preparing the contact details for these students so that these can be passed to the agency running the NSS. It is likely that contact details for students to be included in the 2008 NSS will need to be returned to the agency in November 2007.

28. Further details about the arrangements for the 2008 NSS will be published later this summer. Further details about the target lists are in Annex G and the algorithms used to generate the lists are given in Appendix 7. HEFCE staff will access NSS target lists generated by the web facility.

HEFCE statistics used for publication and to inform policy

29. During 2008 we intend to publish statistics derived from 2006-07 ILR F04 data. The web facility is the only opportunity for colleges to verify the derived statistics that will be used. The methods used to generate these statistics are described in Annex H and the algorithms are given in Appendix 9.

LLN student summaries

30. For colleges participating in an LLN during 2006-07 we intend to identify LLN students using 2006-07 F04 ILR data. These data will be used as part of our evaluation of the LLN initiative. The web facility generates summaries for LLN students to enable colleges to verify that we are identifying their LLN students correctly. The method for generating these statistics is described in Annex I and the algorithms are given at Appendix 8.

HEIFES07 non-completion toolkit

31. The web facility provides colleges with a spreadsheet to assist them in estimating non-completion rates for HEIFES07. A detailed explanation of how to use this is given in Annex K.

Data confidentiality

32. The web facility is a tool for colleges. Therefore, HEFCE staff will not access data uploaded to, or derived by, the web facility except in the limited circumstances described below. Only those fields detailed in the appendices will be retained on our system. We will remove individualised files and any outputs from the web facility shortly after the launch of next year's web facility. Uploaded data files are deleted immediately after the outputs have been generated. Details about our commitments to handling personal data can be found on the HEFCE web-site, www.hefce.ac.uk, under About us/Standards of service/How we do it – our commitments.

33. HEFCE staff may examine outputs from the web facility in any of the following circumstances:

- where a college explicitly gives permission
- to study general data quality and algorithmic issues with the Unistats summaries
- to assess the suitability of NSS target lists.

HEFCE-recognised funding consortia

34. Member colleges of HEFCE-recognised funding consortia are strongly encouraged to use this web facility before submitting their 2006-07 ILR F04 and F05 data to the LSC. The removal of any errors in their ILR data reduces the likelihood that their consortium will be selected for the 2006-07 monitoring exercises.

35. Where data from member colleges have been submitted to the web facility, and the members have given HEFCE the appropriate permission, these will be incorporated in outputs generated for the lead institution (see Annex E).

Guidance

Instructions on how to use the web facility and its outputs

36. Full instructions on how to get started with the web facility and how to access the outputs are at Annex B.

Troubleshooting

37. Appendix 2 has been produced to help colleges identify the causes of discrepancies between the 2006-07 ILR F04 and HEIFES06 re-creation.

FAQs

38. Frequently asked questions (FAQs) regarding the web facility are on the HEFCE web-site, under Learning & teaching/Data collection/HEFCE web facility for 2006-07 statistics derived from ILR data. We encourage colleges to refer to the FAQs for guidance in the first instance. We will only use our e-mail list of HEIFES contacts to notify colleges of significant changes or updates, not for routine additions to the list of FAQs.

HEFCE contacts

39. Support is available for the web facility via telephone and e-mail; see page 2 for contact details. This will be available between 0800 and 1600, Monday to Friday.

Annexes and technical appendices

40. The annexes provide guidance on using the web facility and its outputs. The technical appendices describe the algorithms used to generate the derived statistics. The appendices are available as separate downloads on the HEFCE web-site, with this document, under Publications.

Comments

41. All colleges are invited to comment on any of the methods described in this publication. Comments should be e-mailed to ilr_heifes_feedback@hefce.ac.uk marked for the attention of Ben Grassby.

Annex A

Summary of changes since publication of HEFCE 2006/22

Purpose

1. This annex describes the changes that have been made between the release of last year's web facility for ILR data, HEFCE 2006/22, and this year's facility

Unistats summaries

2. In 2008 we intend to publish Unistats data for directly-funded FECs and members of HEFCE-recognised funding consortia in 2008. Unistats data are intended to make it easier to compare institutions and subjects so that students can make more informed choices of where to study. The Unistats summaries will provide information such as the number of students completing awards, leaving without awards, and continuing at the institution.

3. The web facility will produce, for the first time this year, Unistats summaries. We expect colleges to use this opportunity to check that the ILR F05 data used to produce the Unistats summaries are fit for publication. The methods used to generate these summaries are described in Annex F and the algorithms are given in Appendix 5. Instructions on how to re-create the outputs are given in Appendix 6. Any comments on the suitability for publication of colleges' Unistats summaries, or the method used to generate them, should be sent to Ben Grassby (e-mail: ilr_heifes_stats@hefce.ac.uk) by 22 February 2008.

NSS target lists

4. This year's web facility will produce target lists of students to be included in the 2008 NSS. We expect to extend the NSS in 2008 to HEFCE-funded colleges and members of HEFCE-recognised funding consortia. Colleges should use this opportunity to prepare the contact details for their students using the target lists. It is likely that contact details for students will need to be returned to the agency running the survey in November 2007.

5. Further details about the arrangements for the 2008 NSS will be published later this summer. Further details about the target lists are in Annex G and the algorithms used to generate the lists are given in Appendix 7.

LLN student summaries

6. Summary information for LLN students will be generated by the web facility. We expect colleges to use this opportunity to verify that we are correctly identifying LLN students from their ILR data. This output, and the methods used to generate it, are described in Annex I and Appendix 8.

Override file submission process

7. The format of override files has been modified for this year's ILR web facility. Most significantly, users should note that only certain derived fields may be modified by an override file. This is to help us maintain data integrity and provide a full audit trail of the derived fields that colleges change. In general, and as in previous years, override files should only be used when a problem of fit with our algorithms exists. However, override files should also be used as a temporary measure when a learning aim provided by the college has not been added to the LSC's Learning Aim Database (LAD), or while incorrect data on the LAD is awaiting correction. A new field is also included in the individualised files, **OVERRIDE**, to indicate whether a record has been modified by an override file. Further guidance on the use of override files, their format, and the submission process can be found in Annex J.

UKPRN

8. The UK Provider Reference Number (UKPRN) will be returned in the outputs from the ILR web facility. This value will be returned in addition to the Unique Provider Identification Number (UPIN).

Difference sheets

9. This year's web facility will output 'difference' sheets in the HEIFES re-creation workbook. This is a tool we have developed to assist colleges in identifying differences between their HEIFES06 re-creation and their HEIFES06 return. It will allow colleges to examine where the difference between particular cells in the HEIFES06 re-creation and HEIFES06 tables exceed a given threshold (which can be specified by the user). The use of these sheets is described in paragraph 3 of Annex C.

Changes to outputs

10. The row headings in the worksheet for home and EU student fees (Table 4) have been revised to reflect the new student support regime. These changes are detailed in Annex M, paragraphs 7-14 of HEIFES06 (HEFCE 2006/37), which can be downloaded from the HEFCE web-site, under Publications.

Changes to algorithms and field names

11. The changes to algorithms listed here are those that have changed since HEFCE 2006/22.

HEIFES06 re-creation

12. The algorithm used to determine whether we recognise a course has been modified. We now check that all courses are awarded by a recognised body, as

described in paragraph 2 of Annex D in HEIFES06 (HEFCE 2006/36). Courses which do not meet the criteria described in HEIFES06 are assigned HEFQAIM=OTHER.

13. To facilitate analysis of the data, we now return the proportion of countable full-time equivalents (FTEs) in each price group, using the new fields FTEA-D, FTEMEDIA, FTEITT and FTEINSET. These complement the fields PRGA-PRGD, PRGMEDIA, PRGITT and PRGINSET, which contain the proportion of the countable year in each price group.

HEIFES06 re-creation – 2007-08 WP allocation worksheets

14. We have included two extra worksheets in the HEIFES06 re-creation table to indicate the effect on the 2007-08 WP allocations of changes to HEFCE-funded assumed FTEs resulting from the HEIFES06 re-creation. The first worksheet (WPYYYYYY where YYYYYY is the UPIN for the college) provides an indicative 2007-08 WP allocation based on HEFCE-funded assumed FTEs from the HEIFES06 re-creation. The second worksheet (HWPYYYYYY) provides the 2007-08 WP allocation based on HEIFES06. The cover sheet shows the difference in 2007-08 WP funding allocations when based on the HEIFES06 re-creation against HEIFES06.

15. The 2007-08 WP allocations are based on those used in the March 2007 recurrent grant announcement and do not incorporate subsequent changes arising, for example, from amendments to 2007-08 ASN allocations, transfers or 2005-06 HESA/ILR data.

