LRB User Guide

February 2016

Audience: LRB Users

Contents

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1   Purpose and structure of this guide

This Guide provides information and guidance for Learner Registration Bodies (LRBs) that sign up to use the Learning Records Service (LRS).

Section 2 provides important operational guidelines on how to **administer and manage users**.

Section 3 provides guidance on managing **Unique Learner Numbers (ULNs)**. There are several steps to managing ULNs, and the Guide describes these including how to set up and manage batch processes.

Section 4 describes in detail how to access and manage the **Personal Learning Record (PLR).**

Section 5 describes **how to find a QCF qualification.** This includes processing **Rules of Combination (RoC)** enquiries, which gives Learner Registration Bodies (LRBs) the opportunity - using selection criteria that help to produce options for learners - to find suitable courses.

The Guide also offers advice and information on best practice, to help you make the most of the LRS, and provide details of how to get further help and guidance.

If any of your users would receive the LRS newsletter - Service News - they can subscribe by going to the GOV.uk website.

2 Operational guidelines for super users

Once your organisation has registered with the Learning Records Service (LRS) it will be referred to as a Learner Registration Body (LRB). You will need to establish managerial arrangements for running the LRS and ensure that appropriate arrangements for data governance are in place.

Once we have checked and accepted your registration, LRS will set up your organisation account on the Organisation Portal and email your nominated Super User with a username and provide a password to enable access to the Organisation Portal.

This section is for your organisation's Super User and will help to:

- Clearly define your managerial arrangements for running the LRS.
- Establish your data governance arrangements.

2.1 Appoint other super users

It is strongly recommended that your organisation has at least three super users to ensure that a Super User is available to unlock accounts, and so on, at any time.

The Organisation Agreement sets out two complementary areas of responsibility which are assigned to the Super User(s) of the LRS:

- Oversight of Data Protection (DP) issues.
- Operational management of the LRS, including managing users, removing those who leave and oversight of procedure and practice.

2.2 Things to consider when creating users

As a Super User creating other users you must consider:

- Internal processes; including how additional users can be set up.

  Depending on the role, this may involve Criminal Records Bureau (CRB) checks. CRB checking is NOT mandated by the LRS. You must set up procedures for requesting a new user account which checks that the person being given access is properly authorised to access the LRS.

- What level of permission is needed for the user?

- Are users aware of their responsibilities in using the LRS?

- Training and awareness about the LRS, including guidance on the use of the FileName field in respect of batches, be implemented.

- How Super Users will deal with internal enquiries, as your Super User must be the first point of contact in your organisation.

- Number of potential users in your organisation.

Please note: the LRS prohibits the creation of 'Guest' user accounts. This will break the responsibility for maintaining access authorisation. The LRS may contact you if we identify any inappropriate behaviour when using our services.

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2.3   User responsibilities

The User Agreement sets out the individual's responsibilities in using the LRS and must be accepted on screen every time a user logs into the LRS Portal. This text is also available in the Terms & Conditions in the footer of the LRS Portal.

2.4   Arrangements for data governance

Whilst the obligations upon each individual user are set out in the User Agreement, the LRS requirements for data governance are articulated in the Organisation Agreement. These documents taken together frame and detail the responsibilities imposed upon the LRB. Ensuring proper practice in handling personal data is a requirement of learning providers, although there is no standard model of practice across the sector.

2.5   Training and awareness

The LRS does not give training courses in using the LRS. The responsibility for user training and awareness lies with you as Super User. LRS does offer a range of support materials (including this Guide) which can be accessed on the GOV.uk website.

2.6 Naming conventions for multiple sites

The LRS registers an LRB as a single legal entity, even if the organisation has multiple sites and users. If you have a number of sites or offices, we suggest you give each its own name which can then be input into the FileName field when submitting a batch job.

This will allow users to filter batch jobs by site using this field on the Organisation Portal. Once the filter is set, it will be applied every time that user logs in, until they remove it. You may want to consider issuing guidance to all your organisation's users regarding the use of this function.

2.7 Privacy notice

The LRS has released standardised texts for Privacy Notices. These are for the benefit of learner providers to incorporate into their course registration and application forms plus administration systems for the next academic year.

A short text version - suitable for inclusion in student and learner facing application forms.

An extended text with simple explanations of how the LRS will use and process the information and data provided to us by Learner Registration Bodies (LRBs). This version is suitable for cascading to students and learners and to be used within your own application and information packs.

Access and download the short and extended versions of the Privacy Notices and the Framework Code of Practice for all Providers.

Please also see section 4.3 to understand the implications for learners regarding the Privacy Notice and the Personal Learning Record.

The learner's wishes should be recorded in the Ability to Share field – see Appendix E.

2.8 Support

For further information and support please contact the LRS Service Desk, open Monday to Friday, 8:00 am – 6:00 pm excluding bank holidays.

Telephone: 0345 602 2589

Email: lrssupport@sfa.bis.gov.uk

Website: https://www.gov.uk/government/collections/learning-records-service

2.8.1 Contacting the LRS Service Desk

When sending information to the Service Desk via email, it is essential that any personal information is encrypted and password protected, with the password given via the phone, or information is given via more than one method of communication (email and telephone). If you do send unencrypted data to the Service Desk, we will email you and your super user to inform you of the breach. Multiple breaches may result in your organisation's account being suspended. We will request that you escalate each security breach to your line manager, and will request that you provide evidence of your organisation's actions to prevent further security breaches.

The following are deemed as the most common security breaches:

- Sharing your account details, or allowing someone else to use your account. Each user should have their own user account, and accounts that are no longer required should be removed immediately. 'Generic' accounts are prohibited.

- Sending a learner's ULN number and any of the 5 demographics (Given Name, Family Name, Date of Birth, Gender or Postcode) in an unencrypted email

- Sending more than one of the 5 demographics in an unencrypted email (Given Name and Family Name are deemed as one demographic in this instance).

- Sending an encrypted file containing learner data, where the password has been sent in the same email.

If your organisation continues to breach after your second warning within 12 months, we will contact your organisation's principal/chief executive directly, and depending on the breach, we may need to report your organisation to the Information Commissioner's Office. For more information regarding encryption and data security, please see the Data Encryption and Passphrase Guidance.

Please note that raising a data challenge on the portal is secure, and we advise that you add learner's details to the additional comments box.

2.9 Logging into the LRS Organisation Portal for the first time

- Open the internet and log on to https://lm.lrs.imservices.org.uk/

- You will be presented with the logon screen.

- Enter your Username and the 'one time' password that has been provided to you by your Super User or, in the case of this being the first time your organisation has used the Learning Records Service, by the LRS Service Desk.

- Select 'Login'.

