

February 2007/05

Core funding/operations

Request for information

Response may be required

This document describes the process we will use when reconciling 2005-06 data returns made to the Learning and Skills Council with other returns made to HEFCE. We will write to all further education colleges (FECs) and identify significant reconciliation differences where appropriate. This report also describes how we intend to use Individualised Learner Record (ILR) data to inform the widening participation allocations for 2007-08.

2005-06 statistics derived from ILR data for the monitoring and allocation of funding in FECs

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2005-06 statistics derived from ILR data for the monitoring and allocation of funding in FECs

To	Heads of further education colleges directly funded by HEFCE Heads of lead institutions of HEFCE-recognised funding consortia
Of interest to those responsible for	Learner data, Funding, Audit
Reference	2007/05
Publication date	February 2007
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Executive summary

Purpose

1. This document describes:
 - a. How we will use 2005-06 Learning and Skills Council (LSC) learner data to monitor returns made to HEFCE.
 - b. The responses required to these monitoring processes.
2. This document, together with its supporting appendices, is divided into three sections:
 - a. The comparison of Higher Education in Further Education: Students Survey 2005-06 (HEIFES05) and the July 2005-06 Individualised Learner Record (2005-06 ILR F04).
 - b. How we intend to use 2005-06 ILR F04 to inform the 2007-08 widening participation (WP) allocations.
 - c. Guidelines on completing and submitting action and implementation plans.

Key points

Data quality

3. We are confident that, based upon the experience of previous exercises, this exercise continues to improve the data quality of returns made to both LSC and HEFCE. It also increases our understanding of data quality issues that relate to these returns.

Funding monitoring

4. For colleges required to make a response, the exercise is conducted in two interrelated but distinct parts. The first is the process of reconciling, explaining and amending the data up until the point where colleges 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 the re-creation sign-off, is the consideration of funding adjustments which result from the exercise, together with the appeals process.
5. Our funding allocations are informed by the data provided by colleges. If we find, either through reconciliations with 2005-06 ILR F04 data, or any data audit, that data do not reflect the outturn position for the year and that this has resulted in colleges 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 reconciling a re-creation of HEIFES05 from 2005-06 ILR F04 data (the HEIFES05 re-creation) with HEIFES05 are likely to affect the funding previously announced for 2005-06 and all subsequent years.
7. In many cases the funding adjustments resulting from the reconciliation will be significant. Therefore it is important for colleges to ensure that sufficient time and resources are allocated to allow the exercise to be completed accurately and promptly. If colleges have not signed off their re-creations by the deadlines given below, then we will implement any

reductions to 2007-08 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 colleges to manage. The deadline is **31 August 2007** for colleges selected to respond to the comparison of HEIFES05 and the HEIFES05 re-creation.

Annexes and appendices

8. The annexes to this publication describe how we will use 2005-06 ILR F04 data for this exercise. The appendices contain technical descriptions of the algorithms we will use.

Action required

Funding monitoring

9. We will write to heads of colleges, copied to HEIFES contacts, by 8 February 2007 indicating whether a response is required. Where a response is required, action and implementation plans must be returned by **2 March 2007**.

10. The final deadline for HEFCE to receive amendments to 2005-06 ILR F04 data and overrides to derived fields, as detailed in the action and implementation plans, is **20 April 2007**.

2005-06 ILR F04 data used to inform 2007-08 widening participation allocations

11. If colleges wish to correct 2005-06 ILR F04 data that will be used to inform 2007-08 widening participation allocations they should submit amendments, as detailed in their action plans, by **25 May 2007** to Christine Daniel.

Timetable

12. The following timetable details the critical deadlines for the exercise.

8 February 2007	Issue of letter to all colleges requesting response to exercise where appropriate
2 March 2007	Deadline for receipt of final action and implementation plans produced by each college required to respond
20 April 2007	Final deadline for sign-off for 2005-06 ILR F04 data amendments and overrides to derived fields as detailed in action and implementation plan(s)
11 May 2007	Deadline for receipt of action and implementation plans for 2005-06 ILR F04 amendments for incorporation in the provisional 2007-08 WP allocations
25 May 2007	Deadline for sign-off for amendments to 2005-06 ILR F04 data for incorporation in the provisional 2007-08 WP allocations
31 August 2007	For colleges asked to respond to the comparison of HEIFES05 and the HEIFES05 re-creation: deadline for confirmation that the HEIFES05 re-creation reasonably reflects the outturn position for 2005-06 to avoid interim grant adjustments (see paragraphs 25 to 26 of the Introduction)

Introduction

13. This document describes how we will use 2005-06 ILR F04 data to monitor returns made to HEFCE. It also details the action required where either a response is requested or a college wishes to correct errors in its 2005-06 ILR F04 data.

14. This document consists of an executive summary and introduction, plus Annexes A to I. In addition technical appendices 1 to 6 are available on the web together with this document at www.hefce.ac.uk under Publications. The technical appendices will be of interest to readers that need to understand the algorithms used in the calculation of their data.

Annual data returns

15. The HEIFES return is used both to monitor the year's teaching funding allocation and to determine the teaching funding allocation for the following year. In this exercise HEFCE uses ILR data to:

- a. Monitor HEIFES through the re-creation of the HEIFES return. If we find, either through a college's response to our reconciliations using ILR data, or any other method of assurance or data audit, that the HEIFES 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 further education college's (FEC'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 HEIFES (for example, qualification on entry, age and postcode data for determining the WP allocations).

16. Our monitoring processes are applied consistently to all colleges. We receive ILR F04 data approximately 14 months after the equivalent year's HEIFES return. We expect all colleges to have used the HEIFES re-creation generated by the '2005-06 statistics derived from ILR data: guide to HEFCE web facility' (HEFCE 2006/22) to verify and correct their 2005-06 ILR F04 data, where appropriate, before submitting their ILR returns in readiness for this exercise.

Monitoring funding

Selection thresholds and action and implementation plans

17. We employ thresholds to select which colleges are required to respond to this exercise. These thresholds are set in terms of the funding differences arising from the comparison of HEIFES05 and the HEIFES05 re-creation. The selection process represents a risk assessment. Primarily, this assessment is intended to identify those colleges whose data differences are most likely to have a material effect on their funding allocations.

18. Each college 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. Comprehensive action and implementation plans allow us to

gain a full understanding of the areas of, causes, and reasons for discrepancies. Please ensure you have understood the requirements set out in Annex F in advance of producing your institution's response. 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 college to gather this information.

HEIFES05

19. 2005-06 ILR F04 data will be used to monitor HEIFES05. A re-creation of HEIFES05 is generated from 2005-06 ILR F04 data using the methods detailed in Annex B. This re-creation is compared to HEIFES05 and if the discrepancies between the two data sources exceed our thresholds, the college will be required to respond to the exercise.

20. After both the college 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 discrepancies, we will ask for confirmation that the HEIFES05 re-creation reasonably reflects the outturn position for 2005-06.

21. Once HEFCE has asked for this confirmation and it has been received from the college, the HEIFES05 re-creation will supersede HEIFES05 and any consequent grant adjustments will be calculated and made (subject to the appeals process and the availability of our funds).

22. The thresholds we use to select colleges must not be interpreted as being the minimum grant adjustments that we might make. These are set out in the relevant grant adjustments publication, for example 'HEFCE grant adjustments 2005-06' (HEFCE 2005/33).

Risk assessment

23. The necessarily complex process of explaining and resolving differences between data sources places a considerable burden on colleges 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 colleges whose data differences are most likely to have a material effect on their funding allocations.

Enacting grant adjustments – interim adjustments

24. The monitoring process can take many months to complete. In some cases in the past, by the time that confirmation was received that a HEIFES re-creation reasonably reflected 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 colleges 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 colleges in the circumstances set out below.

HEIFES05 and the HEIFES05 re-creation comparison

25. We will reduce monthly grant payments for colleges where:

- a. We have requested a response to the HEIFES05 and HEIFES05 re-creation comparison; and
- b. We have not asked for, or we have asked for and not received, confirmation that the HEIFES05 re-creation reasonably reflects the outturn position for 2005-06 by **31 August 2007**; and
- c. The grant adjustment for 2007-08 that would result from the HEIFES05 re-creation position shown on **31 August 2007** would represent a reduction in the teaching funding allocation for 2007-08.

26. In these circumstances we will make the change to 2007-08 grant by using our own reasonable estimates, as at 31 August 2007, of the final outturn position, reflecting the current HEIFES05 re-creation. The reduction in 2007-08 grant payments would be effected through the college's standard monthly grant payment profile.

Colleges not required to respond

27. We do not gain assurance, through this exercise, over the reliability of the HEIFES05 return or the HEIFES05 re-creation for colleges that have not been required to respond. For such colleges the re-creation does not supersede the HEIFES return and as such we would not expect to adjust the teaching funding allocations based on the re-creation.

Further monitoring

28. We may audit data, systems and processes for colleges that are unable to provide acceptable explanations for the causes of discrepancies between HEIFES05 and the HEIFES05 re-creation.

29. Notwithstanding the selection thresholds, we may also ask for further information from any college in respect of any of the comparisons. Ultimately, this may result in adjustments to grant, where appropriate.

Funding allocations

Widening participation funding allocation

30. We intend to use 2005-06 ILR F04 data to inform the following WP funding allocations for 2007-08:

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

31. Annex C contains details of the methods we are likely to use to inform the 2007-08 widening participation allocations.

32. This exercise gives colleges the opportunity to amend their 2005-06 ILR F04 data that is used to inform the 2007-08 WP allocations. If a college wishes to correct its 2005-06 ILR F04 data used to inform the provisional 2007-08 WP allocations it should submit an action and implementation plan **by 11 May 2007**. Annex F gives guidance for completing and submitting action and implementation plans.

33. We will not accept amendments to 2005-06 ILR F04 data until we are content with and have approved the college's action and implementation plan. Amendments should be signed off by **25 May 2007** to ensure incorporation in the provisional 2007-08 WP allocations. See Annex G for details on how to submit amendments to 2005-06 ILR F04 data.

34. We will endeavour to incorporate any amendments to 2005-06 ILR F04 data signed off after 25 May 2007 in the final 2007-08 WP allocations. However, colleges should be aware that there is limited availability of funds after the provisional WP allocation is announced.

HEFCE web facility for 2005-06 statistics derived from ILR data

35. On 5 July 2006 we made available the HEFCE web facility for 2005-06 statistics derived from ILR data (see HEFCE 2006/22). This facility is designed to assist further education colleges in returning accurate data to the LSC, and to identify discrepancies between forecasting in HEIFES05 and the outturn position for 2005-06. We believe that the web facility has contributed to a year-on-year improvement in ILR data quality for higher education students.

HEFCE-recognised funding consortia

36. For the lead college of a HEFCE-recognised funding consortium the HEIFES05 re-creation tables will comprise data returned on the lead institution's ILR F04 return, as well as the data supplied by each consortium member on their ILR F04 return. Details of specific information for leads of HEFCE-recognised funding consortia are given in Annex D.

Next steps

37. We will write to heads of colleges **by 8 February 2007**, copied to HEIFES contacts, explaining whether a response is required to this exercise. The following sets of outputs will also be available on the HEFCE extranet (<https://extranet.hedata.ac.uk>):

- Output 1 – Comparison of HEIFES05 and the HEIFES05 re-creation
- Output 2 – Derived statistics likely to be used to inform 2007-08 WP allocations.

