

December 2008/08
Core funding/operations
Request for information
Response may be required

This document describes the process we will use when reconciling 2006-07 data returns made to the Learning and Skills Council with other returns made to HEFCE. We will write separately 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 2008-09 and produce summaries for the Unistats web-site.

2006-07 statistics derived from ILR data for the monitoring and allocation of funding in FECs

Contents	Page
Executive summary	3
Introduction	6
Annexes	
Annex A Summary of changes since publication of HEFCE 2007/05	12
Annex B Comparison of HEIFES06 and the HEIFES06 re-creation	16
Annex C Derived statistics likely to inform the 2008-09 widening participation allocations	23
Annex D Unistats summaries	30
Annex E Information for leads of HEFCE-recognised funding consortia	33
Annex F Obtaining data from the HEFCE extranet	38
Annex G Guidance for completing and submitting action and implementation plans	41
Annex H Submitting amendments to 2006-07 ILR data	48
Annex I Submitting overrides to primary derived fields	59
Annex J List of abbreviations	63
 Technical appendices	 See separate downloads
Appendix 1 HEIFES06 re-creation algorithms	
Appendix 2 Troubleshooting the differences between HEIFES06 and the HEIFES06 re-creation	
Appendix 3 Problems of fit with the HEIFES06 re-creation algorithms	
Appendix 4 Derived statistics likely to inform the 2008-09 widening participation allocations algorithms	
Appendix 5 Unistats summaries algorithms	
Appendix 6 Generating Unistats summaries	
Appendix 7 Example action and implementation plans	
Appendix 8 Index of derived fields	

2006-07 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	2008/08
Publication date	February 2008
Enquiries to	For enquiries regarding the HEIFES06 comparison contact: Rebecca Thomas tel 0117 931 7338 e-mail ilr_heifes_stats@hefce.ac.uk For enquiries regarding the use of ILR data to inform the 2008-09 widening participation allocations contact: Christine Daniel 0117 931 7373 e-mail ilr_heifes_stats@hefce.ac.uk For enquiries on the use of ILR data to inform the Unistats summaries contact: Anthony Ryan tel 0117 931 7297 e-mail ilr_heifes_stats@hefce.ac.uk

Executive summary

Purpose

1. This document describes:
 - a. How we will use 2006-07 Learning and Skills Council (LSC) learner data to monitor returns made to HEFCE.
 - b. The responses required from colleges to these monitoring processes.
 - c. How we intend to use 2006-07 student data to inform 2008-09 funding allocations.
2. This document, with its accompanying appendices, consists of the following sections:
 - a. The comparison of Higher Education in Further Education: Students Survey 2006-07 (HEIFES06) with 2006-07 Individualised Learner Record F04 data (2006-07 ILR F04).
 - b. How we intend to use ILR data to inform the 2008-09 widening participation (WP) allocations.
 - c. How we intend to use the 2006-07 ILR to produce summaries of data for the Unistats web-site.
 - d. Guidelines on returning action and implementation plans.

Key points

Data quality

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

Funding monitoring

4. Generally we monitor funding returns made to HEFCE by re-creating these funding returns from ILR data. This exercise is conducted in two interrelated but distinct parts. The first is the process of reconciling, explaining and amending the data up to 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 occurs after an institution has signed off the re-creation, is the consideration of the final re-creation in terms of the funding adjustments to be made, and, where appropriate, an appeals process.
5. Our funding allocations are informed by the data provided by colleges. If we find, either through reconciliations with ILR 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 (including WP), then we will adjust their funding accordingly. This is subject to the appeals process and the availability of our funds.
6. Any funding adjustments arising from the reconciliation of HEIFES06 with a re-creation of HEIFES06 from 2006-07 ILR F04 data (the HEIFES06 re-creation) are likely to affect the

funding previously announced for 2006-07 and all subsequent years, including WP funding for 2007-08.

7. In many cases the funding adjustments arising from the reconciliation may 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 2008-09 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 **1 September 2008** for all colleges (including leads of HEFCE-recognised consortia) selected to respond to the comparison of HEIFES06 and the HEIFES06 re-creation.

Annexes and appendices

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

Action required

Funding monitoring

9. We will write to heads of colleges, copied to HEIFES contacts, by 21 February 2008 specifying whether a response is required to any part of this exercise.

10. Where a response is required, action and implementation plans must be returned by **7 May 2008**.

11. The final deadline for HEFCE to receive amendments to ILR data and overrides to primary derived fields detailed in the action and implementation plans is **25 June 2008**.

ILR data used to inform 2008-09 WP allocations

12. If colleges wish to correct ILR data that will be used to inform 2008-09 WP allocations they should submit amendments, as detailed in their action plans, to Christine Daniel. Amendments to be incorporated in the July provisional 2008-09 WP allocations must be signed-off by **23 May 2008**.

Timetable

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

21 February 2008	Issue letter to all colleges requesting response to the exercise where appropriate
7 May 2008	Deadline for receipt of final action and implementation plans produced by each college required to respond
23 May 2008	Deadline for sign-off for amendments to 2006-07 ILR data for incorporation in the provisional 2008-09 WP allocations
25 June 2008	Final deadline for sign-off for 2006-07 ILR data amendments and

	overrides to primary derived fields as detailed in action and implementation plan(s)
1 September 2008	For all colleges (including leads of HEFCE-recognised funding consortia) asked to respond to the comparison of HEIFES06 and the HEIFES06 re-creation: deadline for confirmation that the HEIFES06 re-creation reasonably reflects the outturn position for 2006-07 to avoid interim grant adjustments (see paragraphs 26 to 27 of the Introduction)

Introduction

14. This document describes how we will use 2006-07 ILR F04 data to monitor returns made to HEFCE and to inform funding allocations; it also outlines how we will use 2006-07 ILR F05 data to produce Unistats summaries. It also details the action required where either a response is requested or a college wishes to correct errors in its 2006-07 ILR data.

15. This document consists of this executive summary and introduction, plus Annexes A to J. In addition, technical appendices 1 to 8 are available on the web with this document at www.hefce.ac.uk under Publications. These appendices will be of interest to readers who need to look at the algorithms used in the calculation of their derived data.

Annual data returns

16. The HEIFES return is used 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 college'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).
- c. Produce summaries of data for the Unistats web-site.

17. Our monitoring processes are applied consistently to all colleges. We receive ILR F04 data approximately 13 months after the equivalent year's HEIFES return. We expect all colleges to have used the HEIFES re-creation generated by the '2006-07 statistics derived from ILR data: Guide to HEFCE web facility' (HEFCE 2007/13) to verify and correct their 2006-07 ILR F04 data, where appropriate, before submitting their ILR returns in readiness for this exercise.

Monitoring funding

Selection thresholds and action and implementation plans

18. We employ thresholds to select which colleges must respond. These thresholds are set in terms of the funding differences arising from the comparison of HEIFES06 and the HEIFES06 re-creation. This selection process represents a risk assessment. Primarily, this assessment is intended to identify, and thus select, those colleges whose data differences are most likely to have a material effect on their funding allocations.

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

HEIFES06

20. 2006-07 ILR F04 data will be used to monitor HEIFES06. A re-creation of HEIFES06 is generated from 2006-07 ILR F04 data using the methods detailed in Annex B. This re-creation is compared to HEIFES06 and if the discrepancies between the two data sources exceed our thresholds, the college will be required to respond to the exercise. We also generate a re-calculated 2007-08 WP allocation based on HEIFES06 re-creation full-time equivalent (FTE) numbers, which is compared with the 2007-08 WP allocation based on HEIFES06 FTEs.

21. When 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 a discrepancy, we will ask for confirmation that the HEIFES06 re-creation reasonably reflects the outturn position for 2006-07.

22. Once HEFCE has asked for this confirmation and it has been received from the college, the HEIFES06 re-creation will supersede HEIFES06 and any consequent grant adjustments will be calculated and made (subject to the appeals process and the availability of our funds).

23. 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 2006-07' (HEFCE 2006/19).

Risk assessment

24. 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

25. The monitoring process can take many months to complete. In some cases in the past, by the time 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.

Comparison between HEIFES06 and the HEIFES06 re-creation

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

- a. We have requested a response to the comparison between HEIFES06 and the HEIFES06 re-creation; and
- b. We have not asked for, or we have asked for and not received, confirmation that the HEIFES06 re-creation reasonably reflects the outturn position for 2006-07 by **1 September 2008**; and
- c. The grant adjustment for 2008-09 that would result from the HEIFES06 re-creation position shown on **1 September 2008** would represent a reduction in the teaching funding allocation for 2008-09.

27. In these circumstances we will adjust the 2008-09 grant by using our own reasonable estimates, as at 1 September 2008, of the final outturn position, reflecting the current HEIFES06 re-creation. The reduction in 2008-09 grant payments would be made through the college's standard monthly grant payment profile.

Colleges not required to respond

28. We do not gain assurance, through this exercise, over the reliability of the HEIFES06 return or the HEIFES06 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

29. We may audit data, systems and processes for colleges that are unable to provide acceptable explanations for the causes of discrepancies between HEIFES06 and the HEIFES06 re-creation.

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

Funding allocations

Widening participation funding allocation

31. We intend to use 2006-07 ILR F04 data to inform the following WP funding allocations for 2008-09:

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

32. Annex C contains details of the data that we are likely to use to inform the 2008-09 WP allocations.

33. Colleges have the opportunity to amend 2006-07 ILR data used to inform the 2008-09 WP allocations. If a college wishes to correct its 2006-07 ILR data used to inform the provisional 2008-09 WP allocations it should submit an action and implementation plan. Annex G gives guidance for completing and submitting action and implementation plans.