Widening participation

16. The WP fields EDMQUIN, EDPTQUIN and YNGQUIN have been combined into a single field, WAQUIN. Accordingly, the algorithm to derive this field has been modified. Details of this change can be found in paragraph 22 of Appendix 4. Users should note that this change will not affect funding allocations; it is solely for technical reasons.

17. The algorithm for the entry-qualification risk group (EQGRP) has been modified. Instead of being assigned to the low risk category, students with unknown qualifications are now returned separately. This change has been made to assist institutions with their data checking procedures. Details of the algorithm used are given in paragraph 26 of Appendix 4. Users should note that this change will not affect funding allocations; it is solely to assist data checking.

Annex B

Using the HEFCE web facility

Purpose

1. This annex contains detailed instructions on how to use the web facility.

Data preparation

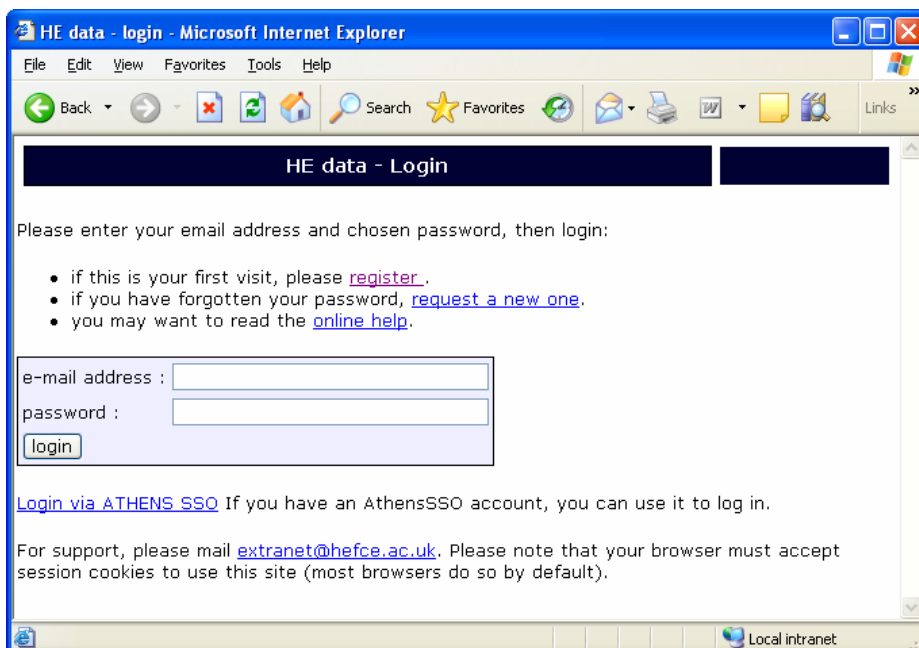
2. The web facility can process data files that are structured in the format described in the LSC publication 'Specification of the Individualised Learner Record for 2006/07', which can be downloaded from the LSC's web-site, www.lsc.gov.uk under Providers/Data/Data collection/ILR.

3. The web facility has been designed to provide outputs even when it has been supplied with invalid data, so that colleges can use the facility as early as possible in their data collection process. Every effort has been made to ensure the web facility is robust. However, it may not function reliably when the input file contains invalid data. To ensure reliable outputs are generated, colleges should first correct any errors identified by running the Learner Information Suite software on their data (www.lsc.gov.uk under Providers/Data/Software/LIS).

4. The web facility can receive and process zip files, provided that the contents when unzipped are in the format specified by the LSC for the 2006-07 ILR.

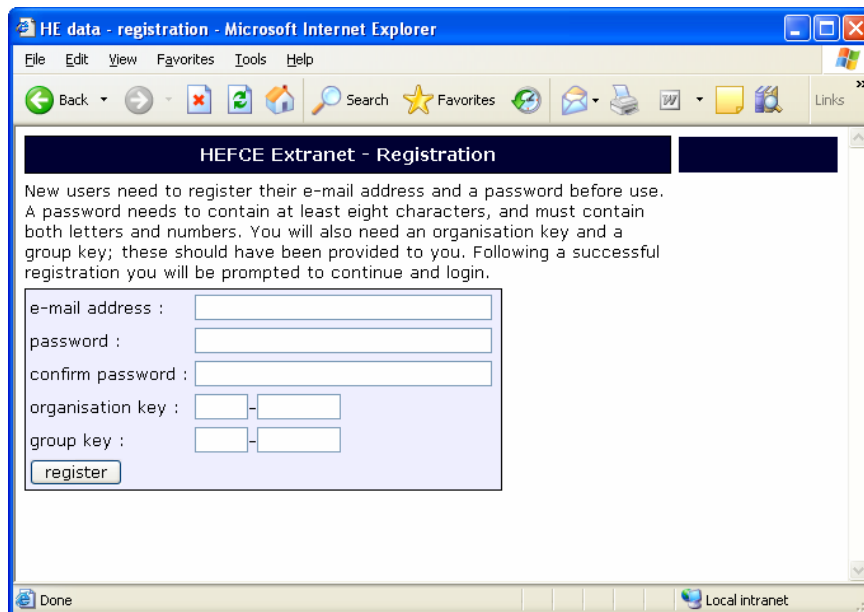
Access to the facility

5. The web facility can be accessed via the HEFCE extranet at <https://extranet.hedata.ac.uk>. On viewing the screen below you will be prompted to either log in or register for access to the HEFCE extranet as a new user.



Registering a new account

6. 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 log-in screen. In order to register, you will require an 'organisation key' and a 'group key'. Details of these were sent to heads of institution and our HEIFES contacts in June 2007, in the letter from Ben Grassby titled 'HEFCE web facility for 2006-07 statistics derived from ILR data'. We can re-issue the information by post if necessary, but only to the head of institution or HEIFES contact.



7. 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

8. If you have used the HEFCE extranet for other HEFCE returns (for example HEIFES06) you will be required to log in and join the data group for this HEFCE web facility. 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 from Ben Grassby mentioned in paragraph 6 above, and select 'Join group'.

9. 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 6.

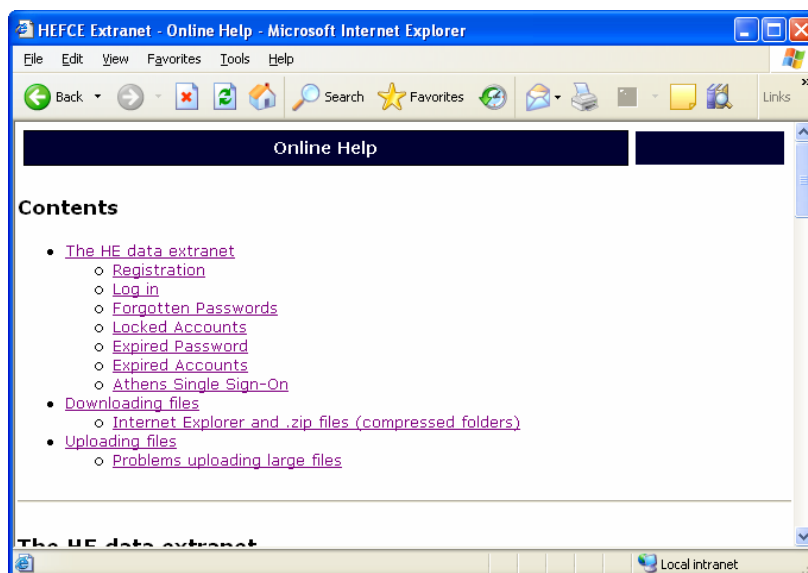
Athens Single Sign On account

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

- a. Follow the 'Log in via Athens SSO' link on the log-in page.
- b. Log in to Athens as normal (if you have not already done so).
- c. When Athens has authenticated you, your browser will be directed to the 'HEFCE extranet - All resources' page.
- d. You will be required to join the group. Under 'Applications' click 'Join a group'. Enter the group key sent to the head of your college in the letter from Ben Grassby referred to in paragraph 6 above, and select 'Join group'.

Help

11. An information page can be accessed by clicking the 'Online Help' link, located above the log-in box, or on the right of the 'HEFCE extranet - All resources' page, under 'Navigation'.



Forgotten password

12. If you forget your password, select 'request a new one' on the log-in page. Enter your e-mail address in the space provided and click 'request password'. A new password will be generated and sent to you. You will be required to change this password when you next access the HEFCE extranet.