Guidance

HEFCE contact

38. Each college 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 are provided in the letter sent by Ben Grassby on **8 February 2007**.

Action and implementation plans

39. For colleges required to respond we will produce electronic action and implementation plan forms for completion. Full guidance for completing and submitting an action and implementation plan is given in Annex F. Example action and implementation plans are at Appendix 5 for illustrative purposes only.

Troubleshooting

40. Appendix 2 allows easier identification for colleges of the areas of, causes, and reasons for discrepancies between the HEIFES05 re-creation derived from 2005-06 ILR F04 data and HEIFES05

Supplementary data

41. 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 this file are in Annex E.

FAQs

42. Frequently asked questions (FAQs) for this exercise can be found on the HEFCE web-site under Learning & teaching/Data collection. 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.

SAS code

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

Comments and feedback

44. All colleges 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 ilr_heifes_feedback@hefce.ac.uk.

Annexes and appendices

45. The annexes to this publication describe how we will use 2005-06 ILR F04 data for this exercise. The appendices to this publication contain technical descriptions of the algorithms we will use. The appendices are in a separate download on the HEFCE web-site, www.hefce.ac.uk, with this document under Publications.

Annex A

Summary of changes since 2004-05 statistics derived from ILR data (HEFCE 2006/03)

Purpose

1. This annex describes the changes that have been made since the release of '2004-05 statistics derived from ILR data for the allocation and monitoring of funding in FECs' (HEFCE 2006/03).

Changes to outputs

2. We have added new worksheets to the HEIFES05 re-creation comparison tables. These additional worksheets are provided to assist institutions in identifying the differences, at a cell by cell level, for each worksheet, between the re-creation we have generated and the original return submitted to HEFCE. Institutions are able to select a threshold at which the differences will be flagged up. Details of these new worksheets can be found in Annex B. We have produced these worksheets at the request of institutions.

3. Tables 1, 2 and 3 no longer have Column 5 containing separate new entrant data.

4. An institution that is the lead of a HEFCE-recognised funding consortium will also have Table 6 in the HEIFER05YYYYYY.xls output, which is a subset of Columns 1 and 2 of Tables 1, 2 and 3, disaggregated by consortium member and level.

5. All home and EC postgraduate research students are now treated as non-fundable in the HEIFES05 re-creation.

6. It is now possible for institutions to record foundation degree students in Table 2 as long as they meet appropriate definitions of sandwich year-out.

Information on outputs for leads of HEFCE-recognised funding consortia

7. Annex D provides details of the new outputs that will be available to institution leads of HEFCE-recognised funding consortia with regards to the derived statistics we intend to use to inform the WP allocation.

Changes to algorithms

8. The changes to algorithms listed here are those that have changed since '2004-05 statistics derived from ILR data: guide to HEFCE web facility' (HEFCE 2005/29).

HEFTYPE

9. The algorithm for allocating students to level of study has changed to reflect the change in definition for home and EC postgraduate research students in HEIFES05; such students

should now be returned as non-fundable. The algorithm for HEFTYPE is given in paragraph 16 of Appendix 1.

Price groups

10. The algorithm for assigning price group has been improved. The updated approximation for assigning superclass codes to price groups is given in paragraph 34 of Appendix 1.

SPORT

11. This is a new field that has been added to indicate whether sports science and leisure studies activity is assigned to price group C, as a result of the 2004-05 review. The algorithm for SPORT is given in paragraph 53 of Appendix 1.

EQGRP

12. The algorithm for the entry-qualification risk group that the student was assigned to has been modified. 'Young unknowns' have been separated from the 'young low risk' category and 'mature unknowns' have been separated from the 'mature low risk' category. The algorithm for EQGRP is given in paragraph 28 of Appendix 4.

Annex B

Comparison of HEIFES05 and the HEIFES05 re-creation

Purpose

1. This annex details the process of making a response, where one is required, to the comparison of HEIFES05 and the HEIFES05 re-creation that has been generated from 2005-06 ILR F04 data. It also specifies the thresholds we have used to select the colleges that are required to respond to this part of the exercise based upon discrepancies between their HEIFES05 and the HEIFES05 re-creation. Where a college'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 between the HEIFES05 re-creation and the HEIFES05 return, including those causing the selection of the college. Guidelines for completing and submitting action and implementation plans are provided in Annex F.

HEIFES05 re-creation tables

2. The HEIFES05 re-creation tables and HEIFES05 tables can be accessed from the HEFCE extranet. Annex E describes how to access the Excel workbook (HEIFER05YYYYYY.xls – where YYYYYY denotes the LSC's Unique Provider Identification Number (UPIN)). The workbook contains the following worksheets:

Page number	Worksheet (see tabs on spreadsheet)	Title
1	Coversheet	Title page containing information about the thresholds and the difference in terms of contract range holdback and funding conditional upon delivery of growth between HEIFES05 and the HEIFES05 re-creation
2	Summary	HEIFES05 re-creation comparison summary table
3	PRGCMP	HEIFES05 re-creation price group comparison summary table
4	Excl	HEIFES05 re-creation exclusion table
5	FTS	HEIFES05 re-creation Table 1a: Full-time and sandwich years of programme of study
6	SWOUT	HEIFES05 re-creation Table 2: Sandwich year-out years of programme of study
7	PT	HEIFES05 re-creation Table 3: Part-time years of programme of study
8	FEE	HEIFES05 re-creation Table 4: Home and EC fees
9	HBK	HEIFES05 re-creation grant adjustment report
10	STD	HEIFES05 re-creation standard resource table
11	F05	HEIFES05 re-creation assumed fee income table
12	FTSDIFF	Difference between HEIFES05 Table 1a and HEIFES05 re-creation Table 1a: Full-time and sandwich years of programme of study

Page number	Worksheet (see tabs on spreadsheet)	Title
13	SWOUTDIFF	Difference between HEIFES05 Table 2 and HEIFES re-creation Table 2: Sandwich year-out years of programme of study
14	PTDIFF	Difference between HEIFES05 Table 3 and HEIFES05 re-creation Table 3: Part-time years of programme of study
15	FEEDIFF	Difference between HEIFES05 Table 4 and HEIFES05 re-creation Table 4: Home and EC fees
16	hFTS	HEIFES05 Table 1a: Full-time and sandwich years of programme of study
17	hSWOUT	HEIFES05 Table 2: Sandwich year-out years of programme of study
18	hPT	HEIFES05 Table 3: Part-time years of programme of study
19	hFEE	HEIFES05 Table 4: Home and EC fees
20	hHBK	HEIFES05 grant adjustment report
21	hSTD	HEIFES05 standard resource table
22	hF05	HEIFES05 assumed fee income table
23	Credibility	HEIFES05 credibility sheet

3. All of the information contained in the HEIFES05 re-creation tables can be re-built by categorising and aggregating the data contained in the individualised file which we provide. The individualised file, HEIFER05YYYYYY.ind, contains details, in the form of 2005-06 ILR F04 and derived fields, of how each student was classified in the re-creation. A full description of the data contained in the individualised file is given in Appendix 1.

Comparison

4. We derive a HEIFES05 re-creation, and hence an individualised file, by applying the algorithms detailed in Appendix 1 to 2005-06 ILR F04 data.

5. We compare the HEIFES05 re-creation with HEIFES05. This comparison takes place after the data have been passed as valid by the LSC and provided to HEFCE.

6. We re-calculate a grant adjustment report for the HEIFES05 re-creation by applying the same formulae that were used to calculate the grant adjustment report for HEIFES05.

7. We select colleges to explain discrepancies between their HEIFES05 and the HEIFES05 re-creation using a comparison of the grant adjustment reports derived from HEIFES05 and the HEIFES05 re-creation. Notwithstanding the thresholds described in paragraph 8, we may also ask for further information from any college in respect of this comparison. This may result ultimately in adjustments to grant, where appropriate.

Selection of colleges required to respond

8. We will require a full, timely and detailed response from colleges where any of the following thresholds are exceeded:
- a. The difference between contract range holdback for HEIFES05 and the HEIFES05 re-creation exceeds £500,000.
 - b. The difference in any net grant adjustment relating to funding conditional upon delivery of growth between HEIFES05 and the HEIFES05 re-creation exceeds £500,000.
9. In calculating the grant adjustment reports we have ignored any appeals for mitigation. Therefore, the grant adjustment report derived from HEIFES05 may differ from the final grant adjustment report notified for 2005-06. Before making adjustments to a college'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 colleges, irrespective of individual circumstances that have affected previously announced funding allocations.

Action required

10. We will write to heads of colleges, copied to HEIFES contacts, **by 8 February 2007**, 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 **2 March 2007**, detailing how the college will reconcile the two data sources. Guidance for completing and submitting an action and implementation plan is included in Annex F.

Action and implementation plan

12. Each college required to make a response must provide an action and implementation plan. The plan must contain the information detailed in Annex F before we can approve it and progress with the exercise. Please ensure you have understood the requirements in Annex F.
13. If colleges do not provide satisfactory explanations for all discrepancies between the two returns, or if they do not respond within the given timescales, we are likely to carry out further investigations. This may include visits to colleges by us or our agents, in order to gain assurances concerning one or more of the following:
- the reliability of data returns, systems and procedures
 - 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.

14. In order to gain these assurances we may need to collect or review data as part of these visits. Paragraph 28a of the Model financial memorandum (HEFCE 2006/24) provides for the cost of such investigations to be deducted from colleges' grant.

15. We expect that colleges' explanations for discrepancies between the two data sources will fall into one or more of the following four categories, and as such we would expect this to be reflected in any explanation provided to the exercise:

- errors in 2005-06 ILR F04 data
- errors/estimation discrepancies in HEIFES05
- errors in the Learning Aim Database (LAD)
- problems of fit with the re-creation algorithms.

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

Errors in 2005-06 ILR F04

17. The procedures for the quality assurance of 2005-06 ILR F04 data must take place before submitting the data to the LSC. Any amendments submitted for this exercise must be seen as exceptional, and not a routine part of a college's data quality assurance procedures.

18. Where errors are found in 2005-06 ILR F04 data, we require colleges to submit amendments to HEFCE. Colleges are expected to submit amendments well in advance of the deadline of **20 April 2007** in order to ensure that, if required, any additional amendments can be submitted within this time frame.

19. We may refuse to accept amendments where errors have previously been identified by the LSC during collection.

20. Amendments must follow the specification described in Annex G. It is essential that amendments are in this format in order to establish an audit trail of data changes, and to ensure that amendments are processed in a timely and accurate manner.

21. Where a college submits similar amendments to ILR data in two consecutive years we are likely to carry out a further investigation of the college's HEIFES and ILR data to allow us, and the college, to better understand why the error has recurred and how similar problems can be avoided in future.

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

23. The LSC will not amend its version of the 2005-06 ILR F04 unless colleges re-submit their 2005-06 ILR F04 directly to the LSC. We expect any changes made during this exercise to also be included in the college's December 2005-06 return (2005-06 ILR F05). The LSC provides the following guidance:

‘Where a revised final return generates the same number of funding units as the original audited final return there is no automatic requirement for the external auditors to confirm they are content, although the college may wish to inform their auditors of the changes that have been made.’