- You will be presented with the change password screen.

- You will have to re-enter your one time password given to you by the LRS Service Desk or your Super User and then enter and confirm your chosen new password. Passwords must be at least 8 alphanumeric characters long. There has to be at least one upper case alphabetic character, one lower case alphabetic character and one numeric character.

- **NOTE**: Passwords have an expiry set upon them and you will be required to change your password when your password has expired. The system will automatically present you with the change password screen.

- Once you have successfully changed your password you will be presented with the terms and conditions of using the Learning Records Service.

- You must accept the terms of the User agreement in order to proceed to the final screen used to activate your account which captures your answer to a secret question.

- Choose one of the questions from the drop down list and then enter and re-enter your answer. This question and answer will be used to facilitate the resetting of your password in the event that you forget it in the future.

- Once you have successfully completed this step you will be presented with the Welcome page of the Organisation Portal.

2.10 Welcome page

Once you successfully log on, you are directed to the Welcome Page which is unique to the user type and role permissions.

- From this Welcome page you can use the Menu bar and Main menu tabs to navigate around the Organisation Portal.

- The Organisation Portal has a comprehensive set of roles and permissions that governs what every user can and cannot do when logged on.

- The My Account hyperlink provides every user with the ability to update some of their user account details and also to reset their own password.

2.11 Online help

The Organisation Portal provides online help and assistance, via the hyperlinks available at various points within the portal, giving function specific help.

2.12 Your role as a Super User

When your organisation registered as a Learner Registration Body (LRB), the LRS recognised a Super User as the person whose details were supplied on your LRS Organisation Registration form.

An LRS Super User is the highest level organisation-specific role that you can be given. As a Super User, you are responsible for managing all users within your LRB, including setting up additional Super Users. This is to ensure that only the right people have access to LRS, that you maintain your user community and to make sure that the confidentiality of the records of learners is protected.

As a Super User you will be the first contact point for your user community to:

- Create Users

- Update Users - Change in personal and details; Change in role and permission

- Resolve access and password problems; reset; suspend; reinstate

- Remove Users: leavers and movers

- Monitor User activity

So now you must decide how to administer your user community and set up all other users.

Note: From the 1st of April 2016, the Service Desk will not be offering password resets. All password resets and account unlocks will need to be done by your organisation's Super User.

2.13 Appoint new super users and users

Once you as the nominated Super User have accessed the LRS Organisation Portal for the first time, it is good practice to create additional Super Users. The Learning Records Service recommends at least three Super Users per establishment.

To set up additional users

- Select 'User Management ' hyperlink in left-hand navigation

- "Find User" screen is displayed. The Super User must check if the user already has access to the LRS Organisation Portal before a create can be performed:

- Fill in the Given Name and Family Name and select the Learner Registration Body Super User role to tick the box.

- Select 'Find User' – This is to check that the user does not already exist before you create a new record.

- The results screen with a message 'no users match the selected criteria' is displayed.

- Select 'Create User'

- Type in the Given Name and Family Name; the LRS automatically produces a user account name out of the given name and family names.

- Select the tick box next to the 'User Role' you would like to assign the individual – see Appendix A for a list of user role descriptions.

- Complete the e-mail address field as this enables users to use the Forgotten Password option from the login screen to reset their own password

- You will need to enter some information into the Verification Provided box – this could be staff ID or a school email address.

- If you have additional information such as a telephone number you could add it to the data, but only the fields marked * are mandatory.

- Select 'Create User'. The Super User is now created shows the Super User's Username and Password. Copy these carefully and send them to the new Super User/User.

- Select 'OK'.

- The next screen shows a summary of the User you have created.

- When the additional users login for the first time they will be required to change their password. This allows the user to choose a more user friendly password.

2.14 Update an existing user account

- Select 'User Management 'Tab; "Find User" screen is displayed

- Search by Username (if known) or Given and Family name

- Check the Status is set to "Active"

- Select "Find User"; "Find User Results" screen is displayed

- Select the radio button next to the user whose account details you wish to update

- Select 'Update User'

- The following details can be updated:

    o Title, Given name and Family name

    o Telephone landline and mobile numbers – optional

    o Email address

    o Verification provided – confirmation of your internal authorisation procedure.

    o Staff ID or Your reference – optional

- You may use this screen to update the roles allowed for your own Super User account.

- Select 'OK' to continue.

2.15 Delete/remove a user account

Don't leave user accounts open for people who no longer work for the organisation. This is important; if an account is left active, that person could still access the Portal online and potentially misuse the service. These activities will still be associated to your organisation and you will be held responsible.

Remove a user account as soon as the user has:

- Left your organisation

- Moved to another organisation which is also an LRB

- Taken on a role that no longer needs access to the Organisation Portal

- Ceased being sub-contracted to your organisation

To delete a user account:

- Select 'User Management 'Tab; "Find User" screen is displayed

- Search by Username (if known) or Given and Family name

- Check the Status is set to "Active"

- Select "Find User"; "Find User Results" screen is displayed

- Select the View User link next to the user whose account you wish to delete

- Select 'Delete User' option'

- Select 'Delete' to go ahead with the deletion of the account or 'Cancel' to return without deleting the account screen

- **NOTE: due to a current defect in the system, you are only able to delete accounts that are in "active" state. To delete a suspended account, first reactivate the account then use the "Delete User" button.**

2.16 Verify identity

You may receive requests to amend user account details or reset passwords from your users who may be geographically dispersed. The LRS offers you a facility to check the identity of the remote user:

- Select 'User Management 'Tab; "Find User" screen is displayed

- Search by Username (if known) or Given and Family name

- Check the Status is set to "Active"

- Select "Find User"; "Find User Results" screen is displayed

- Select the View User link next to the user whose identity you wish to verify.

- Select 'Verify Identity'.

- The secret question that the user has selected when activating their account will be presented:

- Ask the user for the answer to the question and key it in. Select 'Update' to commit the changes made. You will see a confirmation screen

- Select 'Verify'. If the answer supplied was correct, you can continue. If the answer had been incorrect, the message in the response box would be in red.

- Select 'Ok'.

Note: the answer is not case sensitive, so 'taylor' will match against 'Taylor' for example.

2.17 Reset password

When a user has used the wrong password 3 times without entering the correct details to access the Organisation Portal, that user's account will be locked. Only a Super User can reset the password of users registered to use the LRS portal.

Note: Users can reset their own password as long as they have an email recorded against their account. This will allow users to the use Forgotten Password option available from the login screen of the LRS Organisation Portal.

If you wish to deny a user (for any reason) access to the Organisation Portal, you can change the user account status to 'suspended'.