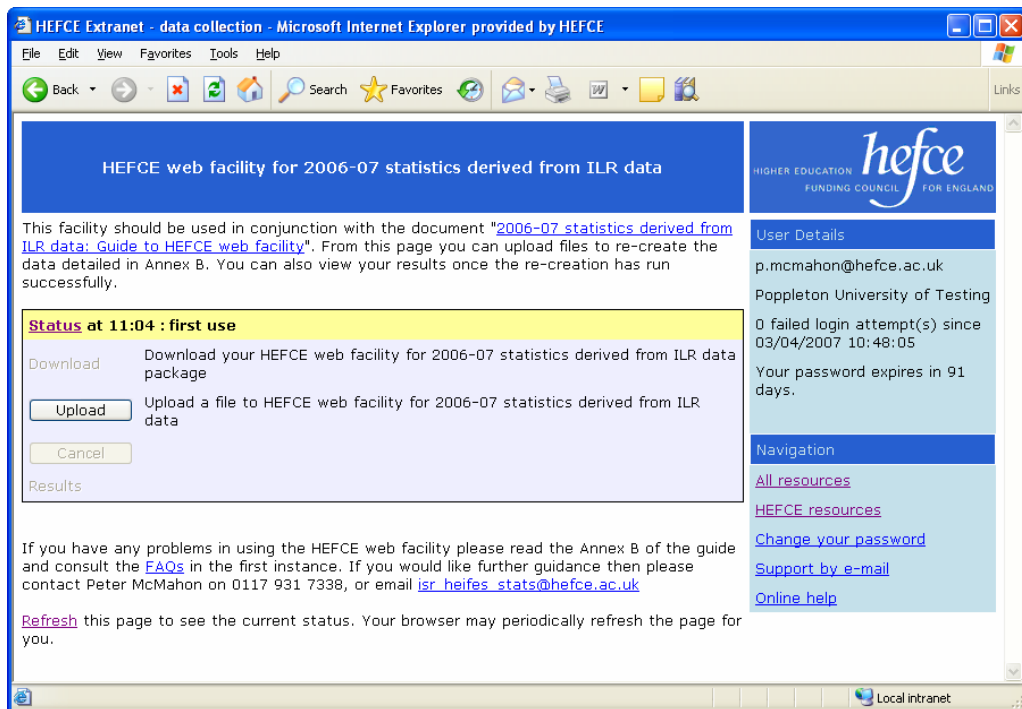
13. You have three attempts to log in before your account is locked. If you use all three attempts and still do not have access to the web facility, contact Peter McMahon or Rebecca Thomas (e-mail ilr_heifes_stats@hefce.ac.uk).

All resources

14. After verifying the user name and password, your browser will be directed to the 'HEFCE extranet - All resources' page. Click 'HEFCE resources'.

15. From the 'Applications' list click on the link to the 'HEFCE web facility 2006-07 statistics derived from ILR data'.

16. This option will allow you to upload the ILR file. Click the upload button, use the 'Browse' button to find the file and then select 'Upload file'. This places the file into the processing queue.



17. You can leave the extranet while the derived statistics are being generated. To do this you can exit the web browser in the usual way, or enter a new address in the address bar. You may be prompted to log in again when you return to the page, but no information will be lost.

18. Each time you upload a file for re-creation, you should refresh the page using either the refresh icon in the toolbar or the link on the page. Refreshing ensures that the page showing 'History of HEFCE web facility for 2006-07 statistics derived from ILR data submissions' reflects the current stage of processing, as it may not update automatically.

19. Our systems allow only one submission to be processed at a time; therefore if more than one college uploads data, the submissions will be placed in a queue. A submission by an average-sized college typically takes 10 minutes to process (once it reaches the front of the queue). The total time taken to complete the re-creation, including waiting time, will depend on the number of colleges in the queue.

20. If the uploaded file is waiting in the queue it is possible to cancel the submission by selecting 'Cancel'.

21. If you do not use the extranet for 60 minutes, you will automatically be logged out of the system. To regain entry, select any option and re-enter your e-mail address and extranet password.

Outputs

22. Once the file has been processed, you can access the outputs by selecting 'Results'.

23. If the outputs were not generated, and the reason is known, it will be given under 'History of HEIFER06 submissions'. If the outputs were not generated because an unspecified error occurred, this will typically be a result of invalid ILR data (see paragraph 3 of this annex).

Accessing results

24. The results are made available as a zip archive containing the following files (where YYYYYY is the UPIN for the college):

- HEIFER06YYYYYY.ind – HEIFES06 re-creation individualised student data file. For leads of HEFCE-recognised funding consortia this file does not include data for the member colleges
- HEIFER06YYYYYY.xls – HEIFES06 re-creation tables (HEIFERC06YYYYYY.xls for members of consortia). For leads of HEFCE-recognised funding consortia this includes the combined 2006-07 ILR data uploaded by both the lead and member colleges (see paragraph 25 below and Annex E)
- IHWP06YYYYYY.ind – 2008-09 WP individualised student data file. For leads of HEFCE-recognised funding consortia this file does not include data for the member colleges (see paragraph 25 below and Annex E)
- IHWP06YYYYYY.xls – 2008-09 WP allocation tables (IHWPC06YYYYYY.xls for member of consortia). For leads of HEFCE-recognised funding consortia this includes the combined 2006-07 ILR data uploaded for both the lead and member colleges
- TQI06YYYYYY.ind – Unistats individualised student data file
- TQI06YYYYYY.xls – Unistats tables

- Nssp08YYYYYY.ind – an individualised student data file containing the derived fields that generate the 2008 NSS target list
- Nssp08YYYYYY.xls – 2008 NSS target list
- IHPUB06YYYYYY.ind – an individualised student data file containing the derived fields that generate the derived statistics that will be used in HEFCE statistical publications
- IHPUB06YYYYYY.xls – an Excel workbook containing the statistics that will be used in HEFCE statistical publications
- LLN06YYYYYY.ind – an individualised student data file containing the derived fields that will be used to generate the LLN summary
- LLN06YYYYYY.xls – LLN student summary
- IHNCTK06YYYYYY.xls – HEIFES07 non-completion toolkit.

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

- LEAD06YYYYYY.xls – an Excel workbook containing the HEIFES06 re-creation tables for lead colleges of HEFCE-recognised funding consortia (includes 2006-07 ILR data uploaded by the lead FEC only)
- HEIFERC06YYYYYY.xls – Excel workbooks containing the HEIFES06 re-creation tables for each of the member colleges (includes the 2006-07 ILR data uploaded by the member college only). These tables will only become available after member colleges have submitted data to the web facility
- IHWPLEAD06YYYYYY.xls – Excel workbooks containing the 2008-09 WP allocations for the lead college (includes 2006-07 ILR data uploaded by the lead FEC only)
- IHWPC06YYYYYY.xls – Excel workbooks containing the 2008-09 WP allocations for each of the member colleges (includes the 2006-07 ILR data uploaded by the member college only). These tables will only become available after member colleges have submitted data to the web facility.

Using the individualised files

26. The individualised files will show the allocation of students to cells within the equivalent re-creation tables and, where relevant, details of why they were excluded.

The following guidance will assist colleges in the troubleshooting process. All records with a specific value in a specific field can be filtered and located in the following way:

- a. To open an individualised file, from the list above in Microsoft Excel, load Excel and then click <File>, <Open>. You will need to specify 'All files' in the 'Files of type' box before the individualised file will appear in the list. Once you have selected the file, the 'Text Import Wizard' will appear. Ensure that 'Delimited' is selected near the top of the window, then click 'Next'. On the next page, uncheck 'Tab' and check 'Comma'. Click 'Finish' to open the file.
- b. Select the row containing the field headings.
- c. Select Filter from the <Data> menu and then <Autofilter>.
- d. Click on the arrow in the column containing the data that you want to filter.
- e. Either select a specific value or select <Custom> to apply a comparison operator other than equality.
- f. To select records using multiple fields, repeat steps d and e for each field.

Using the output

27. Owing to a limitation of Excel, institutions who submit more than 65,530 records will find that they are unable to view the entire individualised file in Excel.

28. The output files will be overwritten each time new data are uploaded. Please note that it is not possible for colleges to see one another's files.

29. At this point it may be useful to check whether the tables reflect the number of students you would expect to see. If they do not, please check that the file is the one that you intended to upload. We are not responsible for the accuracy of the files uploaded to the web facility.

Technical issues

30. While there are no limits on the size of files that can be uploaded to the facility, it is common for individual colleges to have limits imposed by their network administrators. Attempts to upload a file beyond the size limit imposed within the college are unlikely to generate a meaningful error message. They will, however, cause the browser to 'stall' or 'hang'.

31. If you are encountering difficulties in uploading due to file size or any other issue relating to connectivity, we will normally be able to advise. If you are not submitting your data as a zip file, we suggest that you try this first, to reduce the size of the transmission. We recommend that you involve your network administrator in discussions regarding connectivity issues, and that you tell them that the Internet Protocol (IP) address for the web facility is 195.194.167.114.