‘Where the revised return generates a different number of funding units to the original audited final return then the Learning and Skills Council would expect the external auditors to confirm the revision has been made in accordance with audit guidelines.’

Errors/estimation discrepancies in HEIFES05 data

24. If we find, either through reconciliations with ILR data, or any data audit, that the HEIFES return does not reflect the outturn position for the year, and that this is due to errors/estimation discrepancies in the HEIFES return, the HEIFES05 re-creation will supersede HEIFES05, and any consequent grant adjustments will be made (subject to the appeals process and the availability of our funds). It will not be necessary for colleges to submit corrections to their HEIFES05.

Errors in the Learning Aim Database

25. 2005-06 ILR F04 data have been linked to a copy of the LSC’s Learning Aim Database extracted on 19 January 2007 to obtain information about the learning aim. Where it is identified that information on the Learning Aim Database is incorrect, each college must notify the LSC of the error, copied to its designated contact for the exercise at HEFCE (see paragraph 34), and request that the relevant entry be corrected.

26. Where it is identified that the student is incorrectly linked to a learning aim in the Learning Aim Database then:

- a. If the correct learning aim exists, a link should be made to it.
- b. If the correct learning aim does not exist, a new one must be requested from the LSC.

27. Both cases will require an amendment to be made to the learning aim reference number on 2005-06 ILR F04 data. Where a new learning aim is requested we will require evidence that the request has been made, and details of the new learning aim. Please see Annex G for details on providing amendment files to HEFCE.

28. Where changes to the Learning Aim Database are requested, colleges should notify their designated contact for the exercise when the request is accepted by the LSC.

Problems of fit with the re-creation algorithms

29. We do not expect that problems of fit with the re-creation algorithms will fully explain discrepancies that exceed the thresholds in paragraph 8. However, where a problem of fit

between our algorithms and HEIFES05 definitions contributes to a discrepancy, evidence of where the problem occurs, and its impact, will be required on the action and implementation plan. Appendix 3 details all known problems of fit with the HEIFES05 re-creation.

30. Where problems of fit are identified we require colleges to submit an override file to HEFCE. Colleges are strongly encouraged to submit overrides prior to the deadline of **20 April 2007** in order to ensure that, if required, any additional overrides and amendments can be submitted within this time frame.

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

Further action

32. Amendments to 2005-06 ILR F04 data and overrides made to derived fields will be used to reproduce the HEIFES05 re-creation. Once all overrides have been processed and the revised 2005-06 ILR F04 student data have been incorporated, we will review the HEIFES05 re-creation. If we are not content that all discrepancies between HEIFES05 and the HEIFES05 re-creation have been reasonably explained, we will ask the college to submit a further action and implementation plan to explain any remaining discrepancies between the two data sources.

33. Once we are content that all discrepancies between HEIFES05 and the HEIFES05 re-creation have been reasonably explained, we will ask the college to confirm:

- that the HEIFES05 re-creation reasonably reflects the outturn position for 2005-06
- the accuracy of the amendments to 2005-06 ILR F04 data.

Guidance

HEFCE contact

34. Each college 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. We will provide information to colleges about their contact in a letter that we will send on 8 February 2007.

Action and implementation plan

35. Guidance for completing and submitting action and implementation plans is given in Annex F. An example action and implementation plan can be found in Appendix 5 for illustrative purposes only.

Troubleshooting

36. Appendix 2 will assist with identifying the causes of discrepancies between HEIFES05 and the HEIFES05 re-creation.

Supplementary data

37. 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 these files are given in Annex E.

FAQs

38. FAQs for this exercise can be found on the HEFCE web-site under Learning & teaching/Data collection. 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.

SAS code

39. We use the SAS programming language to generate the HEIFES05 re-creation. The SAS code we use to do this is on the HEFCE web-site under Learning & teaching/Data collection.

Comments

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

Deadline for responses

41. Action and implementation plans must be uploaded to the HEFCE extranet no later than **2 March 2007**.

42. The final deadline for receipt of amendments to 2005-06 ILR F04 data and overrides to derived fields as detailed in the action and implementation plan is **20 April 2007**.

Annex C

Derived statistics likely to inform the 2007-08 widening participation allocations

Purpose

1. This annex describes how we will use 2005-06 ILR F04 data to inform WP allocations for 2007-08. Further details of the algorithms are given in Appendix 4.

Derived statistics outputs

2. Annex E describes how to access the derived statistics likely to be used to inform the 2007-08 WP allocations in an Excel workbook (IHWP05YYYYYY.xls – where YYYYYY denotes the LSC's UPIN).

3. The WP derived statistics can be re-built from the individualised file which we provide (IHWP05YYYYYY.ind – see Annex E for details on how to obtain this file). The file contains details of how each student was classified in the tables in terms of relevant fields returned on the 2005-06 ILR F04 and the derived fields we have produced. We also provide, where relevant, details of the reasons why they were excluded from the tables. A full description of the data in the individualised file is given in Appendix 4.

Indicative funding calculations

4. We have generated an indicative 2007-08 funding calculation for each of the WP allocations. The calculations use 2006-07 allocation rates applied to 2007-08 assumed FTEs. They will not incorporate 2007-08 additional student numbers, transfers or mergers.

5. The indicative allocations for 2007-08 are provided solely to highlight potential 2005-06 ILR F04 data errors. They should not be considered to be 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 2007-08 may be higher or lower than the illustrations given in this output as a result of changes to data by the college or to the data provided by any other college, or to the total sum available for allocation.

Widening access for students from disadvantaged backgrounds

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

7. Using postcode information from 2005-06 ILR F04 data, each student is mapped to a ward. These wards are then ranked in terms of their higher education participation rate (for young full-time undergraduates) or average educational achievement (for mature full-time undergraduates and young and mature part-time undergraduates) split into quintiles. Each student is weighted as follows according to the quintile of their ward.

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

9. 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 weighting of zero, irrespective of their postcode.

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

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

11. The population is defined as:

- for young full-time undergraduates: HEFCE-funded UK-domiciled entrants eligible to be counted in HEIFES Column 4
- for mature full-time undergraduates: HEFCE-funded English- and Welsh-domiciled entrants eligible to be counted in HEIFES Column 4
- for part-time undergraduates: HEFCE-funded English- and Welsh-domiciled entrants eligible to be counted in HEIFES Column 4.

12. Some students are excluded from the population that is defined above:

- those whose postcode is in an enumeration district that includes a school or other such college, 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.

13. These excluded students are counted in the FTEs in the next step (see paragraph 14), and therefore receive an average weight for the purpose of allocating funds.

14. Each average weight derived from paragraph 10 is London weighted (8 per cent for inner London and 5 per cent for outer London) and applied to the appropriate assumed undergraduate (including foundation degree) FTEs for 2007-08.

Improving retention

Full-time students

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

16. Using age and entry qualification information from 2005-06 ILR F04 data, full-time undergraduate entrants are assigned to one of six risk categories (see paragraph 17) which are then weighted as shown below.

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

17. For the full-time 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 is shown in Table 1 below.

Table 1 The assignment of students to risk categories based on entry qualifications

	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

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

[†] Entrants with 'unknown' entry qualifications have been assigned to the 'low risk' category. Colleges should ensure that entry qualifications are fully recorded to ensure students are weighted appropriately in the allocation method for this stream of funding.

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

UK-domiciled full-time undergraduate entrants, weighted according to age and entry qualification

All English-domiciled full-time undergraduate entrants

19. The average weight derived from paragraph 18 is given a London weighting (8 per cent for inner London, 5 per cent for outer London) and applied to the assumed full-time undergraduate (including foundation degree) FTEs for 2007-08.

Part-time students

20. The part-time allocation is distributed pro rata to London-weighted assumed part-time undergraduate (including foundation degree) FTEs for 2007-08.

Widening access for students with disabilities

21. We also allocate funding for widening access of students with disabilities. This indicative allocation has been calculated using 2005-06 ILR F04 data as follows.

22. Firstly, we calculate for each college the proportion of eligible students who were in receipt of the Disabled Students Allowance (DSA). These proportions are then ranked and split into quartiles.

23. Next, each college 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 college falls by more than one quartile since 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

24. Finally each college's share of the allocation is pro rata based on the assumed FTE for 2007-08, weighted according to the quartile in which it falls and a London weighting (8 per cent for inner London, 5 per cent for outer London), although the following minimum allocations apply.

FTEs at FEC	Minimum disability allocation
<50	£500
50 to 249	£1,000
250 to 499	£5,000
500 or more	£10,000

Errors in 2005-06 ILR F04 data

25. 2005-06 ILR F04 data should be quality assured before a college signs off the 2005-06 ILR F04 data as correct. After this point, any amendments accepted to recalculate funding should be seen as exceptional, and not as part of quality assurance procedures.

26. If colleges wish to correct their 2005-06 ILR F04 data used to inform the widening participation allocation they should submit amendments **by 25 May 2007** to Peter McMahon at ilr_heifes_stats@hefce.ac.uk. Colleges should inform us by **11 May 2007**, through the production of an action and implementation plan as specified in Annex F, of any amendments to their 2005-06 ILR F04 data used to inform the widening participation allocation.

27. Amendments should follow the specification described in Annex G. It is essential that amendments are in this format in order to establish an audit trail of data changes, and to ensure that amendments are processed in a timely and accurate manner.

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

29. Amendments to 2005-06 ILR F04 data will be incorporated in future HEFCE statistical publications and analyses.

Annex D

Information for leads of HEFCE-recognised funding consortia

Purpose

1. This annex informs those FECs that are leads of a HEFCE-recognised funding consortium of how we will use their, and their member colleges', data for the monitoring and allocation of funding.
2. Under a HEFCE-recognised funding consortium, the lead college is responsible for co-ordinating responses to any element of the exercise. In particular, we expect the lead college to co-ordinate any response to the comparison of HEIFES05 and the HEIFES05 re-creation where a response is required. We would normally expect there to be one primary contact, from the lead institution, that liaises with HEFCE throughout the re-creation exercise on behalf of all the constituent members of the consortium.
3. Member colleges' 2005-06 ILR F04 data will also be used to inform the 2007-08 WP allocations for the consortium, and the lead may wish to co-ordinate any necessary correction of member colleges' 2005-06 ILR F04 data.

Data collection arrangements for HEFCE-recognised funding consortia

4. Under HEFCE-recognised funding consortia arrangements each student is recognised as a student of the appropriate consortium member, rather than of the lead college. Therefore lead FECs of HEFCE-recognised funding consortia must submit data to the LSC only for students that are registered at their college. Likewise students that are registered at a member college will be returned on that college's 2005-06 ILR F04.
5. All member colleges' data for students funded under the consortium arrangement should have been returned by the lead college on their HEIFES05 return. Therefore, for the lead college of a HEFCE-recognised funding consortium, the HEIFES05 re-creation will incorporate its own 2005-06 ILR F04, along with 2005-06 ILR F04 data for each member college.