To unlock an account:

- Select 'User Management 'Tab; "Find User" screen is displayed

- Search by Username (if known) or Given and Family name

- Check the Status is set to "Suspended"

- Access the user account and change the status to 'active' to reinstate the account.

- The account is now active again and the password will work.

To reset a password:

- From the user's account screen, select 'Reset Password'

- 'Confirm' if you wish to proceed with resetting the password or 'Cancel' to exit.

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The LRS displays the new one-time password for the selected user. You need to send this to the user. The user will be asked to change the password when they next log on.

2.18 Monitor users activity

The LRS recommends that you audit your user community annually, to check whether all your users are still using the LRS and whether they still hold the right level of access.

You can find all your organisation's users on the Portal. Just go to the 'User Management ', leave the 'find user' criteria blank and select all of the roles and select 'Find User'. The Portal will generate a full list of users where you can review your user's roles.

2.19 Change of super user

The initial Super User detailed on your Organisation Registration form is the LRS primary contact point. If you or another Super User changes roles or leaves the organisation, please ensure that you have set up additional Super User(s) before you leave, and give them any required training.

2.20 Contract staff or third party organisations using the LRS

From time to time, you may hire contract or temporary staff to help within your organisation. As part of their role they may need access to the Organisation Portal. These staff must be subject to the same checks that protect confidentiality following your organisation's policy.

If another organisation is contracted to do work for your organisation and needs access to the Portal, it is your responsibility to give them access as users belonging to your organisation. This will ensure that all transactions that are conducted for your organisation are audited as belonging to your organisation.

If you are an agency working for a number of different LRBs, you will have to use separate user logons for each organisation you are working for.

2.21 Lost your only super user account?

In the unfortunate event that your Super User account is suspended or your Super User account holder has left the organisation, and you have no other Super Users, the LRS will create a new Super User account for you.

To request a new Super User, please complete in the Change of Super User Form and send it to the LRS.

3   Unique Learner Number (ULN) Management

This section of the Guide tells you how to obtain and manage Unique Learner Numbers (ULNs) through the LRS Organisation Portal.

Once your organisation has registered with us you need to decide the best approach for managing your ULNs. The options are:

- **Manually create ULNs through the LRS Organisation Portal** - If you have a group of up to 50 learners, this is probably the quickest way to get them. For more information and guidance refer to section 3.1.

- **Use the Batch process** – More than 50 learners prepare batch files containing multiple learner details and submit them manually using the LRS Organisation Portal. The Output file can be downloaded and uploaded back into your system. The output file may also contain exceptions which needs manual intervention to resolve. For more information and guidance refer to section 3.2.

- **Web Services** – If you choose to use web services, your management information (MI) software is linked into the Learner Register, automatically updating the LRS. The MI software may assist in the resolution of the exceptions. This is the preferred method but does rely on your own MIS Vendor or software supplier providing the interface with the Learner Register. For more information about how to register as a developer visit the GOV.uk website.

3.1 LRS Organisation Portal (Manual)

3.1.1 Find individual ULNs by personal details

Before registering a new ULN the system will perform a find to check if a ULN already exists for the individual.

From the top of the Organisation Portal:

- Select 'Learner Management'

- Select 'Find a learner' - You can see the 'Find a Learner' which contains two forms. You need to work with the right hand form 'Find by Personal Details'

- Enter 'Given name' and 'Family name' of the learner whose ULN you are looking for

- Enter the 'Date of birth' from the drop down menu.

- Select the 'Gender' from the drop-down menu.

- Enter the last known 'Postcode'. As a last resort use the ZZ99 9ZZ – if there is no possibility of obtaining a postcode from the learner.

This completes the mandatory fields, but if you know of a Previous Family Name, it would be useful to enter it as well to improve your search results:

- Select 'Search.' The results screen is displayed

- Check the details you entered as you can amend the details and 'Search again'. Take a look at Appendix B for more tips on searching for learners.

- If you are unable to find a ULN, select 'Register this learner' to register the learner. See section 3.1.2 for more information.

3.1.2 Register the learner (find by ULN unsuccessful)

You have searched using the tips for searching but there is no record of a ULN for your learner. So you need to register this learner for a ULN.

- Select 'Register this learner'

- Enter as many further details as you can onto this screen to help identity this learner in future searches.

- Complete all mandatory fields including;

    o Verification Type - A learner' identity should be verified at enrolment. Although a lack of proof of identity should not prevent enrolment. When a learner's identity cannot be verified it must be verified at a later date. (Appendix E)

    o Ability to Share – You can make your learners aware of the way their data can be used by ensuring they have read or have access to a Privacy Notice. An example of a Privacy Notice can be found on the LRS website. For list of the status' (Appendix E)

- Select 'Register learner'

- **You now have a ULN for the learner – use the copy and paste hyperlink to copy the ULN into your MI Database, and tell the learner**. Remember to use the ULN in future if you need to access this learner's ULN record or Personal Learning Record in the Organisation Portal.

- Select 'View learner profile' to view the learner's ULN record or select 'Register another learner' to create another ULN for another learner

3.1.3 Register individual ULNs – Using Fast Track

If you are confident that the learner doesn't already have a ULN, a new learner can be registered through the Organisation Portal using the Register Learner (fast track option).

- Select 'Learner Management' and then 'Register Learner'

- Fill in the Given Name, Family Name, Previous Family Name (optional).

- Enter the date of birth – (using the drop down menus).

- Select the Gender from the drop-down menu and enter the last known postcode – if there is none available then as a last resort use the default postcode ZZ99 9ZZ.

- Select the 'Register' button.

- The LRS will perform a search for any learners that match the details entered. If any matches are found, the system will display them.

- If a match is found but you still wish to register this learner, click the 'Register this learner' button on the results screen.

- Alternatively, if no matches are found the system will display the Register Learner - details screen.

- Note that the mandatory information has been transferred from the search screen – add in as much more information as you can

- Select Verification Type from the drop-down. Pre-16 schools should use the Relationship with School entry.

- Select Ability to Share – hopefully this will be FPN seen and able to share data – See Appendix E for more information regarding the Privacy Notice.

- Add in any other information you may have to help identify this learner in future searches and then click 'Register learner'

- You now have a ULN for the learner – use the copy and paste hyperlink to copy the ULN into your MI Database, and tell the learner. Remember to use the ULN in future if you need to access this learner's ULN record or Personal Learning Record in the Organisation Portal.

- Select 'View learner profile' to view the learner's ULN record or select 'Register another learner' to create another ULN for another learner.

3.1.4 View, Add or Update learner's ULN details

- On the 'Welcome Page' or on the 'Find a Learner Page' go to the left-hand form 'Find a learner by ULN.'

- Enter the learner's ULN, Given Name and Family Name and select 'Search'.