Annex C

Comparison of HEIFES06 and the HEIFES06 re-creation

Purpose

1. This annex describes the methods we use to generate a provisional HEIFES06 re-creation via the web facility. It also describes how we will use the comparison of HEIFES06 and the HEIFES06 re-creation in the '2006-07 statistics derived from ILR data for the monitoring and allocation of funding in FECs' exercise. The outputs are provisional because they are generated before FECs submit final F04 data to the LSC.

Web facility outputs

2. The web facility generates a HEIFES06 re-creation. Annex B describes how to access the provisional HEIFES06 re-creation Excel workbook (HEIFER06YYYYYY.xls, where YYYYYY denotes the UPIN for the college). The provisional HEIFES06 re-creation workbook contains the worksheets listed in Table 1.

Table 1 Excel workbook HEIFER06YYYYYY

Page number	Worksheet (see tabs on spreadsheet)	Description
1	Coversheet	Title page
2	Summary	HEIFES06 re-creation comparison summary table
3	PRGCMP	HEIFES06 re-creation price group comparison summary table
4	Excl	HEIFES06 re-creation exclusion table
5	FTS	Provisional HEIFES06 re-creation Table 1: Full-time and sandwich years of programme of study
6	SWOUT	Provisional HEIFES06 re-creation Table 2: Sandwich year-out years of programme of study
7	PT	Provisional HEIFES06 re-creation Table 3: Part-time years of programme of study
8	FEE	Provisional HEIFES06 re-creation Table 4: Home and EC fees
9	CONS	Provisional HEIFES06 re-creation Table 6: HEFCE-recognised funding consortia 2006-07
10	HBK	Provisional HEIFES06 re-creation grant adjustment report
11	STD	Provisional HEIFES06 re-creation standard resource table
12	F06	Provisional HEIFES06 re-creation assumed fee income table

13	WP	Indicative 2007-08 WP allocation based on provisional HEIFES06 re-creation assumed FTEs
14	hFTS	HEIFES06 Table 1: Full-time and sandwich years of programme of study
15	hSWOUT	HEIFES06 Table 2: Sandwich year-out years of programme of study
16	hPT	HEIFES06 Table 3: Part-time years of programme of study
17	hFEE	HEIFES06 Table 4: Home and EC fees
18	hCONS	HEIFES06 Table 6: HEFCE-recognised funding consortia 2006-07
19	hHBK	HEIFES06 grant adjustment report
20	hSTD	HEIFES06 standard resource table
21	hF06	HEIFES06 assumed fee income table
22	hWP	2007-08 WP allocation, based on HEIFES06
23	Credibility	Identifies areas for recognised HE qualification aims on 2006-07 ILR F04 where data is potentially inaccurate
24	FTSDIFF	Identifies discrepancies in student numbers between the FTS and hFTS sheets
25	SWOUTDIFF	Identifies discrepancies in student numbers between the SWOUT and hSWOUT sheets
26	PTDIFF	Identifies discrepancies in student numbers and FTE between the PT and hPT sheets
27	FEEDIFF	Identifies discrepancies in student numbers between the FEE and hFEE sheets

Note: The workbook contains a version number that will increment by one following each successful submission of data to the web facility. There are also contact details for any queries relating to data in the workbook.

3. The 'DIFF' sheets (see items 24-27 in Table 1) will indicate where differences in cell totals between the provisional HEIFES06 re-creation and HEIFES06 exceed a given threshold. The size of this threshold can be altered by entering the required value where indicated on the worksheets. These sheets are provided to assist institutions in reconciling differences between HEIFES06 and the provisional HEIFES06 re-creation.

4. The web facility will also generate a provisional HEIFES06 re-creation individualised file (HEIFER06YYYYYY.ind) to supplement the provisional HEIFES06 re-creation. The file 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 1.

Methods

5. The algorithms used to generate the provisional HEIFES06 re-creation are described in Appendix 1.
6. Appendix 2 contains guidance on troubleshooting the causes of differences between HEIFES06 and the provisional HEIFES06 re-creation.
7. In some circumstances, we have to make approximations when transforming the ILR data into the HEIFES06 re-creation. These 'problems of fit' are described in Appendix 3.
8. By early 2008 we will generate a HEIFES06 re-creation from the 2006-07 ILR F04 data submitted by institutions to the LSC. We will compare this re-creation to HEIFES06. We intend to use the algorithms described in Appendix 1 to generate the HEIFES06 re-creation; however, we may change them if we identify any improvements that can be made.
9. We expect to select colleges that we require to make a formal response to the comparison on the basis of thresholds. These are likely to be set in terms of funding differences arising from HEIFES06 and the HEIFES06 re-creation. This includes the 2007-08 WP allocation reports. The recalculations of 2007-08 WP funding in the 2006-07 statistics derived from ILR data exercise may differ from those in the web facility, because of subsequent changes to, for example, 2007-08 ASN allocations, transfers and 2005-06 HESA/ILR data. Notwithstanding the thresholds, we may also ask for further information about the comparison from any college.
10. Each college required to respond formally will be asked to reconcile the two data sources. After reconciling the two sources and confirming that the HEIFES06 re-creation reasonably reflects the outturn position for 2006-07, the HEIFES06 re-creation will supersede HEIFES06. Any consequent grant adjustments (including 2007-08 WP allocations) will then be based on the superseding re-creation (subject to the appeals process and the availability of our funds).

Annex D

Derived statistics likely to inform the 2008-09 widening participation allocations

Purpose

1. This annex describes how we propose to use 2006-07 ILR F04 data to inform the WP allocations for 2008-09. Further details of the algorithms we use for these data are given in Appendix 4.

2. The web facility offers colleges the opportunity to check and, where needed, correct their 2006-07 ILR F04 data before submission to the LSC. We strongly encourage colleges to use the facility in this way, as correction of data after submission is exceptional and time consuming.

Web facility outputs and indicative funding calculations

3. The web facility will generate an indicative 2008-09 funding calculation for each of the WP allocations. These calculations are indicative and use 2007-08 allocation rates applied to 2007-08 assumed FTEs. Unlike the final allocations for 2008-09, they will not incorporate 2008-09 additional student numbers, transfers or mergers. Annex B describes how to access these indicative funding calculations and derived statistics produced by the web facility in an Excel workbook (IHWP06YYYYYY.xls, where YYYYYY is the UPIN for your college).

4. The indicative allocations for 2008-09 are provided solely to highlight potential 2006-07 ILR F04 data errors, so they can be corrected by colleges before submission to the LSC. 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 college. The final allocations for 2008-09 may be higher or lower than the illustrations given in the output from the web facility – as a result of changes to the methodology, changes to data by the college or to the data provided by any other college, or changes to the total sum available for allocation.

5. The WP-derived statistics can be rebuilt from the individualised file we provide. This file (IHWP06YYYYYY.ind) contains details of how each student was categorised in the indicative WP calculations, and, where relevant, details of why they did not contribute. A full description of the data in the individualised file is given in Appendix 4, along with instructions on how to rebuild the figures in the WP-derived statistics and indicative allocations spreadsheet (IHWP06YYYYYY.xls).

Widening access for students from disadvantaged backgrounds

6. This is a formula-based allocation of funding for teaching which recognises the extra costs associated with recruiting and supporting undergraduate students from disadvantaged backgrounds, who are currently under-represented in higher education. The proposed method of allocating funds is as follows.

7. Using postcode information from 2006-07 ILR F04 data, each student is mapped to a census ward. These wards are then ranked in terms of their young higher education participation rate (for young full-time undergraduates) or average educational achievement (for mature full-time undergraduates and both young and mature part-time undergraduates) and split into quintiles. Each student is weighted as shown in Table 2, according to the quintile of their ward.

Table 2 **Widening access weights**

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

8. Young students are those aged under 21 on entry to the programme of study; mature students are those aged 21 and over on entry.

9. Young higher education participation rates are calculated by looking at the number of young people reaching 18 between 1997 and 1999, and are estimated for each ward using 1991 census and child benefit data. The proportion of these young people who enter higher education aged 18 or 19 is calculated from student records – HESA, Individualised Student Record (ISR), and the Scottish Further Education Statistics survey (FES) – and this gives the required rate. These results can be found on the participation of local areas (POLAR) web-site, www.hefce.ac.uk/polar.

10. Average educational achievement for each ward are calculated by using 2001 census data to identify the percentage of 16-74 year-olds within each ward that have an HE level qualification. The underlying data can be found on the Office for National Statistics' (ONS) Neighbourhood Statistics web-site (<http://neighbourhood.statistics.gov.uk/dissemination/>). It can be found under View or Download Data by Topic/Education, skills and training/Qualifications and students (KS13)/2003 Administrative Hierarchy.