Outputs for HEFCE-recognised funding consortia

HEIFES05 and the HEIFES05 re-creation

6. We generate a HEIFES05 re-creation, which is described in Annex B. The information contained in the provisional HEIFES05 re-creation will vary depending on whether the college is a lead or member college.
7. Lead institutions of a HEFCE-recognised funding consortium will be able to access the following files:

- LEAD05YYYYYY.xls – this is an Excel workbook containing the HEIFES05 re-creation tables for the lead college (including the 2005-06 ILR F04 data submitted to the LSC by the lead FEC only)
- HEIFER05YYYYYY.xls – this is an Excel workbook containing the HEIFES05 re-creation tables. This file includes the combined 2005-06 ILR F04 data submitted by both the lead and member colleges to the LSC. This workbook combines the data contained in LEAD05YYYYYY.xls with the 2005-06 ILR data from the member colleges (viewable in the HEIFERC05YYYYYY.xls tables)
- HEIFERC05YYYYYY.xls – these are Excel workbooks containing the HEIFES05 re-creation tables for each of the member colleges
- HEIFER05YYYYYY.ind – this is the individualised file to supplement the HEIFES05 re-creation tables for the lead college (LEAD05YYYYYY.xls). All of the information contained in the HEIFES05 re-creation tables for the lead college can be re-built by categorising and aggregating the data contained in this file. It contains details, in the form of 2005-06 ILR fields and derived fields, of how each student was classified in the re-creation. A full description of the data contained in the individualised file is given in Appendix 1.

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

- HEIFERC05YYYYYY.xls – these are Excel workbooks containing the HEIFES05 re-creation tables for the member college
- HEIFER05YYYYYY.ind – this is the individualised file to supplement the HEIFES05 re-creation tables for the member college (HEIFERC05YYYYYY.xls). All of the information contained in the HEIFES05 re-creation tables for the member college can be re-built by categorising and aggregating the data contained in this file. It contains details, in the form of 2005-06 ILR fields and derived fields, of how each student was classified in the re-creation. A full description of the data contained in the individualised file is given in Appendix 1.

Derived statistics likely to inform the 2007-08 widening participation allocations

9. We also generate indicative 2007-08 widening participation allocations. These are described in Annex C. The information contained in the IHWP05 re-creation will vary depending on whether the college is a lead or member college.

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

- IHWPLEAD05YYYYYY.xls – this is an Excel workbook containing the widening participation tables (WP05) for the lead college only

- IHWP05YYYYYY.xls – this is an Excel workbook containing the widening participation tables that combines the data from the lead college with all its consortium member colleges
- IHWPC05YYYYYY.xls – these are Excel workbooks containing the widening participation tables for each of the member colleges.
- IHWP05YYYYYY.ind – this is the individualised file that supplements the indicative 2007-08 widening participation allocations for the lead college only (IHWPLEAD05YYYYYY.xls). All of the information contained in the WP05 tables can be re-built by categorising and aggregating the data contained in this file. It contains details, in the form of 2005-06 ILR and derived fields, of how each student was classified in the re-creation. A full description of the data contained in the individualised file is given in Appendix 4.

11. Member colleges of a HEFCE-recognised funding consortium will be able to access the following files relating to the WP allocation:

- IHWPC05YYYYYY.xls – this is an Excel workbook containing the widening participation tables for the member college
- IHWP05YYYYYY.ind – this is the individualised file that supplements the indicative 2007-08 widening participation allocations for the member college (IHWPC05YYYYYY.xls). All of the information contained in the WP05 tables for the member college can be re-built by categorising and aggregating the data contained in this file. It contains details, in the form of 2005-06 ILR and derived fields, of how each student was classified in the re-creation. A full description of the data contained in the individualised file is given in Appendix 4.

Access to outputs

12. Lead colleges will be given automatic access to all outputs except the separate individualised files for the HEIFES05 re-creation (HEIFER05YYYYYY.ind) and WP05 tables (IHWP05YYYYYY.ind) for their member colleges. Each member college will receive access to its own separate HEIFES05 re-creation and WP05 individualised files that will contain only 2005-06 ILR data for its college.

13. Where a member college gives us permission to grant the lead college with access to its HEIFES05 re-creation or WP05 re-creation individualised files, we will write to the lead college to describe how it can access the individualised files via the HEFCE extranet.

Worksheets

14. The provisional HEIFES05 re-creation workbook for lead colleges, LEAD05YYYYYY.xls contains the following worksheets:

Table 2 **Excel workbook LEAD05YYYYYY**

Page number	Worksheet (see tabs on spreadsheet)	Title
1	Coversheet	Title page
2	FTS	HEIFES05 re-creation Table 1: Full-time and sandwich years of programme of study
3	SWOUT	HEIFES05 re-creation Table 2: Sandwich year-out years of programme of study
4	PT	HEIFES05 re-creation Table 3: Part-time years of programme of study
5	FEE	HEIFES05 re-creation Table 4: Home and EC fees
6	CONS	HEIFES05 re-creation Table 6: HEFCE-recognised funding consortia 2005-06
7	Excl	HEIFES05 re-creation exclusion table for the member college
8	Credibility	Identifies areas for recognised HE qualification aims on 2005-06 ILR F04 where data is potentially inaccurate

15. The provisional HEIFES05 re-creation workbook for member colleges, HEIFERC05YYYYYY.xls, contains the following worksheets:

Table 3 **Excel workbook HEIFERC05YYYYYY**

Page number	Worksheet (see tabs on spreadsheet)	Description
1	Coversheet	Title page
2	FTS	HEIFES05 re-creation Table 1: Full-time and sandwich years of programme of study for the member college
3	SWOUT	HEIFES05 re-creation Table 2: Sandwich year-out years of programme of study for the member college
4	PT	HEIFES05 re-creation Table 3: Part-time years of programme of study for the member college
5	FEE	HEIFES05 re-creation Table 4: Home and EC fees for the member college
6	Excl	HEIFES05 re-creation exclusion table for the member college
7	Credibility	Identifies areas for recognised HE qualification aims on 2005-06 ILR F04 where data is potentially inaccurate

Annex E

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 2005-06 ILR F04 data or overrides 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 colleges wish to retain intermediate versions of the outputs, they will need to make copies of the files on their own systems. Each time we make an update the date will be printed on the outputs along with a 'run number' that will increment 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 log-in screen. In order to register, you will require an 'organisation key' and a 'group key', details of which have been provided in the letter sent to your head of college by Ben Grassby on 8 February 2007. This information cannot be sent electronically for security reasons so please retain the information sent in that letter. We can re-issue the information by post if necessary.
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 '2005-06 statistics derived from ILR 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 '2005-06 statistics derived from ILR data', sent to your head of college and HEIFES contact by Ben Grassby on 8 February 2007, 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 Athens Single Sign On account (if this is available at your college):
 - 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 – available resources page' where colleges will have access to their output files.
- d. You will be required to join the group for '2005-06 statistics derived from ILR data'. Under 'Applications' click 'Join a group'. Enter the group key supplied in Annex A of the letter entitled '2005-06 statistics derived from ILR data', sent to your head of college and HEIFES contact on 8 February 2007, 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 – available resources page' where colleges 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 'Statistics derived from ILR data' to be directed to the 'HEFCE extranet – Statistics derived from ILR data' page. Here there will be a link to '2005-06 statistics derived from ILR data'. 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). Click on the link to start the download of a zipped archive containing the following output files (where YYYYYY is the provider number ST_UPIN (L01)):

- HEIFER05YYYYYY.ind – this is a comma-separated file containing the derived fields that generate the HEIFES05 re-creation. For leads of HEFCE-recognised funding consortia this file does not include data for the member colleges
- HEIFER05YYYYYY.xls – this is an Excel workbook containing the HEIFES05 re-creation tables. For leads of HEFCE-recognised funding consortia this includes the combined 2005-06 ILR data for the lead institution and 2005-06 ILR data for the member colleges (HEIFERC05YYYYYY.xls for members of consortia)
- IHWP05YYYYYY.ind – this is a comma-separated file containing the derived fields that generate the data that are likely to inform the 2007-08 WP funding allocations. For leads of HEFCE-recognised funding consortia this file does not include data for the member colleges
- IHWP05YYYYYY.xls – this is an Excel workbook containing data likely to inform the 2007-08 WP allocation. For leads of HEFCE-recognised funding consortia this includes the combined 2005-06 ILR data for the lead and 2005-06 ILR data for the member colleges (IHWPC05YYYYYY.xls for members of consortia).

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

- LEAD05YYYYYY.xls – this is an Excel workbook containing the HEIFES05 re-creation tables for the lead institution (includes 2005-06 ILR student data for the lead FEC only)

- HEIFERC05YYYYYY.xls – these are Excel workbooks containing the HEIFES05 re-creation tables for each of the member colleges (YYYYYY denotes the UPIN provider number for the college)
- IHWPLEAD05YYYYYY.xls – this is an Excel workbook containing the widening participation allocation tables for the lead institution
- IHWPC05YYYYYY.xls – these are Excel workbooks containing the widening participation allocation tables for each of the member colleges of a HEFCE-recognised funding consortium.

11. The following additional action plan templates are available from the 'HEFCE extranet – 2005-06 Statistics derived from ILR data' page. To access these outputs follow the instructions in paragraph 9. You will need to click the 'download' link to download the templates.

- APHEIR05YYYYYY.xls – this is an Excel workbook containing the HEIFES05 re-creation action plan template. This workbook is only available where a college has been formally requested to respond to this element of the exercise
- APILR05YYYYYY.xls – this is an Excel workbook containing the general 2005-06 ILR F04 amendments action plan template. This workbook is available for all colleges.

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. Colleges 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 to unauthorised personnel.

Annex F

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. We will only approve action and implementation plans for colleges that are formally required to respond to this exercise 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 an 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 your college to gather this information.

3. We require completed action and implementation plans to be submitted via the HEFCE extranet only. Institutions must not copy and paste into the cells of the plan. If an institution attempts to submit a plan that does not follow the guidance set out in this annex then it is likely that the plan will 'fail' the electronic submission process.

4. Colleges that wish to make amendments to their 2005-06 ILR F04 data (for example, to correct data that are likely to be used to inform the 2007-08 WP allocations) are also required to submit an action plan before we will accept their amendments. Guidance for completing action plans for colleges that wish to make amendments to their 2005-06 ILR F04 data is given in paragraphs 35 to 42.

General requirements of action and implementation plans

5. Action plans for colleges that are required to respond should demonstrate that the college 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 a college 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.

6. Where a college wishes to amend its 2005-06 ILR F04 data we will use the action plan to gain an understanding of the reasons why amendments are being made and to which 2005-06 ILR F04 fields, so that the impact of incorporation can be checked. In addition, the action plan provides us with dates when we can expect the college to submit the data. 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

7. Colleges selected to respond to the comparison of HEIFES05 and the HEIFES05 re-creation are required to complete the template APHEIR05YYYYYY.xls. This is an Excel workbook containing the HEIFES05 re-creation action plan template. This workbook is only available where a college has been formally requested to respond to this element of the exercise. YYYYYY is the LSC's UPIN for the college.

8. Colleges that wish to make amendments to their 2005-06 ILR F04 data (for example, to correct data that are likely to be used to inform the 2007-08 WP allocations) are required to complete the template APILR05YYYYYY.xls. This is an Excel workbook containing the general 2005-06 ILR F04 amendments action plan template. This workbook is available to all colleges regardless of whether they have been selected to respond to any part of this exercise. YYYYYY is the LSC's UPIN for the college.