- On the Results screen select 'View profile'. You will now see the 'View Learner Profile' screen.

View Learner Profile screen holds all the personal and contact details of the learner plus dates and times of when the record was created and last amended, as well as any linked ULNs (these are other ULN records that have been merged to make this ULN the Master ULN).

Here you can check the learner's details, and add further details or update information (refer to section 3.1.4 for tips for updating a learner's details):

- Select 'Edit Details' at the bottom of the screen.

- Refer to Appendix C – Create/Update learner fields for more information on field requirements.

- Once all the fields have been updated select 'Save changes' to update the learner's ULN.

3.2   Batch Process

The Organisation Portal is useful for obtaining individual ULNs, but a faster and more effective method is to use the batch process.

3.2.1 Create a batch file – Important Information

To create a batch file you need to have access to the LRS Batch File Toolkit available from the GOV.uk website. The Batch Toolkit includes the following documents which will help you produce and upload your batch file, as well as dealing with any exceptions:

- **How to prepare an LRB batch file**: this technical document describes the fields and the content

- **Data encryption and passphrase guidance:** this document reminds users about security when using the LRS portal, and when contacting the Service Desk

- **LRB batch file quick reference guide:** this is a quick reference guide for experienced LRB batch users, which contains the core information from the full guidance, particularly useful when trying to resolve validation errors

- **Managing exceptions user guide:** this document is for use after you've submitted a batch file, and have exceptions that require processing.

- **CSV file template**: the template uses Microsoft Excel

- **Batch file examples**: there are examples of CSV and XML batch files for training purposes

- **Validation Tool**: The tool checks and assists users with batch validation issues prior to its upload to the LRS Organisational Portal. Note: Ensure you have read the system requirements and that you have the required software on your computer.

The toolkit is a set of technical documents which describe exactly how to set up the data within the file and needs to be followed precisely to create the CSV file.

3.2.2 Update ULN data using batch

A batch file can create or update ULNs. If updating ULNs, please note updates will only occur as follows:

- The five mandatory fields (Given Name, Family Name, Date of Birth, Gender or Last Known postcode), will only be updated if the Verification Type value is set to a value higher than 0 = none provided.

- If updating Given Name or Family Name, the above applies as well as the name needs to match the database value on a fuzzy or synonym (known alternative of the name).

- If updating the Address fields the five mandatory fields must match as explained in point 1. An update will be performed if at least 1 of the 4 address fields supplied in the batch file is completed.

- The batch file field contains a value and the same field in the ULN record is blank.

- The Verification fields will be updated as a group with the values in the batch file whether the same as the LRS or not.

- Ability to Share Ability to Share field has previously been set by the learner then this cannot be reset by any values in the batch file. Similarly, it cannot be updated to "0 = FPN Not Seen" if the field was previously set to one of the "FPN Seen" values.

If updating the learner's details, the minimum data content for each learner for the batch file is: ULN, Given Name and Family Name. If creating a new ULN, the minimum data content for each learner is: Given Name, Family Name, Postcode, Date of Birth, Gender, Ability to Share, Verification Type (ID) and if applicable, Verification Other Description.

3.2.3 Upload the batch file

Once you have created your batch file, you are now ready to upload your batch file to the LRS Organisation Portal

- Select 'Learner Management'.

- Select 'Submit Batch Registration'.

Now choose your submission type from the dropdown menu. You are going to submit a file for 'Full Submission', so

- Select the 'Full (FUL)'. (You would use the 'Verification only (CHK)' submission if you already had ULNs for your learners).

- Use the 'Browse' button to locate the batch file on your computer. Then Select the 'Upload File' button. (The file is processed at regular intervals throughout the day)

Make a note of the Job ID Number, to identify your file.

- Select 'Submit another file' to submit another batch file, if you need to or select 'View job list' to see that status of your file (section 3.2.4).

If your file has been correctly prepared, you should see a success message.

3.2.4 View Job List (batches)

Once you have uploaded your batch you can view all batch jobs uploaded in the last 90 days:

- Select 'Learner Management'.

- Select 'View Batch Registration'.

- You can identify the file you are interested in from the 'Job ID' column.

- If the 'Status' column shows 'Waiting', you have the option to remove the file from the list and cancel the batch process for that file.

- If the 'Status' column shows 'Successful' you have a choice of hyperlinked options in the right hand column.

- You can select 'Download output file' – allows the file to be downloaded in the same format it was uploaded (either CSV or XML).

- You can select 'View exceptions' to process the exceptions for just a particular batch file. (section 3.4)

- You can select 'View Job Details' for each processed file, which will display the Job Id, Organisational File Name, Type, Status, User, Date and Time including:

  o Total number of records overall

  o Total number of records with each return code (section 3.3)

3.3   Return Codes RC001-RC011: what they mean

Once a batch file has been processed, an output file is available which contains a list of return codes (Appendix G). These codes describe whether a ULN has been found, a new one created or if an Exception has been found which needs to be investigated (section 3.4).

'Return Codes' tell you what has happened to each learner record in your file. Some of these codes indicate a warning or error message to explain the reason for failure – these are call 'exceptions'. There are 11 different return codes, but not all of them indicate exceptions (refer to Appendix G)

3.3.1 RC001-RC005

These return codes all represent 'Return Codes' require no further action to be taken by you (refer to Appendix G).

3.3.2 RC006-RC011

These return codes all represent 'exceptions' and further will be required by you (for more information about these codes refer to section 3.3 and Appendix G)

3.4 Batch exceptions (RC006-RC011)

Exceptions need to be resolved so that the learner's ULN can be obtained or updated. This usually means checking that the learners' details are correct. The different Return Codes relate to issues with the data in your batch file and need further action to resolve.

The Batch Exception process provides an online procedure to help Learner Registration Bodies provide additional and corrective information to improve the processing of Batch Exceptions.

The output file can be used to update your own MI database with new ULNs and the Exceptions should be 'processed', for example, investigated.

There are two ways to enter the exceptions process:

- Analyse the exceptions for an individual batch, or
- View all outstanding Exceptions for all batches for your organisation.

3.4.1 Viewing batch exceptions

You can view all the exceptions in your organisation's files together, or view the exceptions for a single batch file. The actions that you take within the LRS and the options available to you are the same in either case.

To view all exceptions for your organisation:

- Select 'Learner Management' from the main tabs on any screen
- Select 'View Exceptions'. You will now see the 'Exception List' screen.