34. We will not accept amendments to 2006-07 ILR data until we are content with the college's action and implementation plan. Amendments should be signed off by **23 May 2008** to ensure incorporation in the July provisional 2008-09 WP allocations. See Annex H for details on how to submit amendments to 2006-07 ILR data.

35. We will endeavour to incorporate any amendments to 2006-07 ILR data signed off after 23 May 2008 in the final 2008-09 WP allocations. However, colleges should be aware that there is limited availability of funds after the provisional WP allocation is announced.

Unistats summaries

36. We will use 2006-07, 2005-06 and 2004-05 ILR F05 data, to produce Unistats summaries that will eventually be published on the Unistats web-site. These summaries will be released separately and we will contact colleges during May 2008 to provide them with the necessary access.

HEFCE web facility for 2006-07 statistics derived from ILR data

37. On 22 June 2007 we made the HEFCE web facility for 2006-07 statistics derived from ILR data (see HEFCE 2007/13) available. This facility is designed to assist colleges in returning accurate data to the LSC, and to identify discrepancies between forecasting in HEIFES06 and the outturn position for 2006-07. 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

38. For the lead college of a HEFCE-recognised funding consortium the HEIFES06 re-creation will incorporate 2006-07 ILR data supplied by each consortium member in addition to the lead's own ILR data. Details of specific information for leads of HEFCE-recognised funding consortia are given in Annex E.

Next steps

39. We will write to heads of colleges, copied to HEIFES contacts, by **21 February 2008** explaining whether a response is required to this exercise.

Guidance

HEFCE contact

40. 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 will be provided in a letter to be sent by Anthony Ryan on **21 February 2008**.

Action and implementation plans

41. For colleges required to respond we will produce electronic forms for the action and implementation plan, which will contain some pre-completed information. Full guidance for producing and submitting an action and implementation plan is given in Annex G. Example action and implementation plans are also included at Appendix 7.

Troubleshooting

42. Appendix 2 allows colleges to more easily identify the areas of, causes, and reasons for discrepancies between the HEIFES06 re-creation derived from 2006-07 ILR F04 data and HEIFES06.

Supplementary data

43. Files can be accessed from the HEFCE extranet with details of how each student was classified in the tables. Details of how to access these files are in Annex F.

Frequently asked questions

44. Frequently asked questions (FAQs) for this exercise can be found on the HEFCE web-site under Questions. 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

45. 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 Data collection/2006-07 statistics derived from ILR data for monitoring and allocation of funding.

Comments and feedback

46. 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

The annexes to this publication describe how we will use 2006-07 ILR 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 publication of HEFCE 2007/05

Purpose

1. This annex describes the changes that have been made since the release of '2005-06 statistics derived from ILR data for the allocation and monitoring of funding in FECs' (HEFCE 2007/05).

Unistats summaries

2. In 2008 we intend to publish Unistats data for directly-funded colleges and members of HEFCE-recognised funding consortia. Unistats data are intended to make it easier to compare institutions and subjects so that potential students can make more informed choices of where to study. The Unistats summaries will provide information such as the number of students completing their courses, leaving without awards, and continuing at the institution. The Unistats data summaries will be released separately. We will contact colleges during May 2008 to provide them with details of how to access the summaries.

3. The methods used to generate these summaries are described in Annex D and the algorithms are given in Appendix 5. Instructions on how to re-create the outputs are given in Appendix 6.

HEIFES06 re-creation – 2007-08 WP allocation worksheets

4. We have included two extra worksheets in the HEIFES06 re-creation table to show how changes to HEFCE-funded assumed FTEs resulting from the HEIFES06 re-creation affect the 2007-08 WP allocations. The first worksheet (WPYYYYYYY where YYYYYY is the UPIN for the college) provides an indicative 2007-08 WP allocation based on HEFCE-funded assumed FTEs from the HEIFES06 re-creation. The second worksheet (hWPYYYYYYY) provides the 2007-08 WP funding allocations when based on the HEIFES06 FTEs. The cover sheet shows the differences in 2007-08 WP funding allocations when based on the HEIFES06 re-creation against HEIFES06.

5. We have also included the differences between the 2007-08 WP calculations using HEIFES06 and HEIFES06 re-creation FTEs as a threshold for selection to the exercise. If we find that erroneous data have resulted in institutions receiving incorrect WP funding allocations then we will adjust their funding accordingly (subject to the appeals process and the availability of our funds).

Indicative 2008-09 WP allocations

6. The indicative 2008-09 WP allocations are based on rates used for the provisional 2008-09 WP announcement made in March 2008 and do not incorporate subsequent changes arising, for example, from amendments to 2008-09 additional student numbers (ASNs) and transfers. During 2008 we may update the rates used for the indicative WP allocations as more current information becomes available.

7. The indicative WP allocations now treat students studying for an equivalent or lower qualification (ELQ) as non-fundable. The provisional assumed FTEs for 2008-09 and the statistics derived from 2006-07 ILR F04 data which inform the indicative 2008-09 WP allocations have been adjusted to reflect this change.

8. We have made some changes to the measures used to inform the widening access allocations. These changes are described in paragraphs 9 to 12 below and are a necessary update to the existing method; they do not represent a change in the allocation method. We do not anticipate these changes to have substantial effects on the allocation.

9. The young participation rates for small areas that underpin the widening access allocation for young full-time students have been updated. Previously we used participation rate quintiles based on the participation in HE of people who reached 18 between 1997 and 1999. These rates were calculated for the 1991 Census small-area statistics wards geography. We have updated the participation quintiles to cover young people who reached 18 between 2000 and 2004, and changed the underlying geography used to calculate the rates to 2001 Census area statistics wards. This classification of areas covers the UK, and the quintiles are formed with reference to the UK young population.

10. We have also made adjustments to the area groupings based on educational attainment levels used for the widening access allocation for mature full-time and both young and mature part-time students. These groupings now cover 2001 Census area statistics wards throughout the UK, rather than just England and Wales, although the ranges for the quintiles are determined with reference to the English population only.

11. The 'postcode to 2001 Census area statistics ward look-up file' that is used in the allocation has been updated to reflect the August 2007 release of the National Statistics Postcode Directory, which is maintained by the Office for National Statistics. Changes to the way we calculate young participation rates have led to a revision of the postcodes that are excluded from the allocation because we cannot obtain robust participation rates. Additionally, for the purposes of the widening access allocations, we have formally excluded postcodes that the National Statistics Postcode Directory indicates as non-geographic (mostly large user and PO boxes).

12. The assignment of postcodes to the young participation and educational attainment quintile groupings are provided in a file on the HEFCE web-site under Widening participation/POLAR and participation rates/POLAR2. This file includes postcodes which are excluded from the quintile mapping along with the reason for exclusion.

Override file submission process

13. The format of override files has been modified for this year's exercise. Most significantly, users should note that only certain primary derived fields may be altered using an override file. This will allow us to maintain data integrity and a full audit trail of the derived fields that need correction. As with previous years, override files should be supplied where there is a problem of fit with our algorithms. In addition override files should also be used as a

temporary measure when a learning aim provided by the college has not been added to the LSC's Learning Aim Database (LAD), or while incorrect data on the LAD is awaiting correction. We have also included a new field in the individualised files, OVERRIDE, to indicate whether a record has been modified by an override file. Further guidance on the use of override files, their format, and the submission process can be found in Annex I.

Generating outputs from the individualised file

14. Guidance on how to generate the outputs from the individualised files for WP can be found in Appendix 4.

Changes to outputs

UKPRN

15. The UK Provider Reference Number (UKPRN) is now returned in the outputs. This value will be returned in addition to the Unique Provider Identification Number (UPIN).

Changes to algorithms and field names

16. The changes to algorithms listed here are those that have changed since HEFCE 2007/05.

HEIFES06 re-creation

17. The algorithm used to determine whether a student is studying for a recognised HE course has been modified. We now check that all courses are awarded by a recognised body, as described in paragraph 2 of Annex D in HEIFES06 (HEFCE 2006/36). Courses which do not meet the criteria in HEIFES06 are assigned HEFQAIM = OTHER.

New FTE fields

18. To facilitate analysis of the data, we now return the FTE in each price group using the new fields FTEB, FTEC, FTED, FTEMEDIA, FTEITT, FTEINSET. These complement the fields PRGB, PRGC, PRGD, PRGMEDIA, PRGITT and PRGINSET, which contain the proportion of the countable year in each price group.

Widening participation

19. The WP fields EDMQUIN, EDPTQUIN and YNGQUIN have been combined into a single field, WAQUIN. Accordingly, the algorithm to derive this field has been modified. Details of this change can be found in paragraph 45 of Appendix 4. Users should note that this change will not affect the funding allocation; it is solely for technical purposes.

20. As a result of the change described in paragraph 10 of this annex, the algorithms for indicating inclusion in the mature full-time widening access population (EDPOPM) and inclusion in the part-time widening access population (EDPOPPT) have been modified to include students domiciled in Scotland and Northern Ireland. Details of this change can be found in paragraphs 43 and 44 of Appendix 4.

21. As we are now able to map directly from postcode (ST_POSTC(L17)) to the young higher education participation quintile and the adult educational attainment quintile (WAQUIN), we have removed the derived fields displaying the 1991 census ward (WARD6_C) and 2001 census ward (CASWARD) of the student's home postcode from the individualised file IHWP06YYYYYY.ind.

22. Two new groupings of student's highest qualification on entry for use in the full-time improving retention allocation have been created which identify separately students entering with ONC or OND (including BTEC and SQA equivalents) or entering with no formal qualifications. (ENQTUAL = BTEC and ENTQUAL = NONE). Users should note that this change will not affect the funding allocation; it is solely for technical purposes. Details of this change can be found in paragraph 48 of Appendix 4.