9. Details on how to access action and implementation plan templates for your college are in paragraph 9 of Annex E.

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

Detailed requirements for action and implementation plans

11. Below are detailed instructions about the information that we require in each column of the action and implementation plan(s). Action and implementation plans should be downloaded and submitted via the HEFCE extranet only. Institutions must not create their own templates of action plans or adjust the formatting of the templates we provide. Example action and implementation plans are given in Appendix 5 for illustrative purposes only.

HEIFES05 re-creation action and implementation plan template

12. The information that we require in the HEIFES05 re-creation action plan template, APHEIR05YYYYYY.xls is outlined below.

Column 1

13. 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

14. 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'.

15. The troubleshooting guide contained in Appendix 2 for the HEIFES05 re-creation will allow colleges to identify specific areas of difference between the re-creation and the original return. We expect colleges to exercise their own judgement to decide when small differences between the two data sources do not warrant inclusion within the action plan. However, colleges need to be aware that small differences may accumulate and should their combined total become large, this will reduce our confidence in the college's ability to identify areas of discrepancy between the two data sources.

Column 3

16. This column should contain the cause of the difference between the two data sources. The cause can be attributed to one of the following:

- errors in 2005-06 ILR F04 data
- errors/estimation discrepancies in HEIFES05
- errors in the Learning Aim Database (LAD)
- problems of fit with the re-creation algorithms.

Paragraphs 15 to 31 of Annex B give further descriptions of these broad cause types for the HEIFES05 re-creation.

17. The only information that should be entered into Column 3 is the words 'ILR' (for errors in 2005-06 ILR F04 data), 'HEIFES' (for errors/estimation discrepancies in HEIFES05), 'LAD' (for errors in the LAD) or 'HEFCE' (for problems of fit with the re-creation algorithms).

Column 4

18. This column should contain a detailed description of the cause of the difference. The description should be sufficient to allow us to gain an understanding of the reasons why this discrepancy occurred.

19. Where Column 3 is returned as 'ILR', 'HEIFES' or 'LAD' we require a brief explanation for the cause of the error. For example, 'the script in our student record system for generating H17 on the 2005-06 ILR F04 return incorrectly assigned all part-time foundation degree students with a load of 100.0'.

20. Where Column 3 is returned as 'HEFCE', we require a brief explanation for 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 8, Annex H of HEIFES05 for more details.

Column 5

21. If the cause of difference identified in Column 3 is 'ILR', either 'CHANGE', 'ADD' or 'DELETE' should be selected to highlight the type of amendments that are being made to the ILR F04 record.

Column 6

22. If the cause of difference identified in Column 3 is 'ILR', either 'Learner data set', 'Learning aim data set' or 'HE data set' should be included depending on which is being amended.

Column 7

23. Where Column 5 is returned as 'CHANGE' and Column 3 is 'ILR', 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 8

24. If the cause of difference identified in Column 3 is 'ILR', the number of records that are being amended should be included, for example, 33.

Column 9

25. If the cause of difference identified in Column 3 is 'ILR', the date by which amended data will be submitted to HEFCE must be returned in Column 8. Guidance on how to submit amendments to ILR data is at Annex G. Amended data must be submitted no later than **20 April 2007**.

Column 10

26. If the cause of difference identified in Column 3 is 'LAD' or 'HEFCE' then a full list of the derived fields that require overrides must be identified by the college and listed, for example 'HEFQAIM'. For further information on which derived fields are affected by problems of fit with re-creation algorithms see Appendix 3 for the HEIFES05 re-creation. For all other causes of difference given in Column 3, this column should remain blank.

Column 11

27. If the cause of difference identified in Column 3 is 'LAD' or 'HEFCE', then the number of records to be overwritten should be included, for example, 30.

Column 12

28. 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 12. Guidance on how to submit overrides is given in Annex H. For all other causes of difference given in Column 3, this column should remain blank. Override files should be submitted no later than **20 April 2007**.

Column 13

29. 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; FTE; and, where appropriate, funds due back, funds to be held back and/or an estimate of the effect on contract range holdback.

30. For the HEIFES05 re-creation, estimates of funds due back and funds to be held back can be made by multiplying the FTE for the area of discrepancy by the rate per FTE (this rate is given in the HBK worksheet of the HEIFES05 re-creation workbook).

31. For the HEIFES05 re-creation, estimates of the effect on contract range holdback, in its simplest form, could be approximated as:

$$\text{FTE} \times ((\text{base price} \times \text{price group weighting}) - \text{regulated fee for the course})$$

32. For example, for a college positioned outside the contract range in the HEIFES05 re-creation, if the area of difference was full-time and sandwich, undergraduates in price group C with £1,175 regulated fee for the course, and the difference between HEIFES05 and the HEIFES05 re-creation is 10 FTEs, the difference in contract range holdback could be approximated by $10 \times ((£3,608 \times 1.3) - 1,175) = £35,154$. You may wish to include other premiums to increase the accuracy of the estimate.

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

Column 14

34. If Column 3 is 'ILR' or 'HEIFES', 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: 'In future years we will implement an internal software check to ensure that these fields are completed if there is Superclass II information in the corresponding fields in the Learning Aim Database'.

Column 15

35. If Column 3 is 'ILR' or 'HEIFES' we require a date by which any future improvements will be implemented.

Colleges that wish to make amendments to their 2005-06 ILR F04 data

36. The information that we require in the action plan template, APILR05YYYYYY.xls, for colleges that wish to make amendments to their 2005-06 ILR F04 data (for example to correct data that are likely to be used to inform the 2007-08 WP allocations), is outlined below.

Column 1

37. 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

38. This column should contain a detailed description of the nature of the amendment to ILR F04 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

39. If the cause of difference identified in Column 3 is 'ILR', either 'CHANGE', 'ADD' or 'DELETE' should be selected to highlight the type of amendments that are being made to the ILR F04.

Column 4

40. Either 'Learner data set', 'Learning aim data set' or 'HE data set' should be included depending on which is being amended.

Column 5

41. Where Column 3 is returned as 'CHANGE', this column should contain a list of the fields that the institution expects to correct, for example 'H11'. If Column 5 is 'ADD' or 'DELETE' then the words 'All fields' should be entered.

Column 6

42. The number of records to be changed should be included, for example, 30.

Column 7

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

Submitting action and implementation plans

44. Click 'HEFCE Resources' under the 'Folders' heading to be directed to the 'HEFCE extranet – HEFCE resources' page. Next, click '2005-06 Statistics derived from ILR data' to be directed to the 'HEFCE extranet – 2005-06 Statistics derived from ILR 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 of Annex E for further details). Click the appropriate link to the action plan, for example, the 'APILR05 data collection' link. Next, click the 'Upload' button, browse to the location where the action and implementation plan is saved and click 'Upload'. A message will appear informing you whether the action plan has uploaded successfully or has failed validation. Please note that the 'results' link is not accessible.

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

Annex G

Submitting amendments to 2005-06 ILR F04 data

Purpose

1. This annex details the data structure and format for amendments to 2005-06 ILR F04 data. Colleges must supply 2005-06 ILR F04 amendment files using the file structure and format detailed within this annex.
2. There are three types of amendment file, which perform the following actions:
 - change file – corrects field values for records on the 2005-06 ILR F04 return
 - addition file – adds records omitted from the 2005-06 ILR F04 return
 - deletion file – deletes records incorrectly included on the 2005-06 ILR F04 return.
3. Examples of these three types of amendment file can be found at the end of this annex (see Figures 1 to 3), as well as a summary of the information we require for each type of amendment file (see Table 4).
4. These specifications are necessary to ensure we can process amendments to 2005-06 ILR F04 data in a timely and accurate manner. We will require colleges to re-submit amendment files that differ, either in structure or format, to the specifications detailed in this annex.

Format

5. Amendments to 2005-06 ILR F04 data must be sent as a comma-separated file via the HEFCE extranet, or as an e-mail attachment sent to ilr_heifes_stats@hefce.ac.uk. To submit via the extranet go to the 'HEFCE resources' page, click on '2005-06 statistics derived from ILR data', then on 'ILRAM05 data collection'. From here click on the 'Upload' button and then, on the subsequent page, click on the 'Browse' button to find the file you wish to submit. Once you have selected this file and the pathname has appeared in the entry field, click on 'Upload File' to complete the upload. Details of how to log on to the extranet are given in Annex E.

Structure

6. The structure of an amendment file depends on the type of amendments being submitted. Details of the structure of change, addition and deletion files are given in paragraphs 7-11, 12-20 and 21-24 respectively. Each amendment file must contain records for only one 2005-06 ILR F04 data set (learner, learning aim or HE).

Change file

7. This amendment type allows values of fields to be corrected at the individual record level in our copy of 2005-06 ILR F04 data. Typically change files correct a small number of fields which contain incorrect values.

8. Change files must be given a file name in the form chgYYYYYYDNN.amd, where:

- YYYYYY is the provider number ST_UPIN (L01) for your college
- D is the identifier of the 2005-06 ILR F04 dataset being changed
- NN is a sequential number starting at 01. For instance, a first set of amendments in a change file must be submitted in the form chgYYYYYYD01.amd, and a second set of different amendments must be submitted in the form chgYYYYYYD02.amd.

D must take one of the following values:

- L for the learner data set
- A for the learning aim data set
- H for the HE data set.

9. Each record must contain complete data for all fields included in the amendment file, even if a particular field remains unchanged in some cases.

10. Only 2005-06 ILR F04 fields can be included in amendment files. Where changes to derived fields are required, the underlying 2005-06 ILR F04 fields must be changed. For example, if HEFLEVEL is incorrect then H15 would need to be changed.

11. The file must contain a header in the following form:

line 1 – amendment reference in the form chgYYYYYYDNN as explained in paragraph 8; this will be the same as the filename with the ‘.amd’ file extension removed.

line 2 – creation date of the amendment file in the form ddmmyyyy. For example 05032007 for a file created on 5 March 2007.

line 3 – brief description of the correction, and the reference number of the area of difference on the action plan that it rectifies. For example ‘Changes to 2005-06 ILR F04 fields H14 and H15 – reference number 1’.

line 4 – this line must contain the word CHANGE.

line 5 – the 2005-06 ILR F04 fields used to uniquely identify records on the amendment file, comma-separated. For example H01, H03, H09.

line 6 – the 2005-06 ILR F04 fields being changed, comma-separated. For example H14, H15.

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

line 8 – the 2005-06 ILR F04 field used to calculate the file check sum (see paragraph 31 for an explanation of the file check sum).

line 9 – file check sum.

lines 10 and 11 – these lines should contain any notes you wish to include.

line 12 – 2005-06 ILR F04 fields included in the amendment file. These fields must appear in the same order as each row of the data and must be comma-separated, for example H01, H03, H09, H14, H15. These will include the unique fields (line 5), fields being changed (line 6), and the file check sum field (line 8).

line 13 – amendment data must begin on this line.

Addition file

12. This amendment type allows full records that were omitted from the 2005-06 ILR F04 return to be added to our copy of the data. Each addition file must only contain additional records for one data set, that is, learner, learning aim or HE. In this case all 2005-06 ILR F04 fields for that data set must be included in the addition file even if they are blank. These data must be validated by 2005-06 ILR F04 validation rules.