To view the exceptions for a single batch file:

- Select 'Learner Management'
- Select 'View Batch Registration'; the "View LRB batch job" screen is displayed
- Find the batch you wish to resolve the exceptions for
- Select 'View exceptions' hyperlink; the "Exceptions List" screen is displayed

The "Exceptions List" screen shows all the exceptions that:

- match the current filter set. *Your filter criteria will be saved and will continue to be applied across user account sessions until they are either cleared using the 'Clear Filter' option, or amended.*
- totals for the number of exceptions that match the filter
- number of unique exceptions shown in the table, and the number of duplicates of those that are hidden. The first number will always be the sum of the other two.

3.4.2 Processing batch exceptions

This section explains how you can resolve any exceptions which require further attention:

- Duplicate exceptions

- RC006, RC007, RC008,
- RC009 - RC011

3.4.2.1 Duplicate exceptions

If an organisation submits the same learner details multiple times, and receives the same return code every time, these will be marked as duplicates, and only the most recent one matching the filter will be shown in the list. These are identified by the link "Process Duplicates" which will take you to the "Process Duplicates screen".

Selecting 'Process all' from the "Process exception summary" screen will resolve all the duplicates, whereas selecting 'Process single' will only resolve a single exception.

Note: the "Process exception summary" screen will show all duplicate exceptions across all batch files, no matter what filter settings were applied to the exceptions list. Therefore, the number here may be higher than the total number of duplicates displayed on the exceptions list page.

3.4.2.2 RC006 Insufficient data to create a ULN

RC006 is returned when LRS failed to create a ULN because one or more of the mandatory fields has not been supplied particularly Verification Type and/or Ability to Share not supplied.

Steps to process RC006

- From the view exceptions screen select the 'Process' hyperlink on the far right column of the individual record.
- You have two possible options – 'Cancel' or 'Register New Learner'
- If the 'Cancel' option is selected, you return to View exceptions screen.
- If the 'Register this learner' option is selected, you will need to complete a new registration.

3.4.2.3 RC007 Possible Matches

RC007 is returned when you have tried to register a learner for a new ULN but the system believes one exists.

Check:

- Has the learner moved address and the postcode needs updating.
- Date of birth; day and month has not been transposed
- Is the learner's name different from your records i.e. Your records show the learner's full name but LRS holds the learner's preferred name.
- Has the learners gender been recorded correctly; 2=Female, 1=Male

Steps to process RC007

- From the exceptions list select the 'Process' hyperlink on the far right column of the individual record.
- The possible matches are listed and an option '+' to expand one or more of the searched results to check that it is the record that matches with your entry.
- Once you have reviewed the list select your learner by ticking the checkbox

- Once the checkbox is selected, 'Select this learner' and 'Select and update learner' button are enabled;
    - o 'Select and update learner' button displays the 'View learner profile' screen.
    - o 'Select this learner' processes the exception only
- Once selected the exception will be deleted from the exceptions list.
- Finally there are two other options within this display - 'Return to exceptions list' will return you to exception list. The option to 'Register new learner' will only be displayed, if no checkbox is selected.

3.4.2.4 RC008 Too Many Possible Matches

RC008 is returned when the system failed to find/create a ULN, the LRS found more than 10 possible matches.

Check:

- You are not searching using the default or establishment postcode
- Try including a previous family name in your batch file

Steps to process RC008

- From the exceptions list select the 'Process' hyperlink on the far right column of the individual record.
- You will be presented with a screen with a message "Too many records match your search results"
- If you are still unable to match a ULN, create a new ULN through the LRS Organisation portal.

3.4.2.5 RC009 – RC011

These exceptions may have an issue because some of the details are wrong or missing.

The details provided in your file are used to populate both the 'Provided details' and the 'Find by Personal Details'. If you are processing multiple duplicate exceptions, the MIS Identifier field will show a link to a pop-up window listing all of the MIS Identifiers for the duplicates that are being processed.

- **RC009** is returned when the ULN supplied in your original file has not been recognised by the LRS (serious error).
    - o Check; ULN, Given and/or Family name in the database against those submitted in your CTF file.
- **RC010** is returned when one or more of the mandatory fields is blank apart from Given or Family Name
    - o Check; All mandatory fields have been completed; gender, date of birth and postcode.
- **RC011** is returned when the learner record submitted in the original CTF file contained data which does not meet LRS formats.

Check:

- The learner is aged 14 years and above

- A valid verification type code is supplied; between 0 and 7 as well as 999. If 999 is selected; Verification Other Description field must be populated.

- Check none of the fields contain prohibited text. A list of prohibited values is available from the LRS Service Desk.

- "Last Known Postcode" field does not contain a prohibited postcode value.

- The "Ability to Share" field has a valid code; 0, 1 or 2

Steps to process RC009-RC011 Exceptions

- Complete and/or update the information, including the mandatory fields will allow the full registration of a new learner and will return a Unique Learner Number

- From the exceptions list select the 'Process' hyperlink on the far right column of the individual record.

- You have two possible options – 'Cancel or 'Register New Learner'.

- When you select 'Cancel' look at the 'Find by Personal Details' fields and enter any missing information or change anything that is incorrect.

3.4.3 Next steps – completed processing exceptions

- Exceptions are deleted automatically after 45 days. However IF;
  - Select this learner
  - Select and update this learner or
  - Register new learner buttons are chosen, some management is still required.

- From the Exception list or Process duplicate exceptions screen; select the check boxes of exceptions to be deleted and click the 'Delete selected records' button.

Once you have completed exception processing, the function to 'Export my processed exceptions' should be used to download a file to enable you to update your organisation's database with your processed exceptions:

- From the "View exceptions screen"

- Select the 'Export processed exceptions' button which takes you to the "Export my processed exceptions" screen.

- Select the same format you used to upload the file so the file can be loaded in your database. When you select a radio button the download button will be highlighted.

4   Personal Learning Record

4.1   Access the Personal Learning Record

The Personal Learning Record (PLR) is an electronic folder which details in one central place online all the awards, learning Achievements and qualifications of a learner.

Only LRB Online Users or View Only Users can access the PLR as long as the learner has agreed to share their PLR. For more information refer to section 4.3.

4.2   Information displayed on the PLR

Data for the PLR is obtained from three sources:

- National Pupil Database (NPD) for Key Stage 4 and 5 qualifications.

- Periodic Individualised Learner Record (ILR) returns to the Data Service, as long as a valid ULN and UKPRN are included within the ILR and they match the learner's details.

- Awarding Organisations are able to upload QCF qualifications and National Qualification Framework (NQF) qualifications regulated by Ofqual.

Data from the NPD and ILR returns has been uploaded since summer 2008; therefore learners cannot expect to find data about learning achievements prior to this date included in their PLR.

4.3   Privacy Notice – unable to share data

In order to allow both the learner and others to access the learner's PLR, you must ensure that a copy of the Privacy Notice has been shared. The Privacy Notice provides an explanation of the way in which the learner's data may be shared with different organisations.