23. Students in the full-time improving retention population (EQPOP ≠ 0) whose highest qualification on entry is a NVQ/SQV at Level 5 or a graduate equivalent qualification not elsewhere specified (H11 = 15 or 16) are now placed into the 'degree and higher' grouping of highest qualifications on entry (ENTQUAL = DEG) instead of the 'other HE' grouping of highest qualification on entry (ENTQUAL = OHE) as in previous years. As a result of this change such students are now placed into a low risk group (EQGRP = Y_L or M_L) instead of a medium risk group (EGGRP = Y_M or M_M). Details of this change can be found in paragraph 48 of Appendix 4.

24. As a result of the change described in paragraph 7 of this annex, the derived fields which indicate inclusion in the widening access and full-time improving retention populations (YNGPART, EDPOPM, EDPOPPT and EQPOP) have been modified so that students who are studying for an ELQ are not included. Additionally, for a student in any of these populations where the level of entry qualifications is not known, an appropriate proportion is removed from the field indicating inclusion in the population. Appendix 4 provides further detail on the changes to these fields; it also provides information on how we identify on the 2006-07 ILR F04 record which students are studying for an ELQ, and which students have an unknown-level entry qualification (ELQQENT = UNK). It also explains how we have calculated the proportion that should be treated as non-fundable (ELQ_PROP) for students with unknown-level entry qualifications. Note that the field which indicates inclusion in the disability allocation population (DISPOP) has not changed, as home and EC students who are classed as non-fundable (HESTYPE = HOMENF) may be included in this population.

Annex B Comparison of HEIFES06 and the HEIFES06 re-creation

Purpose

1. This annex details the process of making a response, where one is required, to the comparison of HEIFES06 and the HEIFES06 re-creation that has been generated from 2006-07 ILR F04 data. It also specifies the thresholds we have used to select colleges for response, based upon discrepancies between their HEIFES06 and the HEIFES06 re-creation. Where discrepancies exceed any of the thresholds in paragraph 9 below, we require a full response through an action and implementation plan that addresses all areas of discrepancy, including those causing the selection of the college. Guidelines for completing and submitting action and implementation plans are provided in Annex G.

HEIFES06 re-creation tables

2. The HEIFES06 re-creation tables and HEIFES06 tables can be accessed from the HEFCE extranet. Annex F describes how to access the Excel workbook (HEIFER06YYYYYY.xls – where YYYYYY denotes the LSC's UPIN). The workbook contains the following worksheets.

Page number	Worksheet (see tabs on spreadsheet)*	Title
1	Coversheet	Title page
2	Summary	Summary comparison of HEIFES06 and the HEIFES06 re-creation
3	PRGCMP	Summary comparison of price group activity between HEIFES06 and the HEIFES06 re-creation
4	Excl	Summary of students excluded from the HEIFES06 re-creation
5	FTS	HEIFES06 re-creation Table 1a: Full-time and sandwich years of programme of study
6	SWOUT	HEIFES06 re-creation Table 2: Sandwich year-out years of programme of study
7	PT	HEIFES06 re-creation Table 3: Part-time years of programme of study and load
8	FEE	HEIFES06 re-creation Table 4: Home and EC fees
9	HBK	HEIFES06 re-creation grant adjustments
10	STD	HEIFES06 re-creation recalculation of standard resource
11	F06	HEIFES06 re-creation recalculation of assumed fee income
12	WP	Re-calculated 2007-08 WP allocation based on FTEs from the HEIFES06 re-creation
13	hFTS	HEIFES06 Table 1a: Full-time and sandwich years of programme of study
14	hSWOUT	HEIFES06 Table 2: Sandwich year-out years of programme of study
15	hPT	HEIFES06 Table 3: Part-time years of programme of study and load
16	hFEE	HEIFES06 Table 4: Home and EC fees
17	hHBK	HEIFES06 grant adjustment reports

18	hSTD	HEIFES06 calculation of standard resource
19	hF06	HEIFES06 calculation of assumed fee income
20	hWP	2007-08 WP allocation based on assumed FTEs from HEIFES06
21	Credibility	HEIFES06 credibility sheet
22	FTSDIFF	Difference between HEIFES06 Table 1a and HEIFES06 re-creation Table 1a: Full-time and sandwich years of programme of study
23	SWOUTDIFF	Difference between HEIFES06 Table 2 and HEIFES re-creation Table 2: Sandwich year-out years of programme of study
24	PTDIFF	Difference between HEIFES06 Table 3 and HEIFES06 re-creation Table 3: Part-time years of programme of study and load
25	FEEDIFF	Difference between HEIFES06 Table 4 and HEIFES06 re-creation Table 4: Home and EC fees

* This worksheet reference corresponds to the spreadsheet tabs.

3. All the information contained in the HEIFES06 re-creation tables can be re-built by categorising and aggregating the data contained in the individualised file which we provide. The file, HEIFER06YYYYYY.ind, contains details, in the form of 2006-07 ILR F04 and derived fields, of how each student was classified in the re-creation. A full description of the data in the individualised file is given in Appendix 1.

4. The 'DIFF' sheets (see items 22 – 25 on the above table) will indicate where differences in cell totals between the HEIFES06 re-creation and HEIFES06 exceed a given threshold. The size of this threshold can be altered by entering the required value where indicated on the worksheets. These sheets are provided to assist institutions in reconciling differences between HEIFES06 and the HEIFES06 re-creation.

Comparison

5. We derive a HEIFES06 re-creation, and hence an individualised file, by applying the algorithms detailed in Appendix 1 to 2006-07 ILR F04 data.

6. We compare the HEIFES06 re-creation to HEIFES06. This comparison takes place after the 2006-07 student data have been finalised with the LSC.

7. We re-calculate a grant adjustment report (HBK worksheet) for the HEIFES06 re-creation by applying the same formulae that were used to calculate the grant adjustment report for HEIFES06. We also re-calculate a 2007-08 WP allocation based on FTEs from the HEIFES06 re-creation.

8. We select colleges to explain discrepancies between their HEIFES06 and the HEIFES06 re-creation using a comparison of the grant adjustment reports derived from HEIFES06 and the HEIFES06 re-creation and also a comparison of the 2007-08 WP allocation based on FTEs from each return. Notwithstanding these thresholds 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

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

- a. The difference in any net grant adjustment relating to contract range holdback between HEIFES06 and the HEIFES06 re-creation exceeds £500,000.
- b. The difference in any net grant adjustment relating to Additional Student Number (ASN) funding between HEIFES06 and the HEIFES06 re-creation exceeds £500,000.

10. In calculating the grant adjustment reports we have ignored any appeals for mitigation. Therefore, the grant adjustment report derived from HEIFES06 may differ from the final grant adjustment report notified for 2006-07. 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

11. We will write to heads of colleges, copied to HEIFES contacts, on **21 February 2008** specifying whether a response is required.

12. Where we require a response, an action and implementation plan must be submitted via the HEFCE extranet by **7 May 2008**, detailing how the college will reconcile the two data sources. Guidance for completing and submitting an action and implementation plan is in Annex G.

Action and implementation plan

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

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

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

15. 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' grants.

16. 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 2006-07 ILR data
- errors/estimation discrepancies in HEIFES06
- errors in the LAD
- problems of fit with the re-creation algorithms.

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

Errors in 2006-07 ILR data

18. The procedures for the quality assurance of 2006-07 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.

19. Where errors are found in 2006-07 ILR data, we require colleges to submit amendments to HEFCE. Colleges are expected to submit amendments well in advance of the deadline of **25 June 2008** in order to ensure that, if required, any additional amendments can be submitted within this time frame.

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

21. Amendments must follow the specification described in Annex H. 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.

22. 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.

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

24. The LSC will not amend its version of the 2006-07 ILR F04 unless colleges re-submit their 2006-07 ILR F04 directly to the LSC. We expect any changes made during this exercise to also be included in the college's 2006-07 ILR F05 return. 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 HEIFES06 data

25. 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 HEIFES06 re-creation will supersede HEIFES06, 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 HEIFES06.

Errors in the LAD

26. 2006-07 ILR F04 data have been linked to a copy of the LSC’s LAD extracted on 15 January 2008 to obtain information about the learning aim. Where it is identified that information on the LAD is incorrect, each college must notify the LSC of the error, copied to its designated contact for the exercise at HEFCE (see paragraph 35), and request that the relevant entry be corrected.

27. Where it is identified that the student is incorrectly linked to a learning aim in the LAD 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.

28. Both cases will require an amendment to be made to the learning aim reference number on 2006-07 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 H for details on providing amendment files to HEFCE.

29. Where changes to the LAD 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

30. We do not expect that problems of fit with the re-creation algorithms will fully explain discrepancies that exceed the thresholds in paragraph 9. However, where a problem of fit

between our algorithms and HEIFES06 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 HEIFES06 re-creation.

31. 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 **25 June 2008** in order to ensure that, if required, any additional overrides and amendments can be submitted within this time frame.

32. Overrides must follow the specification described in Annex I. 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

33. Amendments to 2006-07 ILR data and overrides made to primary derived fields will be used to reproduce the HEIFES06 re-creation. Once all overrides have been processed and the revised 2006-07 ILR data have been incorporated, we will review the HEIFES06 re-creation. If we are not content that all discrepancies between HEIFES06 and the HEIFES06 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.

34. Once we are content that all discrepancies between HEIFES06 and the HEIFES06 re-creation have been reasonably explained, we will ask the college to confirm:

- that the HEIFES06 re-creation reasonably reflects the outturn position for 2006-07
- the accuracy of the amendments to 2006-07 ILR data.