13. Addition files must be given a file name in the form addYYYYYYDTNN.amd, where:

- YYYYYY is the provider number ST_UPIN (L01)
- D is the identifier of the 2005-06 ILR F04 dataset being added to
- T is the type of addition
- NN is a sequential number starting at 01. For instance, a first set of amendments in an addition file must be submitted in the form addYYYYYYDT01.amd, and a second set of different amendments must be submitted in the form addYYYYYYDT02.amd.

D must take one of the following values:

- L for the learner data set
- A for the learning aim data set
- H for the HE data set.

T must take one of the following values:

- 3 for adding additional learner records along with learning aims and HE data
- 2 for adding learning aims and HE data to existing learner records
- 1 for adding HE data to existing learning aim records.

Adding student records

14. If the student was entirely missed from the 2005-06 ILR F04 return, we would expect three addition files containing learner, learning aim and HE data. The sequential number NN must be the same for all three files.

Example 1

15. If four students are to be added, three with one HE learning aim, and one with two HE learning aims, we would expect three files to be submitted as follows:

- addYYYYYYL301.amd containing the data for the 2005-06 ILR F04 learner data set for all four students
- addYYYYYYA301.amd containing all data for the learning aim data set for the five learning aims
- addYYYYYYH301.amd containing all data for the HE data set for the five learning aims.

Adding learning aims to existing student records

16. If a learning aim for a learner was entirely missed from the 2005-06 ILR F04, we would expect two addition files containing learning aim and HE data. The sequential number NN must be the same for both files.

Example 2

17. If the college in example 1 also wanted to add three learning aims for existing learners, two of which are HE, we would expect two files to be submitted as follows:

- addYYYYYYA202.amd containing all data for the learning aim data set for the three learning aims
- addYYYYYYH202.amd containing all data for the HE data set for the two learning aims which are HE.

Adding HE data to existing qualification aim records

18. If HE data for existing learning aims were entirely missed from the 2005-06 ILR F04, we would expect a single file containing HE data.

Example 3

19. If the college in example 2 wanted to add HE data to five existing learning aims, we would expect one file to be submitted as follows:

- addYYYYYYH103.amd containing all data for the HE data set for the five HE learning aims.

20. All addition files must contain a header in the following form:

line 1 – amendment reference in the form addYYYYYYDTNN as explained in paragraph 13; this will be the same as the filename with the '.amd' file extension removed.

line 2 – creation date of the amendment file in the form ddmmyyyy. For example 05032007 for a file created on 5 March 2007.

line 3 – brief description of the additional records, and the reference number of the area of difference on the action plan that it rectifies. For example 'Learner data set data for HNCs omitted from original 2005-06 ILR F04 return – reference number 2 on the action plan'.

line 4 – this line must contain the word ADD.

line 5 – this line must be left blank.

line 6 – this line must be left blank.

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

line 8 – the 2005-06 ILR F04 field used to calculate the file check sum (see paragraph 31 for an explanation of the file check sum).

line 9 – file check sum.

lines 10 and 11 – these lines should contain any notes you wish to include.

line 12 – a list of all fields in the relevant 2005-06 ILR F04 data set. These fields must appear in the same order as each row of the data and must be comma-separated.

line 13 – additional records must begin on this line.

Deletion file

21. This amendment type allows records incorrectly included on 2005-06 ILR F04 to be removed from our copy of the data.

22. Deletion files must be given a file name in the form delYYYYYYDNN.amd.

Where:

- YYYYYY is the provider number (L01)
- D is the identifier of the 2005-06 ILR F04 data set being deleted from
- NN is a sequential number starting at 01. For instance, a first set of amendments in a deletion file must be submitted in the form delYYYYYYD01.amd, and a second set of different amendments must be submitted in the form delYYYYYYD02.amd.

D must take one of the following values:

- L for the learner data set
- A for the learning aim data set
- H for the HE data set.

23. In the case of deletions only one file needs to be returned. An HE data set deletion file will delete only HE data. A learning aim data set deletion file will delete learning aims and any associated HE data. A learner data set deletion file will delete learner data, the associated learning aims data and any associated HE data.

24. All deletion files must contain a header in the following form:

line 1 – amendment reference in the form delYYYYYYDNN as explained in paragraph 22; this will be the same as the filename with the '.amd' file extension removed.

line 2 – creation date of the amendment file in the form ddmmyyyy. For example 05032007 for a file created on 5 March 2007.

line 3 – brief description of the deletion, and the reference number of the area of difference on the action plan that it rectifies. For example 'Learning aim data set data for HNCs incorrectly included in 2005-06 ILR F04 – reference number 3'.

line 4 – this line must contain the word DELETE.

line 5 – 2005-06 ILR F04 fields that uniquely identify records on the amendment file, comma-separated. For example A01, A03, A05, A48.

line 6 – this line must be left blank.

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

line 8 – the 2005-06 ILR F04 field used to calculate the file check sum (see paragraph 31 for an explanation of the file check sum).

line 9 – file check sum.

lines 10 and 11 – these lines should contain any notes you wish to include.

line 12 – 2005-06 ILR F04 fields included in the amendment file. These fields must appear in the same order as each row of the data and must be comma-separated. These will include the unique fields (line 5) and the file check sum field (line 8); for example A01, A03, A04, A05, A48, A11 (for file check sum).

line 13 – the data must begin on this line.

Uniquely identifying records

25. To enable us to link change or deletion files to our master 2005-06 ILR F04 data sets, we must be able to identify each record on the amendment file in such a way that it uniquely identifies the record on the 2005-06 ILR F04 return. The field, or combination of fields, enabling us to achieve this must be listed, comma-separated, in line 5 of the amendment file.

26. We recommend colleges use the following four fields to uniquely identify 2005-06 ILR F04 learner data set records:

- L01
- L02
- L03
- L42a, L42b

27. We recommend colleges use the following four fields to uniquely identify 2005-06 ILR F04 learning aim data set records:

- A01
- A03
- A05
- A48a, A48b

28. We recommend colleges use the following three fields to uniquely identify 2005-06 ILR F04 HE data set records:

- H01
- H03
- H09

Validation

29. We will use the LSC's validation software to ensure that all amendments are valid and do not cause validation failures elsewhere in our master data sets. We will ask colleges to re-submit amendments if validation failure occurs.

30. Saving amendment files in Microsoft Excel may result in the loss of leading zeros and the corruption of very large values. We recommend that amendment files are viewed and saved using a text editor, for example Notepad.

Check sums

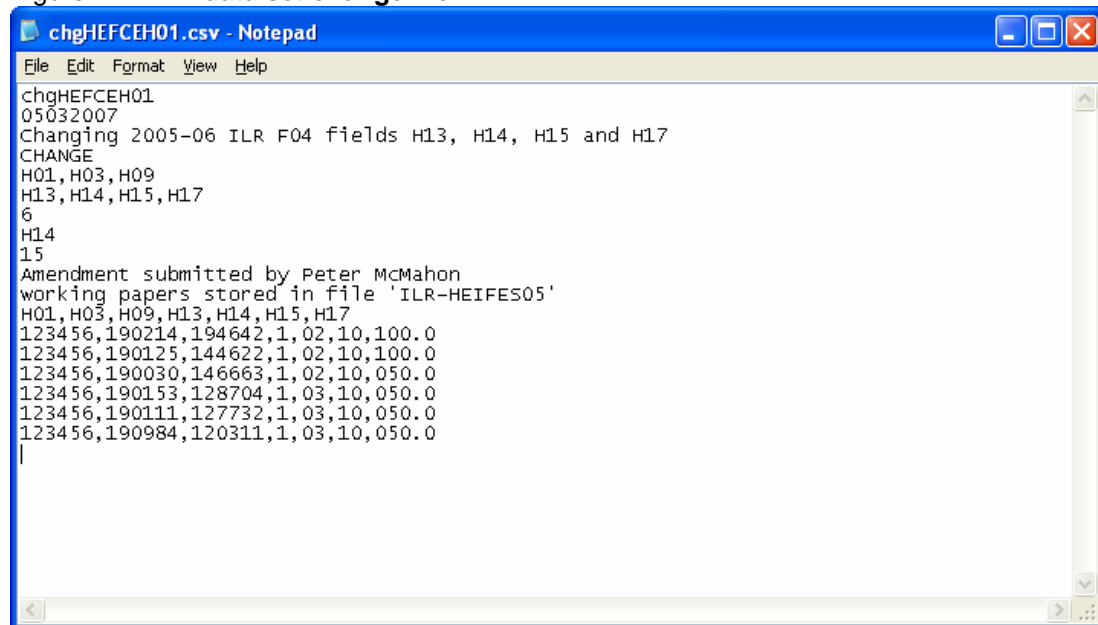
31. To ensure amendment files have not been corrupted during transit, we will check that the sum of values in a field is equal to the same calculation made by the college before submission. The field used must be returned in line 8. The sum of values in this field must be returned in line 9. If an amendment file does not contain any numeric fields suitable for calculating a check sum, an additional field from the appropriate 2005-06 ILR F04 data set must be included solely for that purpose, for example A11. Numeric fields that contain values greater than 20,000 (approximately) are unsuitable for calculating the check sum.

Outcome

32. When we receive a valid amendment in the structure and format detailed in this annex, we will aim to provide a revised re-creation within five working days. Colleges will be notified by e-mail whether a further response is required, and when the revised re-creation tables and individualised files are available from the HEFCE extranet.