11. Postcode lookups based on the ONS's National Statistics Postcode Directory are available for download from the UKBORDERS web-site at <http://edina.ac.uk/ukborders/>. These lookups can be used to match postcodes to both 1991 and 2001 census wards.

To use this service you must be a user of Athens and be registered with the Census Registration Service.

12. The licence relating to these lookups has recently been clarified and extended to encompass educational administrative use in addition to academic research and teaching. The new conditions can be viewed at <http://census.data-archive.ac.uk/report/nspd06.rtf>

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

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

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

15. The population is defined as:

- for young full-time undergraduates: HEFCE-funded UK-domiciled new entrants that generate a column 4 countable year in the HEIFES06 re-creation
- for mature full-time undergraduates: HEFCE-funded English- and Welsh-domiciled new entrants that generate a column 4 countable year in the HEIFES06 re-creation
- for part-time undergraduates: HEFCE-funded English- and Welsh-domiciled new entrants that generate a column 4 countable year in the HEIFES06 re-creation.

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

- 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 who are domiciled in Scotland or Northern Ireland
- other EU students.

17. These excluded students are counted in the FTEs in the next step (see paragraph 18), and therefore receive an average weight for the purpose of allocating funds.

18. Each average weight that was derived in paragraph 14 is London weighted (8 per cent for inner London and 5 per cent for outer London). It is then applied to the assumed undergraduate (including foundation degree) FTEs for 2007-08 (not incorporating 2008-09 additional student numbers, transfers or mergers).

Improving retention

Full-time students

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

20. Using age and entry qualification information from 2006-07 ILR F04 data, full-time UK-domiciled undergraduate new entrants are assigned to one of six risk categories (see paragraph 21 for further information on how students are assigned to risk categories). These are then weighted as shown in Table 3 below. Students are only part of the population if they generate a HEFCE-fundable column 4 countable year in the HEIFES06 re-creation.

Table 3 Risk category weights

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

21. For this allocation, mature students are those aged 21 or over on entry. The assignment of students to one of the six risk categories based on entry qualifications and age is shown in Table 4 below.

Table 4 **Assignment of students to risk categories**

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

* New entrants whose highest qualification on entry are A-levels but who did not enter via UCAS and do not have A-level points recorded, are allocated to medium risk.

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

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

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

23. The average weight derived from paragraph 22 is given a London weighting (8 per cent for inner London, 5 per cent for outer London). This is then applied to the assumed full-time undergraduate (including foundation degree) FTEs for 2007-08 (not incorporating 2008-09 additional student numbers, transfers or mergers).

Part-time students

24. The part-time allocation is likely to be distributed pro rata to London-weighted part-time undergraduate (including foundation degree) assumed FTEs for 2007-08 (not incorporating 2008-09 additional student numbers, transfers or mergers).

Widening access for students with disabilities

25. We also allocate funding for widening access for students with disabilities. This allocation is likely to be calculated using 2006-07 ILR F04 data as follows.

26. Firstly, we calculate for each college the proportion of eligible home and EC students who received the Disabled Students' Allowance (DSA). Students are only part of the population if they generate a column 4 countable year in the HEIFES06 re-creation.

27. Next, each college is assigned to one of four quartiles, according to the proportion of students receiving the DSA, although this is smoothed to ensure that no college falls by more than one quartile since the previous year. Separate weights are attached to each of the four quartiles, as shown in Table 5.

Table 5 **Quartile weights**

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

28. Finally, each college's share of the funding is allocated pro rata to the assumed FTEs for 2007-08 (not incorporating 2008-09 additional student numbers, transfers or mergers), weighted according to the quartile in which they fall and a London weighting (8 per cent for inner London, 5 per cent for outer London). However, minimum allocations apply, as shown in Table 6.

Table 6 **Minimum allocations for widening access for students with disabilities**

FTE	Minimum allocation
<50	£500
50 to 249	£1,000
250 to 499	£5,000
500 or more	£10,000

Annex E

Information for leads and members of HEFCE-recognised funding consortia

Purpose

1. This annex provides information for FECs that are part of a HEFCE-recognised funding consortium about the outputs that will be made available to them via the web facility.
2. This annex also describes how the data submitted by member colleges within a consortium will be incorporated in any outputs generated for the lead.

Data collection arrangements for HEFCE-recognised funding consortia

3. Every student within a HEFCE-recognised funding consortium is always recognised as being a student of the appropriate consortium member college, rather than of the lead college. There is only one lead institution in each consortium.
4. Within the sector, the leads of HEFCE-recognised funding consortia are both higher education institutions (HEIs) and FECs. Where an FEC is the lead, the institution must submit data to the LSC only for students that are registered with it, and not return those belonging to member colleges. Students registered at a member college will be returned on that college's 2006-07 ILR F04.
5. All member colleges' data for students funded under the consortium arrangement should have been returned by the lead college on its HEIFES06 return. Therefore, for the lead college of a HEFCE-recognised funding consortium, the HEIFES06 re-creation will incorporate its 2006-07 ILR F04 data with 2006-07 ILR F04 data from each member college in the consortium. A similar arrangement is made for the 2008-09 WP allocations.
6. In order for the web facility to build a HEIFES06 re-creation for leads of HEFCE-recognised funding consortia that incorporates the learners from member colleges, we have designed the facility so that it incorporates the latest data from the member colleges when it generates the re-creation for the lead.
7. The lead's web facility outputs will only incorporate member college data after these data have been submitted to the web facility by the member colleges. Where the lead of the consortium is an HEI, the member colleges' data will be passed to the HEI's re-creation output that is produced from an equivalent web facility for HEIs.

Web facility outputs

HEIFES06 and the HEIFES06 re-creation

8. The web facility generates a provisional HEIFES06 re-creation. This is described in Annex C. In addition, Annex B describes how to access the HEIFES06 re-creation Excel workbook from the HEFCE extranet. The information in the provisional HEIFES06 re-creation will vary depending on whether the college is a lead or member college.

9. Lead institutions of a HEFCE-recognised funding consortium will be able to access the following files via the web facility:

- LEAD06YYYYYY.xls – an Excel workbook containing the HEIFES06 re-creation tables for the lead college (includes the 2006-07 ILR data uploaded by the lead FEC only)
- HEIFER06YYYYYY.xls – an Excel workbook containing the HEIFES06 re-creation tables. This file includes the combined 2006-07 ILR data uploaded by both the lead and member colleges. This workbook combines the data contained in LEAD06YYYYYY.xls with the 2006-07 ILR data from the member colleges where they have submitted data to the web facility
- HEIFERC06YYYYYY.xls – Excel workbooks containing the HEIFES06 re-creation tables for each of the member colleges where member colleges have submitted ILR data to the web facility
- HEIFER06YYYYYY.ind – the individualised file to supplement the provisional HEIFES06 re-creation tables for the lead college (LEAD06YYYYYY.xls). All of the information in the HEIFES06 re-creation tables for the lead college can be re-built by categorising and aggregating the data in this file. It contains details, in the form of 2006-07 ILR fields 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.

10. Member colleges of a HEFCE-recognised funding consortium will be able to access the following files:

- HEIFERC06YYYYYY.xls – Excel workbooks containing the HEIFES06 re-creation tables for the member college
- HEIFER06YYYYYY.ind – the individualised file to supplement the provisional HEIFES06 re-creation tables for the member college (HEIFERC06YYYYYY.xls). All of the information in the provisional HEIFES06 re-creation tables for the member college can be re-built by categorising and aggregating the data in this file. It contains details, in the form of 2006-07 ILR fields 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.

Derived statistics likely to inform the 2008-09 WP allocations

11. The web facility generates illustrative 2008-09 WP allocations. These are described in Annex D, and Annex B provides instructions on how to access the IHWP06YYYYYY.xls re-creation Excel workbook from the HEFCE extranet. The information in the IHWP06 re-creation will vary depending on whether the college is a lead or member college.

12. Lead institutions of a HEFCE-recognised funding consortium will be able to access the following files:

- IHWPLEAD06YYYYYY.xls – an Excel workbook containing the WP tables (WP06) for the lead college only
- IHWP06YYYYYY.xls – an Excel workbook containing the WP tables that combines the data from the lead of the consortium with all member colleges that have submitted ILR data to the web facility
- IHWPC06YYYYYY.xls – Excel workbooks containing the WP tables for each of the member colleges that have submitted ILR data to the web facility. These tables will only become available when member colleges submit data to the web facility
- IHWP06YYYYYY.ind – the individualised file that supplements the indicative 2008-09 WP allocations (IHWPLEAD06YYYYYY.xls). All of the information in the WP06 tables for the lead college can be re-built by categorising and aggregating the data in this file. It contains details, in the form of 2006-07 ILR and derived fields, of how each student was classified in the re-creation. A full description of the data in the individualised file is given in Appendix 4.