Guidance

HEFCE contact

35. 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 **21 February 2008**.

Action and implementation plan

36. Guidance for completing and submitting action and implementation plans is given in Annex G. An example action and implementation plan can be found in Appendix 7 for illustrative purposes only.

Troubleshooting

37. Appendix 2 will assist with identifying the causes of discrepancies between HEIFES06 and the HEIFES06 re-creation.

Supplementary data

38. 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 F.

FAQs

39. FAQs for this exercise can be found on the HEFCE web-site under Questions/Data collection/2006-07 statistics derived from ILR data for monitoring and allocation of funding. 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

40. We use the SAS programming language to generate the HEIFES06 re-creation. The SAS code we use to do this is on the HEFCE web-site under Learning & teaching/Data collection.

Comments

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

Deadline for responses

42. Action and implementation plans must be uploaded to the HEFCE extranet no later than **7 May 2008**.

43. The final deadline for receipt of sign-off for amendments to 2006-07 ILR data and overrides to primary derived fields as detailed in the action and implementation plan is **25 June 2008**.

Annex C

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

Purpose

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

Derived statistics outputs

2. Annex F describes how to access the derived statistics used to inform the 2008-09 WP allocations in an Excel workbook (IHWP06YYYYYY.xls – where YYYYYY denotes the LSC's UPIN).

3. The WP derived statistics can be re-built from the individualised file which we provide (IHWP06YYYYYY.ind – see Annex F for details on how to obtain this file). The file contains details of how each student was categorised in the indicative WP allocations and, where relevant, details of why they did not contribute. A full description of the data in the individualised file is given in Appendix 4 along with instructions on how to re-build the figures in the WP derived statistics and indicative allocations spreadsheet.

Indicative funding calculations

4. We have generated an indicative 2008-09 funding calculation for each of the WP allocations. The calculations use provisional 2008-09 allocation rates applied to provisional 2008-09 assumed FTEs in most cases. They may not incorporate 2008-09 additional student numbers, transfers or mergers. For most colleges the indicative 2008-09 WP allocations will match the provisional 2008-09 WP allocations that were announced in March 2008. However, during 2008 we may update the rates used for the indicative WP allocations as more current information becomes available.

5. The indicative allocations for 2008-09 are provided solely to highlight potential errors in 2006-07 ILR data. They should not be considered to be any kind of funding commitment by HEFCE and are without prejudice to what our Board may agree to be the final allocations for any college. The final allocations for 2008-09 may be higher or lower than the illustrations given in this output as a result of changes to data by the college or to the data provided by any other institution, or to the total sum available for allocation, or as a result of any refinements of the funding methods.

6. WP funding allocations are informed by the data provided by colleges. If we find that data errors have resulted in colleges receiving incorrect funding allocations, then we will adjust their funding accordingly. In particular, where reconciliations with 2006-07 ILR F04 data (see Annex B) or HEIFES06 audit highlight that the assumed FTEs used to allocate 2008-09 WP funding were incorrect, then we will adjust WP funding accordingly, subject to the availability of HEFCE funds.

Widening access for students from disadvantaged backgrounds

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

8. Using postcode information from 2006-07 ILR F04 data, each student is mapped to a 2001 Census area statistic ward. These wards are themselves assigned to quintiles based on young participation rates (used for young full-time students) and quintiles based on the proportion of 16-74 year-olds with an HE qualification (for mature full-time, and young and mature part-time undergraduates). Each student is weighted according to the relevant quintile assignment of their ward:

Quintile	Weighting
1 Lowest young HE participation (young full-time) or lowest average adult HE attainment (part-time and mature full-time)	2
2	1
3, 4, 5	0

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

10. The young HE participation quintiles are based on an extension to our 2005 report on measuring young participation, 'Young participation in higher education' (HEFCE 2005/03) that will be published in 2008. These updated rates are based on young people who reached 18 between 2000 and 2004 and entered a higher education course in the UK aged 18 or 19. Young participation rates are calculated for each 2001 Census area statistics ward in the UK and used to rank the wards into five participation quintiles, each containing 20 per cent of the UK young population for this period.

11. The adult HE attainment quintiles are based on 2001 Census area statistics. We use the national equivalents of the 2001 Census Key Statistics table 13 (KS013, 'Qualifications and students') for 2001 Census Output Areas (subsequently aggregated to 2001 Census area statistics wards). These tables can be obtained from the Office for National Statistics, the General Register Office for Scotland (GROS) and the Northern Ireland Statistics and Research Agency (NISRA). We calculate the proportion of 16-74 year-olds with an HE qualification for UK 2001 Census small-area statistics wards. These wards are then ranked by this proportion to give the adult HE attainment quintiles, with each quintile covering 20 per cent of the English 16-74 year-old population.

12. We allocate postcodes to 2001 Census area statistics wards using the August 2007 release of the Office for National Statistics National Statistics Postcode Directory. A file containing the allocation of postcode to young participation and adult HE attainment quintiles is available on the HEFCE web-site under Widening participation/POLAR and participation

rates/POLAR2. This file includes postcodes which are excluded from the quintile mapping along with the reason for exclusion (including non-geographic postcodes).

13. Part-time and mature students who already hold a higher education qualification at the same level as, or higher than, their current qualification aim, or have unknown entry qualifications¹, are given a weighting of zero irrespective of their postcode.

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

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

15. The population is defined as:

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

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

- those with a postcode that has been identified in our young participation analysis as being associated with an unfeasible number of young entrants in relation to our population estimates. Typically this would be a postcode relating to a boarding school
- those whose postcode is marked as a non-geographic postcode in the National Statistics Postcode Directory
- those with a postcode that, although valid, is not mapped to the required Census 2001 geography in the National Statistics Postcode Directory
- students studying for an ELQ, plus a corresponding proportion of students with entry qualifications of unknown level who are assumed to be studying for an ELQ.

17. These excluded students (with the exception of those studying for an ELQ and a corresponding proportion of students with entry qualifications of unknown level who are assumed to be studying for an ELQ) are counted in the FTEs in the next step (see paragraph 18), and therefore receive an average weight for the purpose of allocating funds.

18. Both average weights derived from the calculation referred to in paragraph 14 are 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 2008-09 (which may not incorporate all 2008-09 additional student numbers, transfers or mergers).

¹ This may differ slightly from students who study for an ELQ, where a proportion of students with entry qualifications of unknown level are removed from the population – see paragraphs 15 and 16 of this annex

Improving retention

Full-time students

19. 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, and is calculated as follows.

20. Using age and entry qualification information from 2006-07 ILR F04 data, full-time UK-domiciled undergraduate new entrants (excluding students studying for an ELQ and a corresponding proportion of students with entry qualifications of unknown level who are assumed to be studying for an ELQ) are assigned to one of six risk categories (see paragraph 21 for further information on how students are assigned to risk categories) which are then weighted as shown in the table below. Students are only part of the population if they generate a HEFCE-fundable Column 4 countable year in the HEIFES06 re-creation

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

21. 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 A.

Table A Assignment of students to risk categories

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

* New entrants whose highest qualification on entry are A-levels but who did not enter via UCAS (the universities and colleges admissions body) and so do not have A-Level points recorded, are allocated to medium risk.

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

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

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

23. The improving retention average weight derived from the calculation in paragraph 22 is given a London weighting (8 per cent for inner London and 5 per cent for outer London) and applied to the assumed full-time undergraduate (including foundation degree) FTEs for 2008-09 (which may not incorporate all 2008-09 additional student numbers, transfers or mergers).

Part-time students

24. The part-time allocation is distributed pro rata to London-weighted (8 per cent for inner London and 5 per cent for outer London) part-time undergraduate (including foundation degree) assumed FTEs for 2008-09 (which may not incorporate all 2008-09 additional student numbers, transfers or mergers).

Widening access for students with disabilities

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

26. Firstly, we calculate for each college the proportion of eligible home and EC students who were in receipt of the Disabled Students' Allowance (DSA). These proportions are then ranked and split into quartiles. Students are only part of the population if they generate a Column 4 countable year in the HEIFES06 re-creation.

27. Next, each college is assigned to one of the four quartiles, according to the proportion of students in receipt of the DSA as calculated in paragraph 26, although this is smoothed to ensure that no college falls by more than one quartile from the previous year. Separate weightings are attached to each of the four quartiles, as follows.

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

28. Finally each college's share of the allocation is pro rata based on the assumed FTE for 2008-09 (which may not incorporate all 2008-09 additional student numbers, transfers or mergers), 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 colleges	Minimum disability allocation
<50	£500
50 to 249	£1,000
250 to 499	£5,000
500 or more	£10,000

Errors in 2006-07 ILR data

29. 2006-07 ILR F04 data should be quality assured before a college signs it off as correct. After this point, any amendments accepted to recalculate funding should be seen as exceptional, and not as part of quality assurance procedures.

30. If colleges wish to correct their 2006-07 ILR F04 data used to inform the provisional July 2008-09 WP allocations they should sign off amendments by **23 May 2008** to Rebecca Thomas at ilr_heifes_stats@hefce.ac.uk. Colleges should inform us through the production of an action and implementation plan as specified in Annex G, of any amendments to their 2006-07 ILR data used to inform the widening participation allocation.

31. 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.

32. We will endeavour to incorporate any amendments to 2006-07 ILR data signed off after 23 May 2008 in the final 2008-09 WP allocations. However colleges should be aware that there is limited availability of funds after the provisional WP allocation is announced.