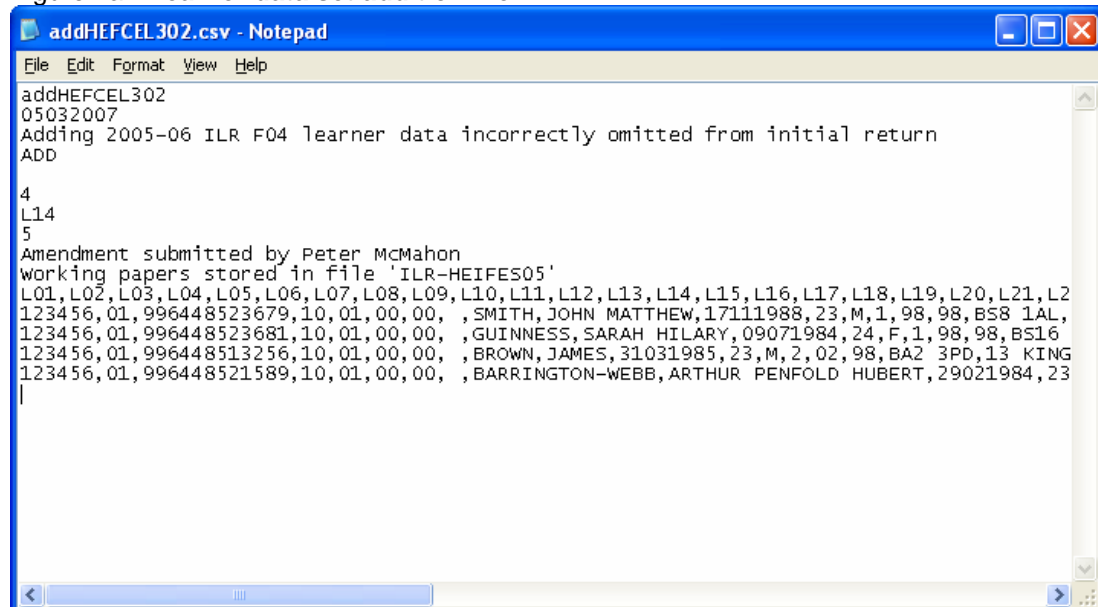
Examples of amendment files

Figure 1 An HE data set change file



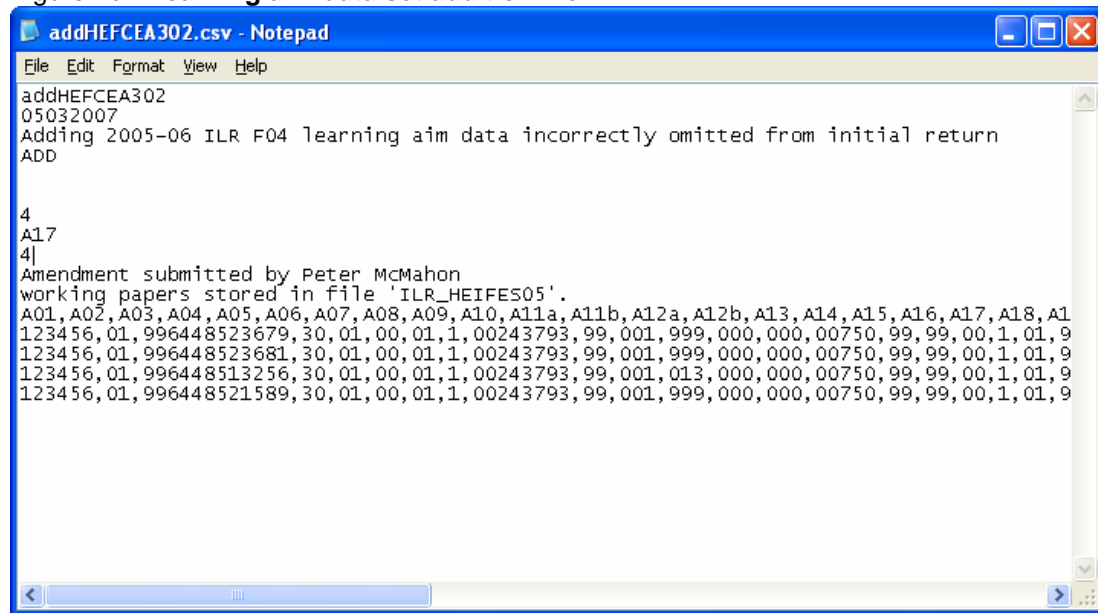
```
chgHEFCEH01
05032007
Changing 2005-06 ILR F04 fields H13, H14, H15 and H17
CHANGE
H01,H03,H09
H13,H14,H15,H17
6
H14
15
Amendment submitted by Peter McMahon
working papers stored in file 'ILR-HEIFES05'
H01,H03,H09,H13,H14,H15,H17
123456,190214,194642,1,02,10,100.0
123456,190125,144622,1,02,10,100.0
123456,190030,146663,1,02,10,050.0
123456,190153,128704,1,03,10,050.0
123456,190111,127732,1,03,10,050.0
123456,190984,120311,1,03,10,050.0
|
```

Figure 2a A learner data set addition file



```
addHEFCEL302
05032007
Adding 2005-06 ILR F04 learner data incorrectly omitted from initial return
ADD
4
L14
5
Amendment submitted by Peter McMahon
working papers stored in file 'ILR-HEIFES05'
L01,L02,L03,L04,L05,L06,L07,L08,L09,L10,L11,L12,L13,L14,L15,L16,L17,L18,L19,L20,L21,L2
123456,01,996448523679,10,01,00,00, ,SMITH,JOHN MATTHEW,17111988,23,M,1,98,98,BS8 1AL,
123456,01,996448523681,10,01,00,00, ,GUINNESS,SARAH HILARY,09071984,24,F,1,98,98,BS16
123456,01,996448513256,10,01,00,00, ,BROWN,JAMES,31031985,23,M,2,02,98,BA2 3PD,13 KING
123456,01,996448521589,10,01,00,00, ,BARRINGTON-WEBB,ARTHUR PENFOLD HUBERT,29021984,23
|
```

Figure 2b A learning aim data set addition file



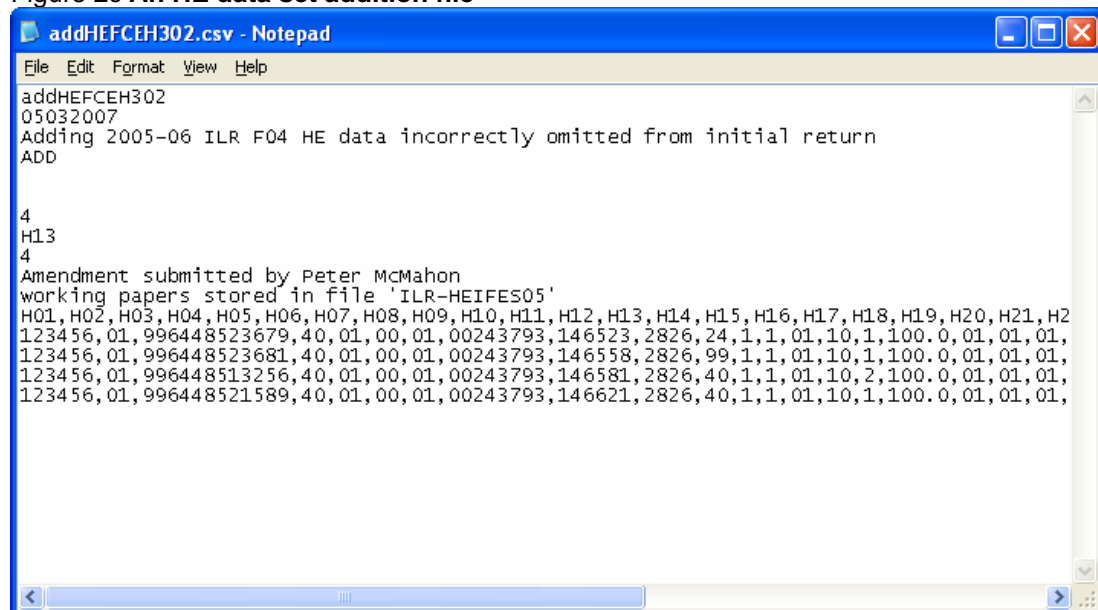
```

addHEFCEA302
05032007
Adding 2005-06 ILR F04 learning aim data incorrectly omitted from initial return
ADD

4
A17
4|
Amendment submitted by Peter McMahon
working papers stored in file 'ILR-HEIFES05'.
A01,A02,A03,A04,A05,A06,A07,A08,A09,A10,A11a,A11b,A12a,A12b,A13,A14,A15,A16,A17,A18,A1
123456,01,996448523679,30,01,00,01,1,00243793,99,001,999,000,000,00750,99,99,00,1,01,9
123456,01,996448523681,30,01,00,01,1,00243793,99,001,999,000,000,00750,99,99,00,1,01,9
123456,01,996448513256,30,01,00,01,1,00243793,99,001,013,000,000,00750,99,99,00,1,01,9
123456,01,996448521589,30,01,00,01,1,00243793,99,001,999,000,000,00750,99,99,00,1,01,9

```

Figure 2c An HE data set addition file



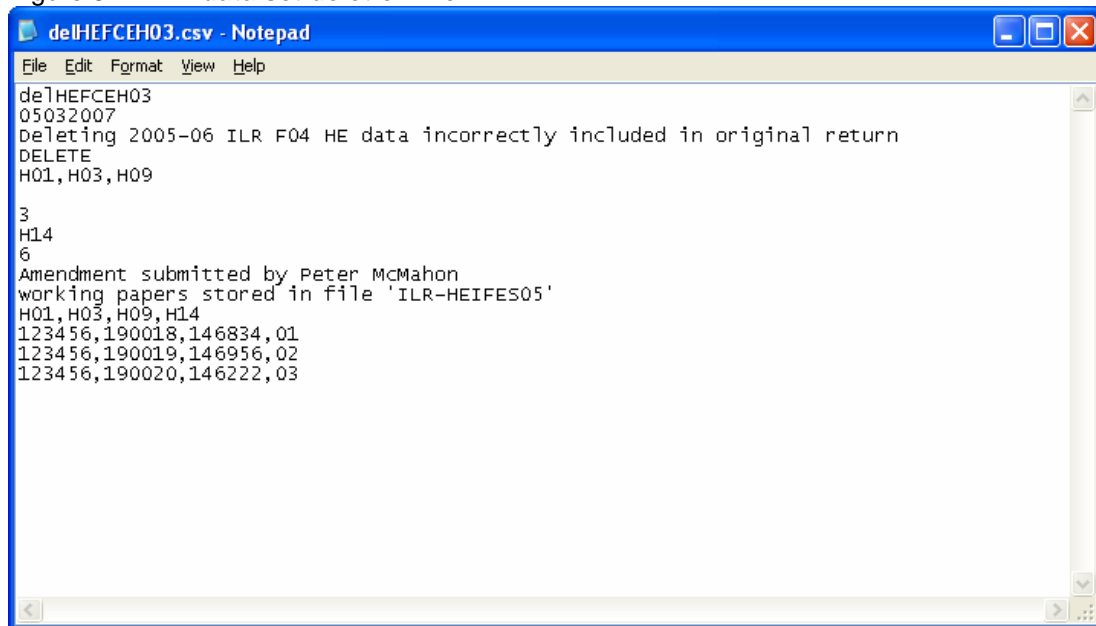
```

addHEFCEH302
05032007
Adding 2005-06 ILR F04 HE data incorrectly omitted from initial return
ADD

4
H13
4
Amendment submitted by Peter McMahon
working papers stored in file 'ILR-HEIFES05'
H01,H02,H03,H04,H05,H06,H07,H08,H09,H10,H11,H12,H13,H14,H15,H16,H17,H18,H19,H20,H21,H2
123456,01,996448523679,40,01,00,01,00243793,146523,2826,24,1,1,01,10,1,100.0,01,01,01,
123456,01,996448523681,40,01,00,01,00243793,146558,2826,99,1,1,01,10,1,100.0,01,01,01,
123456,01,996448513256,40,01,00,01,00243793,146581,2826,40,1,1,01,10,2,100.0,01,01,01,
123456,01,996448521589,40,01,00,01,00243793,146621,2826,40,1,1,01,10,1,100.0,01,01,01,

```

Figure 3 An HE data set deletion file



```
delHEFCEH03
05032007
Deleting 2005-06 ILR F04 HE data incorrectly included in original return
DELETE
H01,H03,H09

3
H14
6
Amendment submitted by Peter McMahon
working papers stored in file 'ILR-HEIFES05'
H01,H03,H09,H14
123456,190018,146834,01
123456,190019,146956,02
123456,190020,146222,03
```