13. Member colleges of a HEFCE-recognised funding consortium will be able to access the following files:

- IHWPC06YYYYYY.xls – an Excel workbook containing the WP tables for the member college
- IHWP06YYYYYY.ind – the individualised file that supplements the indicative 2008-09 WP allocations (IHWPC06YYYYYY.xls). All of the information in the

WP06 tables for the member college can be re-built by categorising and aggregating the data in this file. It contains details, in the form of 2006-07 ILR and derived fields, of how each student was classified in the re-creation. A full description of the data in the individualised file is given in Appendix 4.

Access to outputs

14. Lead colleges will be given automatic access to all outputs except the separate HEIFES06 re-creation (HEIFER06YYYYYY.ind) and WP06 (IHWP06YYYYYY.ind) individualised files for each of the member colleges. Each member college will receive access to its own separate HEIFES06 re-creation, and the accompanying HEIFES06 re-creation individualised file that will contain only its own 2006-07 ILR data. A similar arrangement will apply for the WP outputs.

15. Where a member college gives us permission to allow the lead college access to its HEIFES06 re-creation or WP06 re-creation individualised files, we will write to the lead college to describe how it can access these files via the HEFCE extranet.

Other outputs available to the lead and member colleges

16. In addition to the HEIFES06 re-creation and WP06 outputs listed above, each lead and member college will also have access to the other outputs relating to its own data listed in paragraph 24 of Annex B.

Worksheets

17. The provisional HEIFES06 re-creation workbook for lead colleges, LEAD06YYYYYY.xls contains the worksheets listed in Table 7.

Table 7 **Excel workbook LEAD06YYYYYY**

Page number	Worksheet (see tabs on spreadsheet)	Title
1	Coversheet	Title page
2	FTS	Provisional HEIFES06 re-creation Table 1: Full-time and sandwich years of programme of study
3	SWOUT	Provisional HEIFES06 re-creation Table 2: Sandwich year-out years of programme of study
4	PT	Provisional HEIFES06 re-creation Table 3: Part-time years of programme of study
5	FEE	Provisional HEIFES06 re-creation Table 4: Home and EC fees
6	CONS	Provisional HEIFES06 re-creation Table 6: HEFCE-recognised funding consortia 2006-07
7	Excl	Provisional HEIFES06 re-creation exclusion table for the member college
8	Credibility	Identifies areas for recognised HE qualification aims on 2006-07 ILR F04 where data is potentially inaccurate

18. The provisional HEIFES06 re-creation workbook for member colleges, HEIFERC06YYYYYY.xls, contains the worksheets listed in Table 8.

Table 8 **Excel workbook HEIFERC06YYYYYY**

Page number	Worksheet (see tabs on spreadsheet)	Description
1	Coversheet	Title page
2	FTS	Provisional HEIFES06 re-creation Table 1: Full-time and sandwich years of programme of study for the member college
3	SWOUT	Provisional HEIFES06 re-creation Table 2: Sandwich year-out years of programme of study for the member college
4	PT	Provisional HEIFES06 re-creation Table 3: Part-time years of programme of study for the member college
5	FEE	Provisional HEIFES06 re-creation Table 4: Home and EC fees for the member college
6	Excl	Provisional HEIFES06 re-creation exclusion table for the member college
7	Credibility	Identifies areas for recognised HE qualification aims on 2006-07 ILR F04 where data is potentially inaccurate

Annex F

Unistats summaries

Purpose

1. This annex describes how we intend to produce Unistats summaries from ILR data for directly-funded higher education in FECs and member colleges of HEFCE-recognised funding consortia. We expect colleges to use this opportunity to check that the ILR data used to produce the teaching quality information (TQI) are fit for publication on the Unistats web-site (www.unistats.com) in summer 2008.
2. It is also an opportunity for colleges comment on the suitability for publication of the Unistats summaries and the algorithms used to generate them. Details of the algorithms used are in Appendix 5. Comments on the suitability for publication of the Unistats summaries and the Unistats algorithms should be sent to Ben Grassby (e-mail ilr_heifes_stats@hefce.ac.uk) by 22 February 2008.

Background

3. Unistats is the new name for the TQI web-site. The Unistats web-site will be launched in September 2007 to bring together key sources of official information about the quality of higher education in UK universities and colleges, so that it is more accessible to applicants and their advisers. The web-site will make it easier to compare institutions and subjects so that students can make more informed choices of where to study. The site contains information such as the number of students completing awards, leaving without awards, and continuing at the institution. It also contains information about the number of leavers who are entering employment or further study, or who are unemployed.
4. The TQI site currently contains a range of information for HEIs, as well as for higher education at FECs that are funded indirectly through an HEI (excluding members of HEFCE-recognised funding consortia). However, directly-funded FECs and consortium members have only a minimal presence on the TQI site at present.

Proposed extensions to the coverage of Unistats

5. To satisfy public information needs, we plan to extend the coverage of Unistats on the site to include the following statistics for directly-funded FECs and members of HEFCE-recognised funding consortia:
 - statistics on entry qualifications
 - continuation through the course
 - award obtained.
6. We intend to publish these statistics on the Unistats web-site in summer 2008. The primary source for the data will be the 2006-07 F05 ILR return. It is our intention,

within the boundaries of the available data, to make the information as comparable as possible to the statistics published on the Unistats site for HEIs and FECs that are funded indirectly through an HEI.

7. From February 2008 HEFCE staff may view Unistats outputs generated by the web facility to identify any general issues of data quality and the suitability of the algorithms. Further details about the data confidentiality agreement can be found in paragraph 32 of the main text.

8. The statistics will be restricted to recognised courses of higher education at HEFCE-funded institutions. See Annex D of HEIFES06, HEFCE 2006/37, for the definition of recognised courses of higher education.

9. The web facility will give colleges the opportunity to view the proposed Unistats outputs from 2006-07 ILR data that they intend to submit to the LSC, and the chance to identify and correct, where necessary, errors in the underlying data.

10. Comments on the suitability for publication of the Unistats summaries and algorithms should be sent to Ben Grassby (e mail: ilr_heifes_stats@hefce.ac.uk) by 22 February 2008.

Web facility outputs

11. Annex B describes how to access the derived statistics, in an Excel workbook, that we intend to publish on the Unistats site (TQI06YYYYYY.xls, where YYYYYY is the UPIN for the college).

12. To investigate the underlying data, institutions should use the individualised file (TQI06YYYYYY.ind) that contains details of how each student was classified and, where relevant, details of why they were excluded from the Unistats statistics. A full description of the data in the individualised file is given in Appendix 5.

Descriptions of Unistats statistics derived from ILR data

13. The Unistats statistics that the web facility will generate from the submitted 2006-07 ILR data are as follows.

Entry information

14. Data on the highest qualifications on entry will be provided against the following headings:

- first degree or higher
- other HE
- A-levels, Scottish Highers, or other Level 3 qualifications
- BTEC national diploma

- access course
- baccalaureate
- other qualifications
- no formal qualifications/not known.

15. Data are disaggregated according to the level of the student: postgraduate, first degree, and other undergraduate. For undergraduate students the data will be further disaggregated between those who were under 21 on 31 August 2006 and those 21 or over.

Continuation information

16. Continuation data relate primarily to the status in the 2005-06 academic year of students who were active in the 2004-05 academic year. Data are reported against the following categories:

- continuing
- gained intended award
- gained other award
- dormant
- left without award.

17. Students who are recorded as dormant will also have their status in the 2006-07 academic year recorded according to the same categories.

18. Data are disaggregated according to the level of student: postgraduate, first degree, and other undergraduate. These data will be further disaggregated according to whether the student was undertaking their first year of study in 2004-05.

Achievement information

19. These data are only for students whose qualification aim is a first degree; the class of degree is disaggregated as follows:

- first class honours
- upper second class honours
- lower second class and undivided honours
- other honours/pass
- ordinary degree
- unclassified honours.

Annex G

2008 National Student Survey target list

1. This annex describes how we will use 2006-07 ILR student data submitted over the web facility to provide FECs with a list of students that should be included in the 2008 NSS.
2. This annex also describes how we will use colleges' 2006-07 ILR data to generate an individualised student data file that identifies, by reason, the students that have been excluded from the 2008 NSS target list.
3. The algorithms used to generate the list are explained in Appendix 7.
4. Colleges are encouraged to use the target lists to start preparing the contact details for students. Completed lists need to be returned to the survey agency in November 2007.
5. HEFCE staff will access data relating to NSS target lists. Further details about the data confidentiality agreement can be found in paragraph 32 of the main text.