A copy of the LRS Privacy Notice can be found on GOV.uk website.

After reading the Privacy Notice a learner must be given the opportunity to opt out of sharing their PLR (qualification and participation data or learning events). This is something your organisation is responsible for but we recommend you encompass this as part of your enrolment process.

If a learner chooses to opt out of sharing their PLR the following steps are required:

- The learner or training provider must switch off the "Ability to Share" flag. The learner can change their data sharing settings through the National Career Service by opening a Life Long Learning Account (for more information visit the National Careers Service website).

- The learner cannot opt out of sharing their Unique Learner Number.

- If the learner chooses to opt out of sharing their PLR please explain the implications below:

  o Only the learner will be able to view their learning events on the PLR.

  o Learning providers will be prevents from viewing the learner's PLR, the link to the PLR will not be displayed.

4.4   View a PLR

To find a learner's PLR you will need to carry out a search either by Unique Learner Number (ULN) or by personal details:

- Select the 'Learner Management' and then 'Find a learner'.

- Enter the learner's ULN, Given Name and Family Name.
- Select the 'Search' button:
  - If no exact match is found the Find Learner's Results screen is displayed.
  - If an exact match is found you are taken directly to the View learner profile screen.
- Select the View Personal Learning Record hyperlink to view the learner's PLR

Each of the records display with up to eight fields of data (not all of the fields are populated) including:

- **Subject** – displaying the title of each record and include a hyperlink to view qualification details
- **Level** – Level of the award from Entry Level – Level 8 (or could be blank).
- **Grade** – Generally showing the grade of the award or 'Pass' or 'blank'.
- **Credit** – displaying the amount of Credit achieved for record.
- **Source** – will be NPD, ILR or AO
- **Start Date** – if applicable
- **End Date** – if applicable
- **Award Date** – Date of the Award or Achievement

All of the above details are held in columns which can be sorted, using the down arrow, either in ascending (first select) or descending (second select) order. If several pages of records are available for the displayed learner, then all records are used within the sorting process and redisplayed.

The Credits and Units can be viewed by selecting the Credit and Units tab, showing the list of credits and units along with Level, Grade, Credit and Award Date. Once again all the columns can be sorted by selecting the down arrow on the header of each column name.

All the subjects have a hyperlink which can be selected to view more information on that particular subject or qualification:

The source of the About this Qualification data is the Regulatory IT System (RITS).

You can also see the Status of the qualification; Provisional or Final and whether or not the qualification is under data challenge. Only NQF qualifications can have a Status of Provisional. All QCF qualifications are treated as Final. When under data challenge. A View details hyperlink will become available which will redirect you to the View enquiries screen so you can see the current status.

4.5   Create a report

A PLR report can be downloaded by LRB's for individual learners to include one or more achievement/participation records:

- The report can accessed via the Create a Report tab on the PLR screen.

A screen displaying all qualifications and events listed in date order will appear. There are check boxes on the left hand side of each record – all check boxes are ticked ready for reporting.

- If there are any of the records that you do not wish to see in the report, simply un-tick the relevant check boxes.

- Select "View my report"

- The report will be displayed in PDF format and choose from one of the following options: "save" for future use OR "open", giving a read only version of the report. From here you can save and / or print the report as required.

Note: if you need to download a viewer for a PDF, select the hyperlink to 'Download Adobe Acrobat Reader to view your report' and follow the instructions on the screen.

4.6   Audit information on viewing a PLR

An audit record of who has viewed a learner's PLR is held within the LRS and can be accessed by contacting LRS Customer Help Desk. This information will only be made available to the learner themselves, in line with guidance from the Information Commissioners Office (ICO). For a learner to request this information they must be able to provide their ULN, Family Name and Given Name (exactly as entered in the LRS).

If the learner cannot provide this information, the LRS Service Desk will not be authorised to disclose any information.

4.7   Report a Problem – ULN or Learning Event

Part of the quality control process and procedures, you can Report a Problem (known as a Data Challenge) with a learner's ULN or Learning Event(s) (qualification/unit) data showing on PLR.

4.7.1 Report a ULN Problem

The Data Challenge process allows you to identify a data issue with a learner's ULN. A data issue could be one of the following:

Enquiry Type	Identified Problem Type	Information required to Report a Problem
ULN has been incorrectly created	- Duplicate ULN, for example, a learner has been given a second ULN - Fictitious or fraudulent ULN	- Both ULNs that you suspect the learner has. - Which ULN is the master and which ULN is the duplicate - If data on the ULNs are significantly different then please give a reason for the merge request. E.g. if the ULNs have different post codes please confirm that the learner has lived at both addresses.
ULN has been incorrectly merged	ULN de-merge	- Both ULNs that need to be de-merged. - The reason why they need de-merging.
ULN has other unspecified problem	Two people sharing the same ULN	Please give as much information as to what the

	• Deceased learner • ULN incorrect as details have changed (learner is therefore using another learner's ULN) • Other ULN problem	issue is.

Data Challenge process is only for instances where the LRB cannot resolve the issue themselves and also includes issues raised by the learner. Instances where a data issue can be corrected directly by an LRB are:

- Wrongly spelt/Incorrect Name

- Wrong/Incorrect Address

- Opting out settings

- Date of Birth

These can be changed using by updating the learner's details – see section 3.1.4.

4.7.1.1 Steps to report a ULN problem

- Select the Report a ULN Problem button from the "View Learner Profile" screen.

- Select the type of data issue from the list of options (table 6 above).

- Explain what your organisation believes the required corrective action is.

- Complete your name, email address and telephone number so that you can be contacted should any questions arise.

- Finally, select the 'Finish' button to submit your request.

- Make a note of enquiry reference number should you wish to contact the LRS Service Desk.

Please ensure that you include as much information as you can when reporting a problem. If the LRS Service Desk does not have enough information they will need to get in contact with you for further information which will delay the issue being resolved.

4.7.2 Report a PLR Learning Event Problem

You can report a problem (also known as Data Challenge) for any of the PLR Learning Events. This is a 4 step process:

- **Step 1**; select the 'Report a Problem' button from the PLR display will give a drop down box with a number of options:

  o Information on one of the qualifications is wrong (section 4.7.2.1)

  o One of the qualifications does not belong to this learner (section 4.7.2.2)

  o One of the qualifications appear more than once (section 4.7.2.3)

Note: When you are reporting a problem, remember that the Learning Events available are those after summer 2008. Even data after this date may be missing as it may not have been possible to uniquely match the learner with their qualification data from the data sources used to populate the record.

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- Once you have selected an option from the drop down box, select Next. Each of the options listed above will now be detailed over the next few pages: steps 2 - 4.