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

34. Amendments to 2006-07 ILR F04 data will be incorporated in future HEFCE statistical publications and analyses.

Annex D

Unistats summaries

Purpose

1. This annex describes how we have produced Unistats summaries from ILR data for directly-funded higher education in further education colleges and member colleges of HEFCE-recognised funding consortia.
2. We have used 2006-07, 2005-06 and 2004-05 ILR F05 data, to produce Unistats summaries for data that will eventually be published on the Unistats web-site. We will contact colleges during May 2008 to provide them with details of how to access the summaries.

Background

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

Proposed extensions to the coverage of Unistats

5. To satisfy public information needs, we plan to extend the coverage of the Unistats site to include the following statistics for directly-funded colleges and members of HEFCE-recognised funding consortia:
 - statistics on entry qualifications
 - continuation through the course
 - award obtained.
6. We intend to publish these statistics on the Unistats web-site in summer 2008. The primary source for the data will be the 2006-07 F05 ILR return. It is our intention, within the boundaries of the available data, to make the information as comparable as possible to the statistics published on the Unistats site for higher education institutions and colleges that are funded indirectly through a higher education institution.

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

Unistats outputs

8. The Unistats summaries can be accessed from the HEFCE extranet. Annex F describes how to access the Excel workbook (TQI06YYYYYY.xls – where YYYYYY denotes the LSC's UPIN).

9. All the information contained in the Unistats summaries can be re-built by categorising and aggregating the data contained in the individualised files which we provide. There are two individualised files, TQI06YYYYYY.ind and TQICON06YYYYYY.ind. The file, TQI06YYYYYY.ind, contains details, in the form of 2006-07 ILR F05 data and derived fields, of how each student was classified in the 'entry information' and 'achievement information' summaries. The file, TQICON06YYYYYY.ind, contains details, in the form of 2006-07, 2005-06 and 2004-05 ILR F05 data and derived fields, of how each student was classified in the 'continuation information' summary. A full description of the data in the individualised files is given in Appendix 5 while Appendix 6 provides a description of how the summaries can be rebuilt from these files.

Descriptions of the Unistats summaries

Entry information

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

- first degree or higher
- other higher education (HE) course
- A-levels, Scottish Highers, or other Level 3 qualifications
- BTEC national diploma
- access course
- baccalaureate
- other qualifications
- no formal qualifications/not known.

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

Continuation information

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

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

13. Students who are recorded as dormant in 2005-06 also have their status in the 2006-07 academic year recorded according to the same categories.

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

Achievement information

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

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

Annex E

Information for leads of HEFCE-recognised funding consortia

Purpose

1. The purpose of this annex is to inform institutions that are leads of HEFCE-recognised funding consortia how we will use data from them and their member colleges for the monitoring and allocation of funding. It also provides details of the timetable for the derived statistics exercise that we expect will apply to HEFCE-recognised funding consortia.
2. Under a HEFCE-recognised funding consortium, the lead institution is responsible for co-ordinating responses to any element of the exercise. In particular, we expect the lead institution to co-ordinate any response to the comparison of HEIFES06 and the HEIFES06 re-creation where a response is required.
3. Member colleges' 2006-07 July ILR F04 data will also be used to inform the 2008-09 WP allocations for the entire consortium, and as such the lead may wish to co-ordinate any necessary correction of member colleges' 2006-07 July ILR data in line with the deadlines set out in this document.

Data collection arrangements for HEFCE-recognised funding consortia

4. Under the arrangements for HEFCE-recognised funding consortia, each student is recognised as a student of the appropriate consortium member, rather than of the lead college. Therefore lead institutions 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 2006-07 ILR.
5. All member colleges' data for students funded under the consortium arrangement should have been returned by the lead college on its HEIFES06 return. Therefore, for the lead college of a HEFCE-recognised funding consortium, the HEIFES06 re-creation will incorporate its own 2006-07 ILR F04 data, along with 2006-07 ILR F04 data for each member college.

Outputs for HEFCE-recognised funding consortia

HEIFES06 and the HEIFES06 re-creation

6. We generate a HEIFES06 re-creation, which is described in Annex B. The information contained in the HEIFES06 re-creation will vary depending on whether the college is a lead or member college.
7. Lead institutions of HEFCE-recognised funding consortia will be able to access the following files:

- LEAD06YYYYYY.xls – this is an Excel workbook containing the HEIFES06 re-creation tables for the lead college which is constructed from its 2006-07 ILR F04 data
- HEIFER06YYYYYY.xls – this is an Excel workbook containing the HEIFES06 re-creation tables that are constructed from an amalgamation of the 2006-07 ILR F04 data submitted by both the lead and member colleges to the LSC. This workbook combines the data contained in LEAD06YYYYYY.xls with the 2006-07 ILR data from the member colleges (viewable in the HEIFERC06YYYYYY.xls tables)
- HEIFERC06YYYYYY.xls – these are Excel workbooks containing the HEIFES06 re-creation tables for each of the member colleges
- HEIFER06YYYYYY.ind – this is the individualised file to supplement the HEIFES06 re-creation tables for the lead college (LEAD06YYYYYY.xls). All of the information contained in the HEIFES06 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 2006-07 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 HEFCE-recognised funding consortia will be able to access the following files:

- HEIFERC06YYYYYY.xls – these are Excel workbooks containing the HEIFES06 re-creation tables for the member college
- HEIFER06YYYYYY.ind – this is the individualised file to supplement the HEIFES06 re-creation tables for the member college (HEIFERC06YYYYYY.xls). All of the information contained in the HEIFES06 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 2006-07 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 2008-09 widening participation allocations

9. We also generate indicative 2008-09 WP allocations which are described in Annex C. The information contained in the indicative widening participation allocations output will vary depending on whether the college is a lead or member college.

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

- IHWPLEAD06YYYYYY.xls – this is an Excel workbook containing the WP tables (WP06) for the lead college only
- IHWP06YYYYYY.xls – this is an Excel workbook containing the WP tables that combines the data from the lead college with all its consortium member colleges

- IHWPC06YYYYYYY.xls – these are Excel workbooks containing the widening participation tables for each of the member colleges
- IHWP06YYYYYYY.ind – this is the individualised file that supplements the indicative 2008-09 WP allocations for the lead college only (IHWPLEAD06YYYYYYY.xls). All of the information contained in the WP06 tables can be re-built by categorising and aggregating the data contained in this file. It contains details, in the form of 2006-07 ILR and derived fields, of how each student was classified in the re-creation. A full description of the data contained in the individualised file is given in Appendix 4.

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

- IHWPC06YYYYYYY.xls – this is an Excel workbook containing the widening participation tables for the member college
- IHWP06YYYYYYY.ind – this is the individualised file that supplements the indicative 2008-09 WP allocations for the member college (IHWPC06YYYYYYY.xls). All of the information contained in the WP06 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 2006-07 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.

Other outputs available to the lead institution

12. In addition to the HEIFES06 re-creation and member college HEIFES06 re-creation and WP06 outputs listed above, each lead institution will also have access to the other outputs relating to its own data listed in paragraph 10 of Annex E.

Action plan and implementation plans

13. If the lead college of a HEFCE-recognised funding consortium has been formally requested to respond to the exercise, it will be required to submit a APHEIR06YYYYYYY.xls action and implementation plan detailing action points for both its own institution and each of the consortium members.

14. If the lead college of a HEFCE-recognised funding consortium needs to make corrections to its ILR data, for example for the purposes of WP, it will be required to submit a APILR06YYYYYYY.xls action and implementation plan detailing action points for both its own institution and each of the consortium members.

Access to outputs

15. Lead colleges will be given automatic access to all outputs except the separate HEIFES06 re-creation and WP individualised files for each of the member colleges. Each

member college will receive access to its own HEIFES06 re-creation, and a separate HEIFES re-creation individualised file containing only the 2006-07 ILR F04 data that the college has submitted to the LSC. This arrangement will also apply to the WP outputs.

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

Worksheets

17. The provisional HEIFES06 re-creation workbook for lead colleges, LEAD06YYYYYY.xls contains the following worksheets.

Table B **Excel workbook LEAD06YYYYYY**

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

18. The provisional HEIFES06 re-creation workbook for member colleges, HEIFERC06YYYYYY.xls, contains the following worksheets.

Table C **Excel workbook HEIFERC06YYYYYY**

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

Annex F

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 2006-07 ILR data or overrides due to problems of fit with our algorithms, the version of the derived statistics outputs held on our extranet will be overwritten once these amendments/overrides have been incorporated. Therefore, if colleges wish to retain intermediate versions of the outputs, they will need to make copies 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 increase by one for each new version.

Registering a new account

3. New users of the HEFCE extranet will first need to register an e-mail address and extranet password. This can be done by clicking the 'Register' link on the log-in screen. In order to register, you will require an 'organisation key' and a 'group key', details of which are in the letter sent to your head of college by Anthony Ryan on **21 February 2008**.
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 '2006-07 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 '2006-07 statistics derived from ILR data', sent to your head of college and HEIFES contact by Anthony Ryan on **21 February 2008**, and select 'Join group'.
6. If you have registered in the past but your account has expired, you will be required to refresh your account using the organisation key referred to in paragraph 3.