Background

6. The NSS provides information to prospective students, and their advisers, who are making choices about what and where to study. This information will be published with other information relating to teaching quality on the Unistats web-site (www.unistats.com) in summer 2008. The NSS also aims to contribute to public accountability, and to provide information that will help institutions to enhance teaching quality, by supplementing their internal feedback mechanisms.
7. The proposals for including directly funded FECs and member colleges of HEFCE-recognised funding consortia were set out in 'Development of TQI and the NSS' (HEFCE Circular Letter 23/2006), with further details in HEFCE Circular letter 08/2007.

Web facility outputs

8. The web facility generates the 2008 NSS target lists. Annex B describes how to access these lists (NSSP08YYYYYY.xls – where YYYYYY is the UPIN for the college).

Proposed scope of students to be included

9. For the 2008 survey, we propose that the population of students that will be surveyed comprises all full-time and part-time undergraduate students registered at FECs, who are at or near the point of completion of their programmes of study. Students will be included if the course is expected to end in 2007-08 (that is, they are expected to be in their final year of study).

10. We expect all the following students to be included in the population:
 - a. Students that are registered at one institution and taught by another.
 - b. International students.
 - c. Independently-funded students.
 - d. Students funded by Skills for Health (the Sector Skills Council for healthcare) and the Department of Health.

11. The following students will be excluded from the population surveyed:
 - a. Students on programmes that do not lead to undergraduate qualifications or credits.
 - b. Students on short courses (of less than one FTE) and on low intensity courses.
 - c. Students who are dormant in 2006-07.

Annex H

HEFCE statistics used for publication and to inform policy

Purpose

1. This annex describes the outputs we intend to publish, or use to inform policy decisions during 2008, once these data are submitted to the LSC.
2. Colleges should note that the web facility is the only opportunity for them to check and correct the derived statistics that will be used in HEFCE statistical publications during 2008.
3. We will generate data from 2006-07 ILR F04 covering information on provision of study by location. These data may also be used for regional analysis and to inform any allocation of additional student numbers.
4. Details of the algorithms used in generating the data for publication are given in Appendix 9. Where appropriate we have included derived fields in the individualised student data file, to allow colleges to better understand the derivation of the data.

Web facility outputs

5. The web facility generates the derived statistics that will be used in HEFCE statistical publications. Annex B describes how to access these derived statistics, in an Excel workbook (IHPUB06YYYYYY.xls, where YYYYYY is the UPIN for the college).
6. The information in the published tables can be re-built from the individualised file we provide. The file (IHPUB06YYYYYY.ind) contains details of how each student was classified and, where relevant, why they were excluded from the provision by location population. A full description of the data in the individualised file is given in Appendix 9.

Provision of study by location

7. In previous years a database of provision of study by location, derived from the ILR and the HESA student record, was used for regional analyses. In HEFCE 2006/29 we presented tables, using this database, showing all students who were registered at institutions in England and who were studying for a higher education qualification, by the geographical area in which the learning took place. We intend to generate the equivalent data for 2006-07 to enable institutions to check that the information is accurate and suitable for publication. We expect to publish it during 2008.
8. It is likely that we will continue to use similar data in the future. Therefore, it is essential that we continue to receive accurate data about where students are taught.
9. Where students are taught is derived from the institution's postcode. The following geographical categories based on the teaching college's postcode were included in the

database: region, county, county/unitary authority, local education authority and the LSC area.

10. The database also contains details of the students' mode and level of study as well as broadly grouped subject of study.

11. Students who study via distance learning or are on a sandwich year out are not included in this database.

12. To improve the quality of the data, we will exclude duplicate records. These may be the result of duplicate records between the HESA and the ILR returns, as well as duplicate records within ILR returns. As we cannot remove duplicate records until all institutions have completed their returns, this will be done after submission. The removal of duplicates may result in differences between tables created by the web facility and those that we eventually publish. In particular, if a student is returned to HESA by an HEI which specifies your college as the teaching institution, and you return that student in the ILR, we shall exclude your record from the publication.

Annex I

Lifelong Learning Network student summaries

Purpose

1. This annex describes how we intend to identify students that are part of an LLN using their 2006-07 F04 ILR data. Colleges participating in an LLN in 2006-07 should use this opportunity to verify that we are correctly identifying their LLN students from their F04 data. This annex applies only to colleges that have registered LLN students during 2006-07 at their college as part of an LLN initiative.

2. We have produced an indicative report of 'calculation of notional grant associated with LLN students', based on the number of LLN students that we identify from the ILR data. Within the teaching funding method we monitor LLNs' additional student numbers (ASNs) as part of a college's total ASN targets. These are shown in the HBK worksheet of HEIFER06YYYYYY.xls, as described in Annex B. Therefore the indicative report is provided solely to highlight potential 2006-07 F04 ILR data errors, and should not be considered to be any kind of funding commitment by HEFCE.

Background

3. In John Selby's letter of 2 May 2006, we asked colleges to provide details of how we can identify LLN students on their ILR returns. This letter also explained that, wherever possible, we will use ILR data to evaluate the LLN initiative. If LLN students are identified on the ILR record we can follow them through their HE study and measure their achievement within HE, their evaluation of their HE experience (through the NSS) and, where appropriate, their employment outcomes.

Web facility outputs

4. Annex B describes how to access the derived statistics, in an Excel workbook, that are used to generate the LLN student summaries (LLN06YYYYYY.xls, where YYYYYY is the UPIN for the college).

5. To investigate the underlying data, institutions should use the individualised file (LLN06YYYYYY.ind) that contains details of how each student was classified and, where relevant, why they were excluded from the LLN summaries. A full description of the data in the individualised file is given in Appendix 8.

Annex J

Submitting overrides to derived fields

Purpose

1. This annex describes the format and submission process for override files. Erroneous LAD data or the HEIFES06 re-creation algorithms may occasionally result in correct ILR data generating derived fields that do not reflect a student's actual characteristics. In such cases an override file can be used to correct the derived fields or the LAD.
2. Colleges should note that we will only apply override files if we agree that they are appropriate. We may need to request further information to determine this. It may not always be possible to determine whether an override is appropriate until we have examined its impact on the derived fields affected. Therefore we may refuse to accept an override once submitted.
3. There are two general cases where overrides may be applied:
 - to correct erroneous or missing LAD data
 - to correct problems of fit with our algorithms.

Erroneous or missing LAD data

4. When a learning aim provided by a college is not included in our copy of the LAD, overrides may be submitted to provide the information needed. Similarly, errors in LAD data for learning aims that are included on our copy of the LAD may require correction through an override file. LAD data can be corrected through an override file for the fields given in Table 9.

Table 9 LAD fields

Field name	Field name in LAD	Column in individualised file
AWARD_BO	Awarding_body_code	AN
ENG_LEVE	England_FE_HE status_code	AQ
LDCS_COD	Learndirect_code	BW
QUAL_TYP	Learning_aim_type	BP
SUPERCL1	Superclass_code	BT
SUPERCL2	Superclass_code_2	BU
SUPERCL3	Superclass_code_3	BV

Where an override is providing data for a learning aim that is not included on the LAD, all the fields in Table 9 should be included in the override file.

5. Overrides to correct erroneous or missing LAD data are always temporary. They will only be applied to ILR data submitted to the 2006-07 web facility. Therefore colleges should also liaise with the LSC to request that the necessary corrections are made to the LAD. The LSC asks providers 'to notify the LSC of learning aims missing from the database when they start to enrol learners on the learning aim', (see the guidance notes for the 'learning aim reference' (A09) field in the 'Specification of the individualised learner record for 2006/07' (available from the LSC)).

6. Paragraphs 13-17 of this annex describe the format which colleges must use when submitting override files to correct erroneous or missing LAD data. Colleges should note that we will be unable to process files which are not submitted in this format.

Problems of fit with our algorithms

7. This year, in a change to previous years' procedures, where problems of fit with our algorithms result in errors to derived fields we are only allowing certain derived fields to be modified by the override file. These fields, which we refer to as 'primary derived fields', are those which are directly used to generate the HEIFES06 re-creation tables. For example, the value of HEFEXCL determines whether a record is included in the HEIFES population and is a primary derived field. In contrast, the fields EXCL1-EXCL64 (which are used to derive HEFEXCL) are not directly used to generate the re-creation tables; these are secondary derived fields. A list of primary derived fields is given in Table 10.