Table 4 **Summary of header information for amendment files**

Line	Change	Addition	Deletion
1	Amendment reference. For example: 'chgYYYYYYA01'	Amendment reference. For example: 'addYYYYYYH101'	Amendment reference. For example: 'delYYYYYYL01'
2	File creation date. For example 05032007	File creation date. For example 05032007	File creation date. For example 05032007
3	Brief description. For example 'Changing 2005-06 ILR F04 learning aim data set fields A11 and A27'	Brief description. For example 'Adding 2005-06 ILR F04 HE data set records incorrectly omitted from original return'	Brief description. For example 'Deleting 2005-06 ILR F04 student data set records incorrectly included in original return'
4	CHANGE	ADD	DELETE
5	Unique identifying fields. For example, A01, A03, A05, A48	This line must be left blank	Unique identifying fields. For example, L01, L02, L03, L42
6	Fields to be corrected. For example, A11, A27	This line must be left blank	This line must be left blank
7	Number of records in the amendment file, excluding header	Number of records in the amendment file, excluding header	Number of records in the amendment file, excluding header
8	2005-06 ILR F04 field for check sum. Must be numeric	2005-06 ILR F04 field for check sum. Must be numeric	2005-06 ILR F04 field for check sum. Must be numeric
9	File check sum value	File check sum value	File check sum value
10	Any notes you wish to include	Any notes you wish to include	Any notes you wish to include
11	Any notes you wish to include	Any notes you wish to include	Any notes you wish to include
12	List of 2005-06 ILR F04 fields in the same order as the data	List of 2005-06 ILR F04 fields in the same order as the data	List of 2005-06 ILR F04 fields in the same order as the data
13	The data must begin on this line	The data must begin on this line	The data must begin on this line

Annex H

Submitting overrides to derived fields

Background

1. An override file would only be applied where the data submitted to the 2005-06 ILR F04 return are correct but there is a problem of fit with the HEFCE algorithms. Therefore changes need to be made to derived fields, which are produced from the algorithms, that generate the re-creations rather than to the underlying 2005-06 ILR F04 data.
2. All known problems of fit with the HEIFES05 re-creation algorithms are described in Appendix 3.
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. Therefore we may seek further information where necessary.

Purpose

4. This annex details the data structure and format for overrides to derived fields. Colleges must supply override files using the file structure and format detailed in this annex.
5. Override files should contain the data structure and format which is described in paragraphs 8 to 11, with slight modifications for overrides provided in the special case of proportion of countable year in each price group (PRGB, PRGC, PRGD, PRGMEDIA, PRGITT, PRGINSET).
6. An example of a typical override file, and an example of a proportion of countable year in each price group override file, can be found at the end of this annex (see Figures 4 and 5).
7. These specifications are necessary to ensure we can process overrides to derived fields in a timely and accurate manner. We will require colleges to re-submit override files that differ, either in structure or format, to the specifications detailed in this annex.

Format and naming

8. Overrides to derived fields must be sent as a comma-separated file via the HEFCE extranet, or as an e-mail attachment to ilr_heifes_stats@hefce.ac.uk. To submit via the extranet go to the 'HEFCE resources' page, click on '2005-06 statistics derived from ILR data', then on 'ILRAM05 data collection'. From here click on the 'Upload' button and then, on the subsequent page, click on the 'Browse' button to find the file you wish to submit. Once you have selected this file and the path name has appeared in the entry field, click on 'Upload File' to complete the upload. Details of how to log on to the extranet are given in Annex E. Override files must be given a file name in the form `ovrYYYYYYn.amd`, where:

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

For example, the first override file submitted would be called ovrYYYYYY1.amd, and the second would be called ovrYYYYYY2.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 Appendix 3.

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 ovrYYYYYYn where YYYYYY is the provider number ST_UPIN(L01) 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 01032007 for a file created on 1 March 2007.

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 HEFFEELV - 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, the last academic year that it applies to should be entered. For example 'OVERRIDE, NORMAL, TEMPORARY, 2006' indicates that the override will be applied in academic year 2005-06 but not in 2006-07 onwards.

line 5 – the 2005-06 ILR F04 fields used to identify records on the override file, comma-separated. For example A01, A09 could be used to identify records on a course level; or L01, L02, L03 can be used to identify records on a student level.

line 6 – the derived fields being changed, comma-separated. For example HEFFEELV, HEFQAIM.

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

line 8 – the 2005-06 ILR F04/derived field used to calculate the file check sum (see paragraph 15 for an explanation of the file check sum).

line 9 – file check sum.

lines 10 and 11 – these lines can contain any notes the college wishes to include.

line 12 – 2005-06 ILR F04/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 A09, HEFFEELV on one line.

line 13 – override data must begin on this line.

Special case

Proportion of countable year in each price group

12. If overrides are being applied to price groups, we require information about all of the price group fields PRGB, PRGC, PRGD, PRGMEDIA, 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 5.

Identifying records

13. To enable us to link override files to our derived ILR data set, we must be able to identify the records on the 2005-06 ILR F04 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

14. 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 therefore recommend that override files are viewed and saved using a text editor, for example Notepad.

Check sum

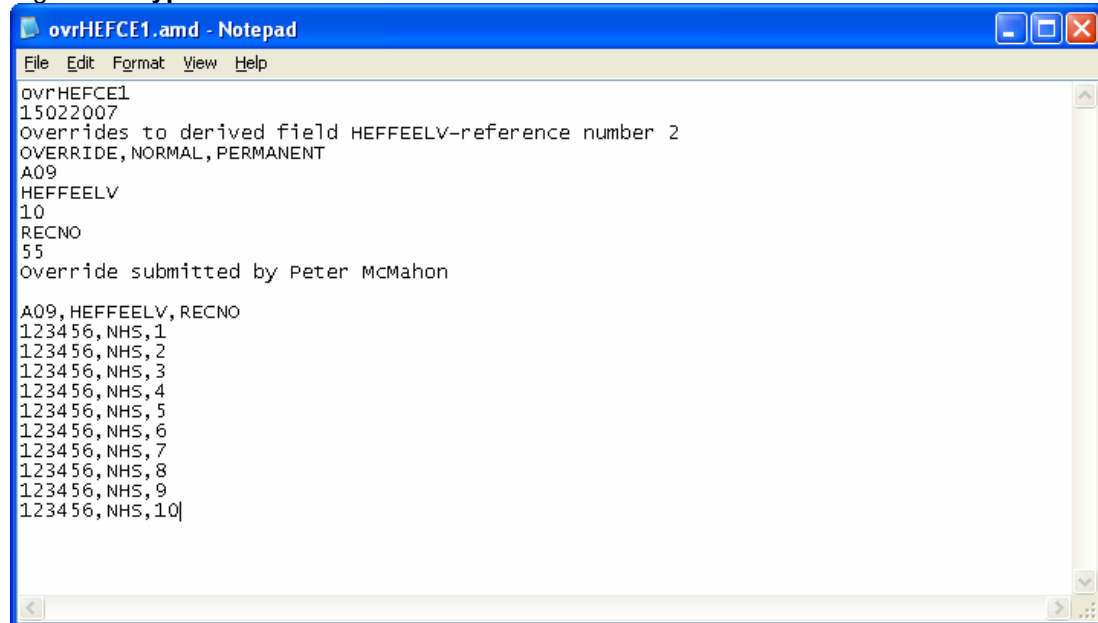
15. To ensure override files have not been corrupted during transit, we will check that the sum of values in this field match the value returned on line 9. If an override file does not contain any numeric fields suitable for calculating a check sum, an additional field from the appropriate 2005-06 ILR F04 record must be included solely for this purpose, for example A11. 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.

Outcome

16. 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. Colleges 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

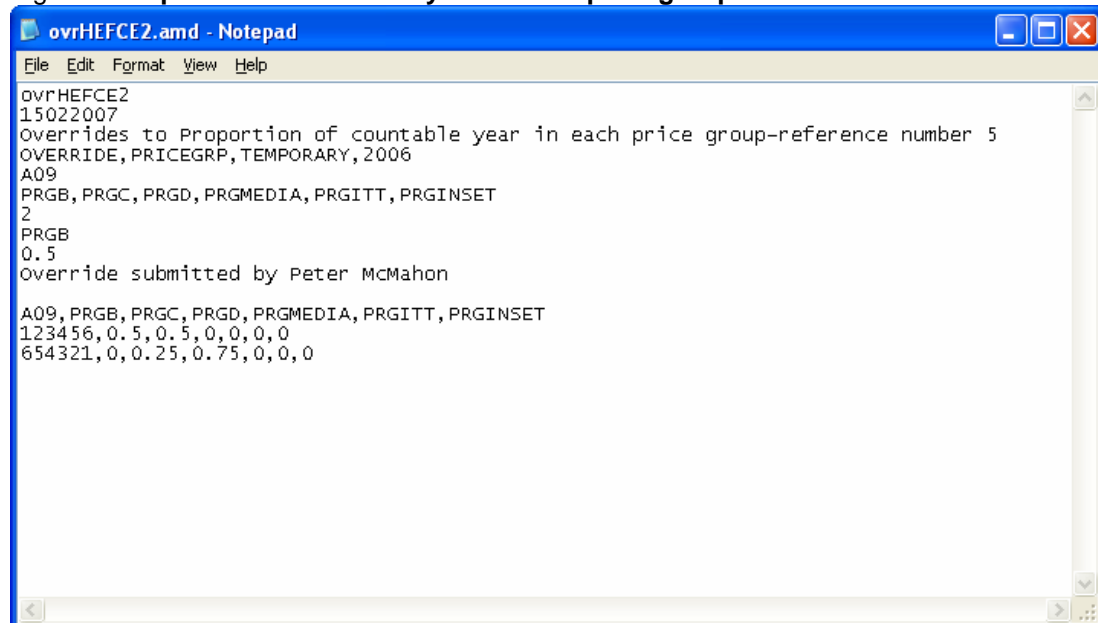
Figure 4 A typical override file



```
ovrHEFCE1
15022007
Overrides to derived field HEFFEELV-reference number 2
OVERRIDE,NORMAL,PERMANENT
A09
HEFFEELV
10
RECNO
55
Override submitted by Peter McMahon

A09,HEFFEELV,RECNO
123456,NHS,1
123456,NHS,2
123456,NHS,3
123456,NHS,4
123456,NHS,5
123456,NHS,6
123456,NHS,7
123456,NHS,8
123456,NHS,9
123456,NHS,10
```

Figure 5 Proportion of countable year in each price group file



```
ovrHEFCE2
15022007
Overrides to Proportion of countable year in each price group-reference number 5
OVERRIDE,PRICEGRP,TEMPORARY,2006
A09
PRGB,PRGC,PRGD,PRGMEDIA,PRGITT,PRGINSET
2
PRGB
0.5
Override submitted by Peter McMahon

A09,PRGB,PRGC,PRGD,PRGMEDIA,PRGITT,PRGINSET
123456,0.5,0.5,0,0,0,0
654321,0,0.25,0.75,0,0,0
```

Annex I

List of abbreviations

2005-06 ILR F04	LSC's 2005-06 July Individualised Learner Record
2005-06 ILR F05	LSC's 2005-06 December Individualised Learner Record
FAQ	Frequently asked question
FE	Further education
FEC	Further education college
FTE	Full-time equivalent
FTS	Full-time and sandwich
HE	Higher education
HEFCE	Higher Education Funding Council For England
HEIFES	Higher Education in Further Education: Students Survey
ILR	LSC's July Individualised Learner Record
ITT	Initial teacher training
LAD	Learning Aim Database
LSC	Learning and Skills Council
NVQ	National Vocational Qualification
QTS	Qualified teacher status
UPIN	LSC's Unique Provider Identification Number
WP	Widening participation