Athens Single Sign On Account

7. You can also log in to the HEFCE extranet using the Athens Single Sign On account (if this is available at your 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 '2006-07 statistics derived from ILR data'. Under 'Applications' click 'Join a group'. Enter the group key supplied in Annex A of the letter titled '2006-07 statistics derived from ILR data', which was sent to your head of college and HEIFES contact on **21 February 2008**, 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 '2006-07 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)):

- HEIFER06YYYYYY.ind – this is a comma-separated file containing the derived fields that generate the HEIFES06 re-creation. For leads of HEFCE-recognised funding consortia this file does not include data for the member colleges

- HEIFER06YYYYYY.xls – this is an Excel workbook containing the HEIFES06 re-creation tables. For leads of HEFCE-recognised funding consortia this includes the combined 2006-07 ILR data for the lead institution and 2006-07 ILR data for the member colleges (HEIFERC06YYYYYY.xls for members of consortia)

- IHWP06YYYYYY.ind – this is a comma-separated file containing the derived fields that generate the data that are likely to inform the 2008-09 WP funding allocations. For leads of HEFCE-recognised funding consortia this file does not include data for the member colleges

- IHWP06YYYYYY.xls – this is an Excel workbook containing data likely to inform the 2008-09 WP allocation. For leads of HEFCE-recognised funding consortia this includes the combined 2006-07 ILR data for the lead and 2006-07 ILR data for the member colleges (IHWPC06YYYYYY.xls for members of consortia)

- UNI06YYYYYY.ind – Unistats entry and achievement individualised student data file

- UNI06YYYYYY.ind – Unistats continuation individualised student data file

- UNI06YYYYYY.xls – Unistats tables.

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

- LEAD06YYYYYY.xls – this is an Excel workbook containing the HEIFES06 re-creation tables for the lead institution (includes 2006-07 ILR student data for the lead college only)
- HEIFERC06YYYYYY.xls – these are Excel workbooks containing the HEIFES06 re-creation tables for each of the member colleges (YYYYYY denotes the UPIN provider number for the college)
- IHWPLEAD06YYYYYY.xls – this is an Excel workbook containing the WP allocation tables for the lead institution
- IHWPC06YYYYYY.xls – these are Excel workbooks containing the WP 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 – 2006-07 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.

- APHEIR06YYYYYY.xls – this is an Excel workbook containing the HEIFES06 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
- APILR06YYYYYY.xls – this is an Excel workbook containing the general 2006-07 ILR 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 G

Guidance for completing and submitting action and implementation plans

Purpose

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

Approval

2. Where colleges are formally required to respond to this exercise we will only approve their action and implementation plans where the guidelines set out in this annex are met. For these responses, if an action and implementation plan does not enable us to gain assurance that the college 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 2006-07 ILR data (for example, to correct data that are likely to be used to inform the 2008-09 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 2006-07 ILR data is given in paragraphs 36 to 43 of this annex.

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 2006-07 ILR data we will use the action plan to gain an understanding of the reasons why amendments are being made and to which 2006-07 ILR fields, so that the impact of incorporating them 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 HEIFES06 and the HEIFES06 re-creation are required to complete the template APHEIR06YYYYYY.xls. This is an Excel workbook containing the HEIFES06 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 2006-07 ILR data (for example, to correct data that are likely to be used to inform the 2008-09 WP allocations) are required to complete the template APILR06YYYYYY.xls. This is an Excel workbook containing the general 2006-07 ILR 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 F.

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 from the HEFCE extranet. Example action and implementation plans are given in Appendix 7 for illustrative purposes only.

HEIFES06 re-creation action and implementation plan template

12. The information that we require in the HEIFES06 re-creation action plan template, APHEIR06YYYYYY.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 HEIFES06 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 2006-07 ILR data
- errors/estimation discrepancies in HEIFES06
- errors in the Learning Aim Database (LAD)
- problems of fit with the re-creation algorithms.

Paragraphs 16 to 32 of Annex B give further descriptions of these broad cause types for the HEIFES06 re-creation.

17. The only information that should be entered into Column 3 is the words 'ILR' (for errors in 2006-07 ILR data), 'HEIFES' (for errors/estimation discrepancies in HEIFES06), '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 2006-07 ILR 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 HEIFES06 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 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 H. Amended data must be submitted no later than **25 June 2008**.

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 'HEFCOMP'. For further information on which derived fields are affected by problems of fit with re-creation algorithms see Appendix 3 for the HEIFES06 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 I. For all other causes of difference given in Column 3, this column should remain blank. Override files should be submitted no later than **25 June 2008**.

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 HEIFES06 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 HEIFES06 re-creation workbook).

31. For the HEIFES06 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 HEIFES06 re-creation, if the area of difference was full-time and sandwich, undergraduates in price group C with regulated full fee for the course, and the difference between HEIFES06 and the HEIFES06 re-creation is 10 FTEs, the difference in contract range holdback could be approximated by $10 \times ((£3,721 \times 1.3) - 1,200) = £36,373$. 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 2006-07 ILR data

36. The information that we require in the action plan template, APILR06YYYYYY.xls, for colleges that wish to make amendments to their 2006-07 ILR data (for example to correct data that are likely to be used to inform the 2008-09 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 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.

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 H.

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 '2006-07 Statistics derived from ILR data' to be directed to the 'HEFCE extranet – 2006-07 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 F for further details). Click the appropriate link to the action plan, for example, the 'APILR06 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. Institutions using Office 2007 who wish to submit action plans should ensure that the file is saved using the file extension .xls as files with the extension .xlsx will not upload to our web facility. You should save your action and implementation plan as file type 'Excel 97-2003 workbook (*.xls)'.

46. For reference, the action and implementation plans can be found in a separate Excel file on the HEFCE web-site, Appendix 13 published with this document.

Annex H

Submitting amendments to 2006-07 ILR data

Purpose

1. This annex details the data structure and format for amendments to 2006-07 ILR data. Colleges must supply 2006-07 ILR 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 2006-07 ILR return
 - addition file – adds records omitted from the 2006-07 ILR F04 return
 - deletion file – deletes records incorrectly included on the 2006-07 ILR 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 D).
4. These specifications are necessary to ensure we can process amendments to 2006-07 ILR 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 2006-07 ILR data must be sent as a comma-separated file via the HEFCE extranet. To submit via the extranet go to the 'HEFCE resources' page, click on '2006-07 statistics derived from ILR data', then on 'ILRAM06 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 F.

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 2006-07 ILR 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 2006-07 ILR 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 2006-07 ILR 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 2006-07 ILR fields can be included in amendment files. Where changes to derived fields are required, the underlying 2006-07 ILR 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 05032008 for a file created on 5 March 2008.

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 2006-07 ILR fields H14 and H15 – reference number 1'.

line 4 – this line must contain the word CHANGE.

line 5 – the 2006-07 ILR fields used to uniquely identify records on the amendment file, comma-separated. For example H01, H03, H05, H09.

line 6 – the 2006-07 ILR 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 2006-07 ILR 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 – 2006-07 ILR 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,

H05, 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 2006-07 ILR 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 2006-07 ILR fields for that data set must be included in the addition file even if they are blank. These data must be validated by 2006-07 ILR 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 2006-07 ILR 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 2006-07 ILR 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 2006-07 ILR 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 2006-07 ILR, 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 2006-07 ILR, 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 05032008 for a file created on 5 March 2008.

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 Higher National Certificates (HNCs) omitted from original 2006-07 ILR 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 2006-07 ILR 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 2006-07 ILR 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 2006-07 ILR 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 2006-07 ILR 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 05032008 for a file created on 5 March 2008.

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 2006-07 ILR – reference number 3’.

line 4 – this line must contain the word DELETE.

line 5 – 2006-07 ILR 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 2006-07 ILR 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 – 2006-07 ILR 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 2006-07 ILR 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 2006-07 ILR 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 2006-07 ILR learner data set records:

- L01
- L02
- L03
- L42a, L42b

27. We recommend colleges use the following four fields to uniquely identify 2006-07 ILR learning aim data set records:

- A01
- A03
- A05

- A48a, A48b

28. We recommend colleges use the following three fields to uniquely identify 2006-07 ILR HE data set records:

- H01
- H03
- H05
- 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

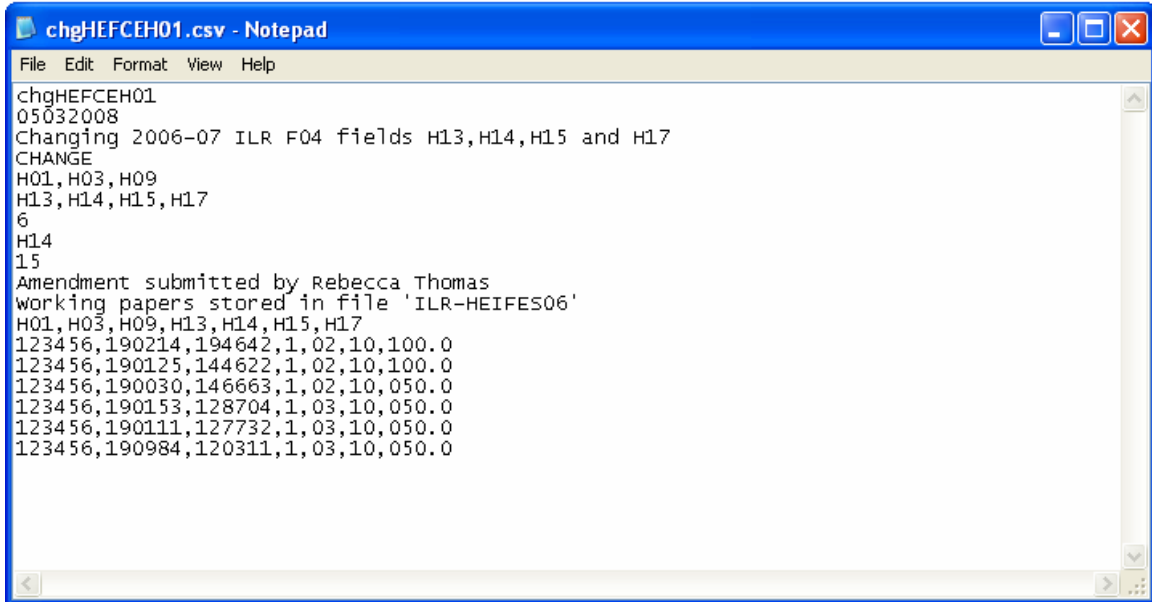
31. To ensure amendment files have not been corrupted during transit, we will check that the sum of values in a field is equal to the same calculation made by the college before submission. The field used must be returned in line 8. The sum of values in this field must be returned in line 9. If an amendment file does not contain any numeric fields suitable for calculating a check sum, an additional field from the appropriate 2006-07 ILR 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