8. Since overrides can only alter primary derived fields, a record's secondary derived fields may be inconsistent with the primary derived fields. Considering the example above, if the value of HEFEXCL is altered by an override file, its value will be inconsistent with the values of EXCL1-EXCL64.

9. We also require that certain primary derived fields are returned as a group, in order to maintain data integrity. If any field in the group is changed, we require that all members of that group are returned, even if the values of certain fields in the group remain unchanged. Details of the fields which must be returned in a group are given in Table 10. For example, if an override to correct price groups or FTEs is being submitted, we require that the file contains FTEB-D, FTEMEDIA, FTEITT and FTEINSET; even if the values of some of these fields remain unchanged.

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

Table 10 **Primary derived fields**

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

11. To allow colleges to check that an override file has had the desired effect, a new field, 'OVERRIDE', is included in the individualised file. This takes the value 1 if an override has been applied to the record; otherwise its value is 0. This field also allows colleges to determine which records may have inconsistent secondary derived fields, as a result of having an override applied.

12. Paragraphs 13 to 17 of this annex describe the format which colleges must use when submitting override files to correct problems of fit with our algorithms. We will be unable to process files which are not submitted in this format.

Format of override files

13. The override file consists of two parts: a header, which contains details of the override; and the data part, which contains the data which are being corrected. An example of a typical override file can be found at the end of this annex.

14. Override files must be sent as a comma-separated file in an e-mail attachment to ilr_heifes_stats@hefce.ac.uk. Override files must be given a file name in the form `ovrYYYYYYn.amd`, where:

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

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

The override header

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

Line 1: contains the filename (as described in paragraph 14), with the '.amd' extension removed.

Line 2: the date on which the override was submitted, in the form ddmmYYYY. For example 1 July 2007 would be represented as 01072007.

Line 3: a brief description of the purpose of the override.

Line 4: contains the word 'OVERRIDE'.

Line 5: the field(s) used to indicate records which should be corrected by the override, comma separated. These should be named according to Table 11, of Appendix 1. For example, QA_AIM_R (A09) could be used to correct a primary derived field for all students on a specific learning aim.

Line 6: the names of the LAD fields or primary derived fields being changed, comma separated. The fields which may be changed are listed in Tables 9 and 10.

Line 7: the number of rows of data (excluding headers) in the override file.

Line 8: the field used to compute the file's check-sum (see paragraph 16, below).

Line 9: the value of the check-sum. Paragraph 16 explains how to choose a suitable field as check-sum and explains how to compute its value.

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

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

Line 13: the data must begin on this line. Details regarding its format are given in paragraph 17.

Check-sum

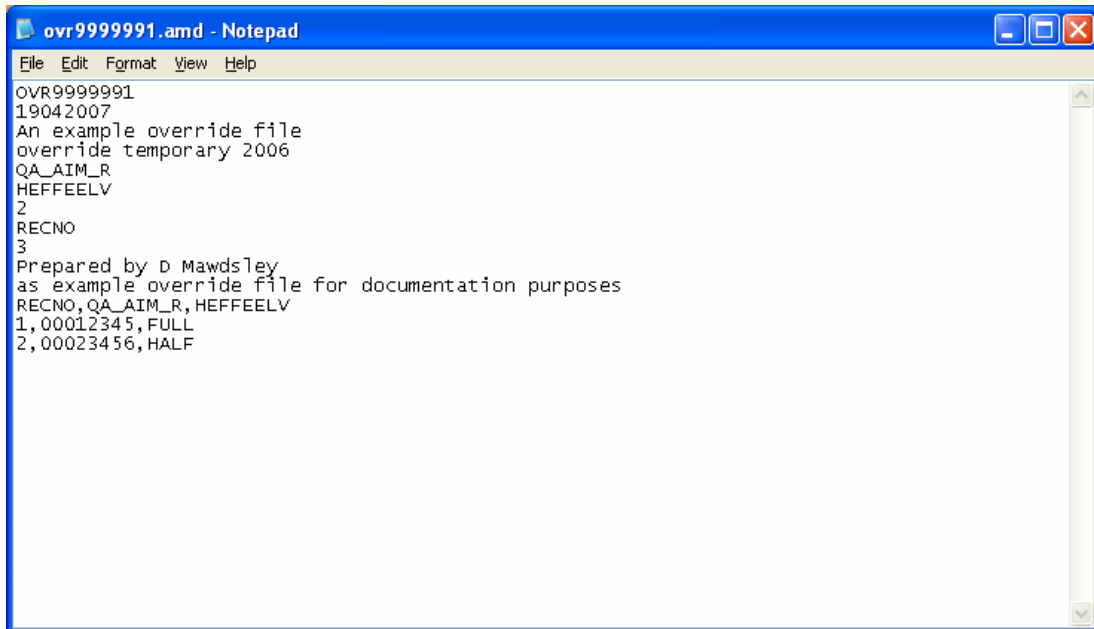
16. To ensure that the override file has been received in its entirety, or has not been otherwise corrupted during transmission, we use a check-sum. The check-sum is calculated by summing the values of the field specified on line 8 over all records in the file. The calculated value should be returned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

The data part of the file

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

Figure 1 An example override file

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



```
ovr9999991.amd - Notepad
File Edit Format View Help
OVR9999991
19042007
An example override file
override temporary 2006
QA_AIM_R
HEFFEELV
2
RECNO
3
Prepared by D Mawdsley
as example override file for documentation purposes
RECNO,QA_AIM_R,HEFFEELV
1,00012345,FULL
2,00023456,HALF
```


Annex K

HEIFES07 non-completion toolkit

Purpose

1. This annex contains details on how to use the non-completion toolkit. It should be read in conjunction with, and used in accordance with, the forthcoming HEIFES07 publication, which provides full guidance relating to the return of non-completion forecasts.

Description

2. The toolkit is a spreadsheet that allows colleges to generate estimated non-completion rates for all students by course and year for 2006-07, from the ILR data that they submit to the web facility, using fields that they consider influential to this rate. The estimated rates may be used by colleges to inform the forecasts of non-completions returned in HEIFES07.

Reliability of estimated non-completion rates

3. Colleges should note that the toolkit is provided purely as an aid in generating non-completion rates for HEIFES07. We expect colleges to use their own judgement in assessing whether the rates generated are applicable and appropriate.

4. Estimates may be unreliable if the numbers of students involved are small or if the underlying ILR data contain errors or are not completed in line with HEFCE guidance on non-completion status. Colleges should consult the forthcoming HEIFES07 publication for definitive guidance on non-completions as well as information on making HEIFES estimates and keeping records for audit purposes. The HEIFES06 publication (HEFCE 2006/37) also contains guidance on non-completions. While we do not anticipate the guidance changing substantially between HEIFES06 and HEIFES07, institutions should use the most recent available version of the publication.

Using the toolkit

5. Users should follow the instructions in Annex B to access the file IHNCTK06YYYYYY.xls, and open it in Excel 2000 (or a later version). Owing to the technology used, the toolkit will not function correctly in earlier versions. The creation of tables uses macros, so these should be enabled to use the facility. The worksheet called 'NCdata' contains the raw data used to generate the tables, and the 'Pivot Table' worksheet displays the results. When you open the file you will be prompted to select the fields you want to use to generate the non-completion rates – we advise summarising by course in the first instance. To create the table click 'OK', and the screen will close, enabling you to view the table. Click on 'Create a new table' to repeat the process – this will delete the previous table from the worksheet.

6. Non-completion rates based on small numbers of students may be unreliable, so any rate based on a population of fewer than 100 is coloured red and noted as unreliable. In these cases we advise using less detailed data to obtain a more reliable estimate.

7. In order to save a table you have created, open the <File> menu and select <Save As>.

List of abbreviations

ASNs	Additional student numbers
DSA	Disabled Student's Allowance
EC	European Community
FAQ	Frequently asked question
FE	Further education
FEC	Further education college
FES	Scottish Further Education Statistics survey
FTE	Full-time equivalent
FTS	Full-time and sandwich
HE	Higher education
HEFCE	Higher Education Funding Council for England
HEI	Higher education institution
HEIFES	Higher Education in Further Education: Students Survey
HESA	Higher Education Statistics Agency
HESES	Higher Education Students' Early Statistics survey
INSET	In-service education for teachers
ILR	Individualised Learner Record
ISR	Individualised Student Record
ITT	Initial teacher training
LAD	Learning Aims Database
LLN	Lifelong Learning Network
LSC	Learning and Skills Council
NSS	National Student Survey
ONS	Office for National Statistics
PGCE	Postgraduate certificate of education
POLAR	Participation of local areas
QTS	Qualified teacher status
TQI	Teaching Quality Information
UKPRN	UK Provider Reference Number
UPIN	Unique Provider Identification Number
WP	Widening participation