4.7.2.1 Information on one of the qualifications is wrong

This option can be selected when the learning event appears in the PLR but the details are incorrect:

- **Step 2**: Choose the qualification that you are reporting by selecting the appropriate radio button in the 'Select' column

- Select 'Next' to proceed to step 3 of the process. Note that there may also a separate 'Next' button for further pages of qualifications.

- **Step 3**: Details of the chosen qualification appear in a form allowing you to edit the fields, so that correct information can be entered, for that learning event. Changes should only be made if they do not match Awarding Organisation certificates. Enter the changes and then select 'Next'.

- **Provide**: as much additional information as possible,

- **Step 4**: You must provide your name and contact details (valid email address and telephone number) in case we have any further questions. Note if you would like the enquiry to come back to another member of staff, their details can be entered in here.

- Select 'Finish'.

- Once your enquiry has been successfully submitted, you will see an enquiry reference number; make a note of this number in case you need to contact the LRS Service Desk.

- Select 'Continue' to return to Report a Problem step 1.

4.7.2.2 A learning event does not belong to the learner

This option can be selected when the learning event does not belong to the learner:

- **Step 2**: Select the radio button from the "Select" column against the qualification that you are reporting

- Select 'Next. Note that there may also a separate 'Next' button for further pages of qualifications.

- **Step 3**: The record that is being challenged as not belonging to the learner is displayed. This gives the opportunity to check the details, cancel or go to the previous screen.

- Once the details have been verified, select the 'Next' button.

- **Provide**: as much additional information as possible,

- **Step 4**: You must provide your name and contact details (valid email address and telephone number) in case we have any further questions. **Note** if you would like the enquiry to come back to another member of staff, their details can be entered in here.

- Select 'Finish'.

- Once your enquiry has been successfully submitted, you will see an enquiry reference number; make a note of this number in case you need to contact the LRS Service Desk.

- Select 'Continue' to return to Report a Problem step 1.

4.7.2.3 A duplicate Learning Event

This option can be selected if one or more qualifications is duplicated:

- **Step 2**: Select the two qualifications which you wish to report (two events need to be selected, in order to proceed to the next stage of the procedure).

- Select 'Next'.

- **Step 3**: The record that is being challenged as not belonging to the learner is displayed. This gives the opportunity to check the details, cancel or go to the previous screen.

- Once the details have been verified, select the 'Next' button.

- **Provide**: as much additional information as possible,

- **Step 4**: You must provide your name and contact details (valid email address and telephone number) in case we have any further questions. **Note** if you would like the enquiry to come back to another member of staff, their details can be entered in here.

- Select 'Finish'.

- Once your enquiry has been successfully submitted, you will see an enquiry reference number; make a note of this number in case you need to contact the LRS Service Desk.

- Select 'Continue' to return to Report a Problem step 1.

4.7.3 View data challenge history

A list of previously opened data challenges for a given learner can be viewed on the Organisation Portal.

- From the View learner profile screen, select the 'View enquiries' button.

- To view the details of any data challenge, click the 'View Details' hyperlink.

- If the data challenge has not been previously resolved or withdrawn, it can be withdrawn by clicking on the 'Withdraw enquiry' button.

- Select the 'Return to enquiry list' to go back to the first screen.

5   Find a QCF Qualification

The Welcome screen, presents a form for the Find a QCF Qualification function, available to a Learner Registration Body (LRB) Online User and LRB View Only User. This feature allows you to browse QCF Qualifications and to select Units which will make up a qualification.

The Qualifications and Credit Framework is a way of recognising achievement through the award of credit for the achievement of units and qualifications. This function is designed to give quick and easy access to Qualifications within the QCF and to give users the opportunity to search and produce suitable combinations.

There are two versions of the Find a QCF Qualification:

- a search that links to a learner's achieved units available from the PLR and

- a generic search that does not use any information within a learner's PLR (generic anonymous refer to section 5.1)

The Find a QCF Qualification can be developed into Rules of Combination enquiries. The Rules of Combination refer to regulatory rules around how QCF qualifications must be designed. These rules, in combination with the design of the qualification, determine what credits a learner must achieve to be considered to award for a qualification.

5.1   Find a QCF qualification – generic (anonymous)

This section takes you through the generic option and is suitable for a one on one discussion or for group sessions when carrying out careers advice.

- From the homepage on the LRS Organisation Portal complete the "Find a QCF Qualification" fields: The search allows you to enter key details to help find relevant qualifications.

- Search fields:

  - **Keyword**; performs an exact match on the word(s) provided and returns results with those words within the title of the qualification. If more than one word is entered, then these words must appear exactly in the order as entered on the screen.

  - **Level**; all qualifications have a level between Entry Level and level 8. The level is chosen from options within a drop down box.

  - **Size**; volume of learning. There are three types of qualification size:

    - Awards (1 to 12 credits)

    - Certificates (13 to 36 credits)

    - Diplomas (37 credits or more)

  - **Sector Subject Area (SSA)** – select a subject area from the drop down list. SSA are used to find qualifications within sectors which correspond to relevant subjects.

- Select Search.

If your search details find more than 100 records, the "More search options" screen is displayed to allow you to refine your search criteria. The "More search options" screen includes the same fields listed on the "Find a QCF Qualification" plus two additional fields:

- Reference Code – the reference code must be entered with the slashes and needs to match exactly with a code held by the Ofqual Register of Regulated Qualifications

- Offered In – the country codes regulated by Ofqual are listed and they are England, Wales and Northern Ireland. More than one can be selected using the appropriate check boxes.

To proceed you must select and/or supply information for one or more of the following fields; 'Keyword', 'Reference Code' or 'Subject Sector Area';

- Select Search.

- You will be presented with a results screen matching the criteria provided:
  - Results can be sorted by; column title.
  - For multiple pages of information you can select 'View All' from the 'Show' dropdown box to display all selections found or choose a page number or 'Next' to move to the following page.
  - Select; "Export" to generate a PDF report detailing the search results and search criteria. This may be viewed, downloaded or printed.
  - Each of the qualification titles appears as a hyperlink (see the next step for more information)

- Select a qualification (hyperlink) and this link will open a further screen with details about the qualification.

- This screen is split into two sections;
  - 'About this Qualification'; name of the owning organisation, Level, Sector Subject Area, Grading Structure, Total Credits, Minimum Credits at Level and Minimum Guided Learning Hours. This information can be hidden by selecting the toggle, '-', and expanded by selecting '+'.
  - Structure of the qualification; Grouping of Units.

5.2 Grouping of Units

This section provides more information about the "Grouping of Units" and its purpose.