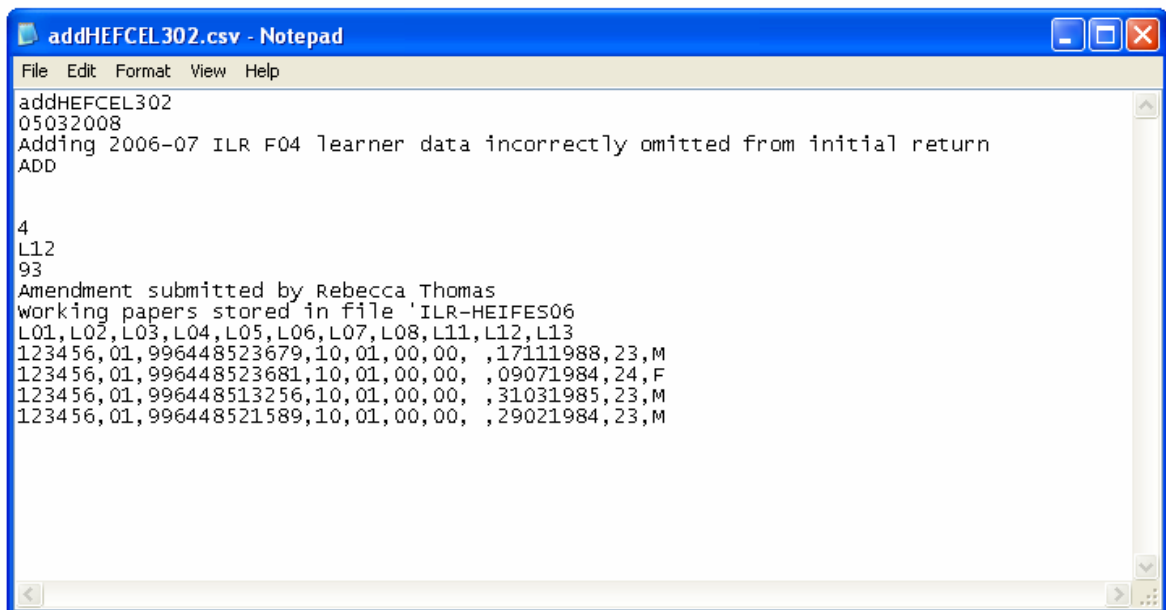
Figure 1 An HE data set change file



The screenshot shows a Notepad window titled 'chgHEFCEH01.csv - Notepad'. The text inside the window is as follows:

```
chgHEFCEH01
05032008
Changing 2006-07 ILR F04 fields H13,H14,H15 and H17
CHANGE
H01,H03,H09
H13,H14,H15,H17
6
H14
15
Amendment submitted by Rebecca Thomas
working papers stored in file 'ILR-HEIFES06'
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

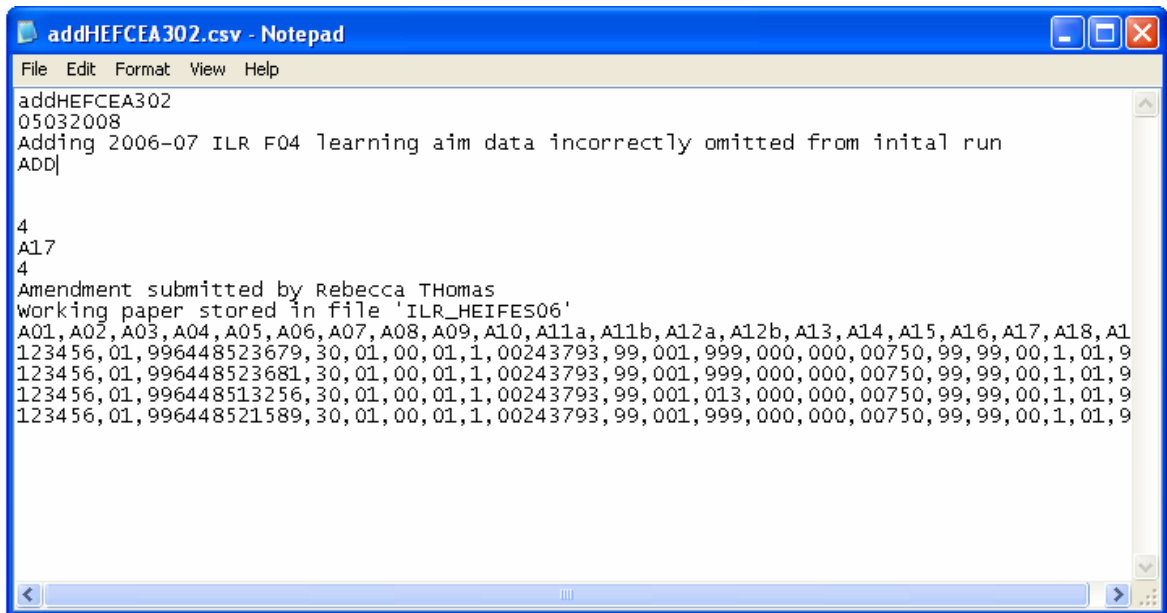


The screenshot shows a Notepad window titled 'addHEFCEL302.csv - Notepad'. The text inside the window is as follows:

```
addHEFCEL302
05032008
Adding 2006-07 ILR F04 learner data incorrectly omitted from initial return
ADD

4
L12
93
Amendment submitted by Rebecca Thomas
working papers stored in file 'ILR-HEIFES06'
L01,L02,L03,L04,L05,L06,L07,L08,L11,L12,L13
123456,01,996448523679,10,01,00,00, ,17111988,23,M
123456,01,996448523681,10,01,00,00, ,09071984,24,F
123456,01,996448513256,10,01,00,00, ,31031985,23,M
123456,01,996448521589,10,01,00,00, ,29021984,23,M
```

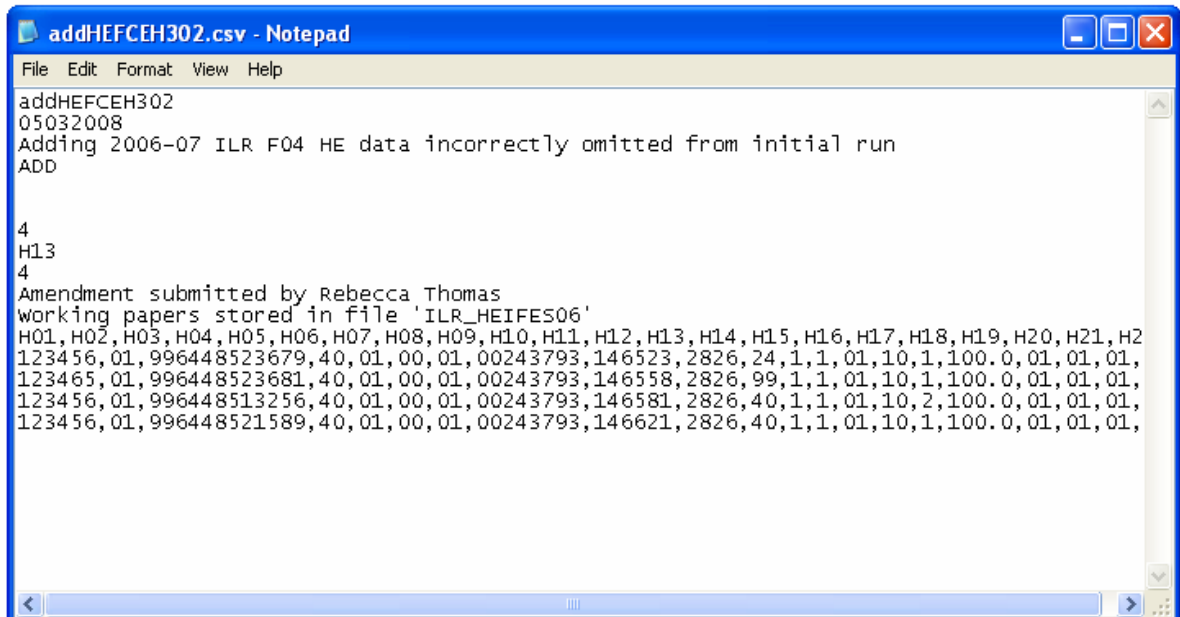

Figure 2b A learning aim data set addition file



```
addHEFCEA302
05032008
Adding 2006-07 ILR F04 learning aim data incorrectly omitted from initial run
ADD

4
A17
4
Amendment submitted by Rebecca Thomas
working paper stored in file 'ILR_HEIFES06'
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
```

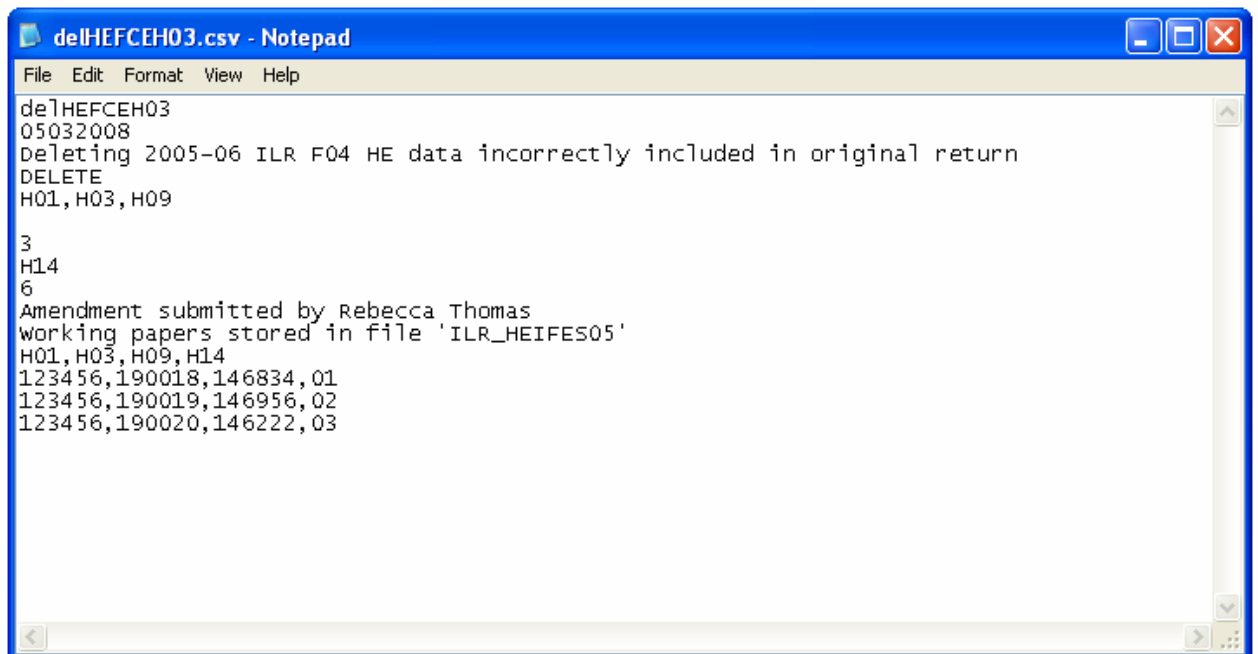
Figure 2c An HE data set addition file



```
addHEFCEH302
05032008
Adding 2006-07 ILR F04 HE data incorrectly omitted from initial run
ADD

4
H13
4
Amendment submitted by Rebecca Thomas
working papers stored in file 'ILR_HEIFES06'
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,
123465,01,996448523681,40,01,00,01,00243793,146558,2826,99,1,1,01,10,1,100.0,01,01,01,
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
05032008
Deleting 2005-06 ILR F04 HE data incorrectly included in original return
DELETE
H01,H03,H09

3
H14
6
Amendment submitted by Rebecca Thomas
working papers stored in file 'ILR_HEIFES05'
H01,H03,H09,H14
123456,190018,146834,01
123456,190019,146956,02
123456,190020,146222,03
```

Table D 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 05032008	File creation date. For example 05032008	File creation date. For example 05032008
3	Brief description. For example 'Changing 2006-07 ILR learning aim data set fields A11 and A27'	Brief description. For example 'Adding 2006-07 ILR HE data set records incorrectly omitted from original return'	Brief description. For example 'Deleting 2006-07 ILR 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	2006-07 ILR field for check sum. Must be numeric	2006-07 ILR field for check sum. Must be numeric	2006-07 ILR 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 2006-07 ILR fields in the same order as the data	List of 2006-07 ILR fields in the same order as the data	List of 2006-07 ILR 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 I

Submitting overrides to primary derived fields

Background

1. An override file would only be applied where the data submitted to the 2006-07 ILR 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 2006-07 ILR data.
2. All known problems of fit with the HEIFES06 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.

Problems of fit with our algorithms

4. This year, in a change to previous years' procedures, where problems of fit with our algorithms result in errors to derived fields we are only allowing certain derived fields to be modified by the override file. These fields, which we refer to as 'primary derived fields', are those which are directly used to generate the HEIFES06 re-creation tables. For example, the value of HEFEXCL determines whether a record is included in the HEIFES population and is a primary derived field. In contrast, the fields EXCL1-EXCL64 (which are used to derive HEFEXCL) are not directly used to generate the re-creation tables; these are secondary derived fields. A list of primary derived fields is given in Table E.
5. Since overrides can only alter primary derived fields, a record's secondary derived fields may be inconsistent with the primary derived fields. Considering the example above, if the value of HEFEXCL is altered by an override file, its value will be inconsistent with the values of EXCL1-EXCL64.
6. We also require that certain primary derived fields are returned as a group, in order to maintain data integrity. If any field in the group is changed, we require that all members of that group are returned, even if the values of certain fields in the group remain unchanged. Details of the fields which must be returned in a group are given in Table E below. For example, if an override to correct price groups or FTEs is being submitted, we require that the file contains FTEB-D, FTEMEDIA, FTEITT and FTEINSET; even if the values of some of these fields remain unchanged.
7. Where the cause of an error in a derived field is erroneous ILR data, override files should not be submitted to correct the error – instead the ILR data should be corrected.

Table E Primary derived fields

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

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

9. Paragraphs 10 to 13 of this annex describe the format which colleges must use when submitting override files to correct problems of fit with our algorithms. We will be unable to process files which are not submitted in this format.

Format of override files

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

11. Overrides to 2006-07 ILR data must be sent as a comma-separated file via the HEFCE extranet. To submit via the extranet go to the 'HEFCE resources' page and, after logging in at <https://extranet.hedata.ac.uk>, click on '2006-07 statistics derived from ILR data', then on 'ILRAM06 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 F.

12. 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 by institution 999999 would be called ovr9999991.amd. The second file submitted would be called ovr9999992.amd.

The override header

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

Line 1: contains the filename (as described in paragraph 12), with the '.amd' extension removed.

Line 2: the date on which the override was submitted, in the form ddmmyyyy. For example 1 July 2008 would be represented as 01072008.

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

Line 4: contains the word 'OVERRIDE'.

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

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

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

Line 8: the field used to compute the file's check sum (see paragraph 14, below).

Line 9: the value of the check sum. Paragraph 14 explains how to choose a suitable field as check sum and explains how to compute its value.

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

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

Line13: the data must begin on this line. Details regarding its format are given in paragraph 15.

Check sum

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

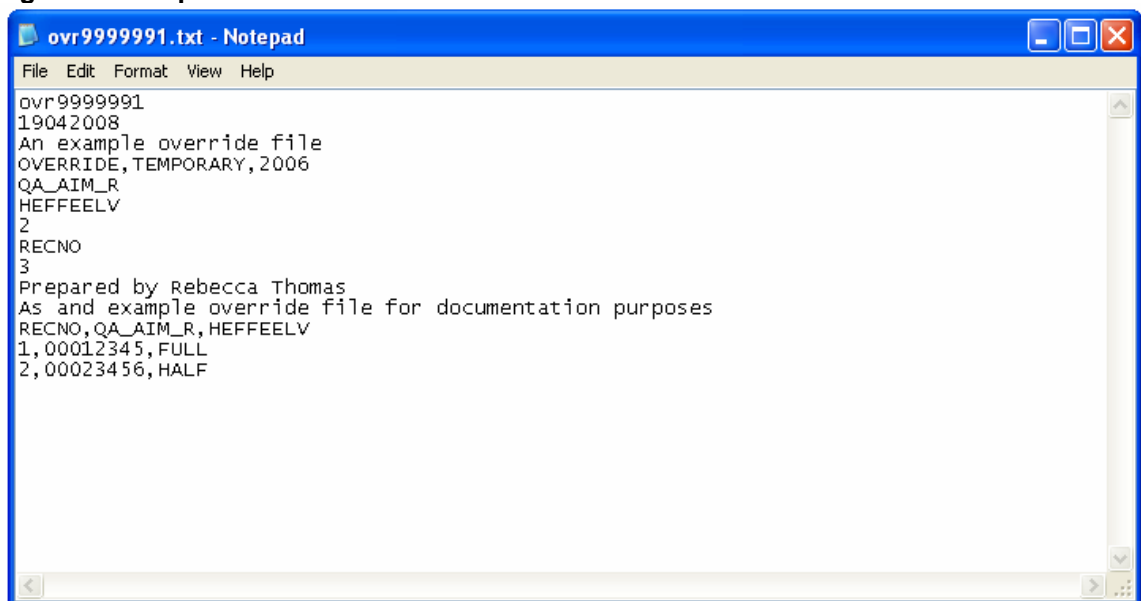
The data part of the file

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

An example override file

The example in Figure 4 will change the fee level of (hypothetical) learner aim 00012345 to FULL and aim 00023456 to HALF. Note the use of RECNO to create a suitable field to allow the check sum to be computed.

Figure 4 Example override file



```
ovr9999991
19042008
An example override file
OVERRIDE, TEMPORARY, 2006
QA_AIM_R
HEFFFEELV
2
RECNO
3
Prepared by Rebecca Thomas
As and example override file for documentation purposes
RECNO, QA_AIM_R, HEFFFEELV
1, 00012345, FULL
2, 00023456, HALF
```

Annex J

List of abbreviations

2006-07 ILR F04	LSC's 2006-07 July Individualised Learner Record
2006-07 ILR F05	LSC's 2006-07 December Individualised Learner Record
ELQ	Equivalent or lower qualification
FAQ	Frequently asked question
FE	Further education
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
LAD	Learning Aim Database
LSC	Learning and Skills Council
SIVS	Strategically important and vulnerable subjects
UKPRN	UK Provider Reference Number
UPIN	LSC's Unique Provider Identification Number
WP	Widening participation