- Each Group can have minimum credit, maximum credit, minimum components and maximum components. The minimum credits and minimum components for each group are displayed on the screen. The maximum constraints (limits to overachievement) are also used when calculating the levels of credit.

- You have the choice to either open up a single group or all the displayed groups. Selecting '+', shown alongside a group will open display all the details of that group, whereas selecting 'Expand all' will expand all groups within the qualification.

- The Total Credit and Credit at Level that must be met are shown in the header line and are the aggregate of the various credits that are selected using the check boxes, displayed between the level and the amount of credit for that unit.

- The 'Minimum Credit at Level' must also be achieved – credits for units may be awarded at different levels. This value is the amount of the total credit that must be at this level of the qualification or above. (At a minimum this will be 51% of the total credit but may be more).

5.2.1 Grouping of Units – process

- Select 'Default to View' will return the display to the default view and has the opposite effect of 'Expand All';

    - Some qualifications can have many group and units. For qualifications that may be displayed over several screens, the 'back to top' option can be selected to return to the first screen.

    - Selecting Export to PDF will export the results to a PDF file that will reflect the state of the screen as it was when it was last calculated. Screen changes after the last calculation are not reflected in the report.

    - More information about the units displayed can be found on the Register of Regulated Qualifications site (Ofqual record); by selecting the 'Unit Code' (hyperlink) you will be directed to the Ofqual record.

- Select the relevant unit check box. Some of the units are mandatory to achieve the qualification while others are optional.

- Once you have selected your options, select 'Calculate' (known as Rules of Combination, see section 5.3 for more information). The calculate button will re-compute the credits at the various points in the structure of the qualification. You can go back into the group structure to select more options.

5.3   Rules of Combination

- The Rules of Combination is a calculation process to ensure that all combinations are evaluated, especially where the learner has over achieved by having more credits than are required. When this happens the calculation has to choose which of the learner's credits best meets the constraints of the group / qualification. Occasionally it may indicate that the qualifications criteria have not been met when in fact there is a successful outcome.

- The calculation can never indicate that the constraints have been met when they have not.

- There is a hyperlink to access more help by choosing 'The calculation is not working as expected'.

- The option 'Back to List' will return you to the list of selected qualifications.

5.4   Find a QCF Qualification – including your learner's completed QCF Units

- This is the "Find a QCF Qualification" for users with access to the PLR and displaying details of learners who have agreed to share their PLR. Entry to this option is available from within the PLR by selecting the 'Find a QCF Qualification' hyperlink:

    - The learner's details are displayed on screen.

    - The process is very similar to the generic version, but this time any of the qualifications can be selected and used within the search, for a suitable qualification(s). The search will only select qualifications that include 'checked' unit or qualification and the entered values in Keyword, Reference Code, Level, Size, Sector Subject Area and Country (Offered in)

    - As per the generic version you may Export to PDF, which will generate a PDF report detailing the search results and search criteria. This may be viewed, downloaded or

printed. The PDF report will be compatible with the PDF file format (Adobe Acrobat Reader v5.0 and above)

Example

You can enter the word search 'Teach' as a keyword and select the unit 'Preparing to Teach in the Lifelong Learning Sector'. The search will only return qualifications that contain the selected units.

- Select a qualification title (hyperlink) and this link will open a further screen with details about the qualification. This screen is split into two sections;

  - o 'About this Qualification'; name of the owning organisation, Level, Sector Subject Area, Grading Structure, Total Credits, Minimum Credits at Level and Minimum Guided Learning Hours. This information can be hidden by selecting the toggle, '-', and expanded by selecting '+'.

  - o Structure of the qualification; Grouping of Units (refer to section 5.2.1 for more information)

- Both groups (group A which is mandatory, and group B which is optional), will show the minimum required credits, and how many of those credits the learner has already completed. The Qualification Credits line does not include credits until a whole group is achieved.

- You have the option to expand each group, one at a time, or to 'Expand all'. Expand all reveals all units, and flags which have been achieved – these will be greyed out.

- All the other units are available for selection, whether optional or required.

- From the expanded screen, check appropriate units to select, carefully analysing the totals required, for credits and level (if needed) for each group. After choosing the options, the 'Calculate' button is selected.

- A successful outcome for the Rules of Combination will display in green and 'ticks' at the Total Credits and Minimum Credits at Level on the Qualification Credits line plus showing similar successes for each Group included in the calculation.

- This completes a Find a QCF Qualification and Rules of Combination for a learner.

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Appendix A – Types of user in the LRS

In order to protect the LRS and the information on learners, it is your responsibility to make sure users only have the level of access necessary to perform their job. To help identify this level, the LRS provides a number of roles which you can assign to a user; the roles can be 'mixed and matched' according to the level of accessed required. The User roles are:

User Role	Description
LRB Super User	This is the highest level organisation-specific role that you can be given. As a Super User you are responsible for managing all users within your registered organisation.
LRB Batch User	This is a basic role, allowing the user to submit and view the results and progress of batch jobs.
LRB Online User	This is a basic role allowing the user to find, update learner records and register learners. The functionality to 'Find a QCF Qualification' (anonymously) is provided as part of this role.
LRB View Only User	This is the lowest level of access, allowing the user to find learner records and 'Find a QCF Qualification' (anonymously), but not register learners or update learner records.
Learner Record	This role allows the user to view and print the Personal Learning Record (PLR) for any ULN. PLR Users can access a learner's PLR once a 'Find Learner search' has been performed, and can use the 'Find a QCF Qualification' facility using units from the PLR.
Learner Plan User/ Learner Plan View Only	There are two additional roles which have been defined to give access to Learner Plan functionality: **Learner Plan and Learner Plan View Only. These roles are only available to organisations delivering learning to offender learners who have been approved by OLASS**.
VLD Learning Provider	The (Verify Learner Details) role allows users to verify learners using Learner Verification. **This role is only available to providers funded by the Skills Funding Agency**. If you would like more information, please contact the Data Service

Please note: you can only select the user types that you have been granted access to when your organisation was set up as an LRB. For instructions on how to create users, please see section 2.13.

Appendix B – Tips for searching

It is important to search thoroughly for a ULN for your learner before creating one. The LRS is large and continues to grow, so your learner is very likely be one of these. Below is a summary of things to think about when searching for learners:

Name

- **Swap previous name** - try searching using the person's previous family name.

- **Swap Given Name and Family Name** - use their middle name as their Given Name.

- **Prefix/Suffix** - try searching for the person with and without a prefix/suffix on their Family Name or use alternative forms of prefix/suffix, for example, McDonald/MacDonald).

- **Preferred name** - Try searching using their preferred or nickname as the Given Name.

- **Spelling** - Check appropriate spelling of the person's name and consider using phonetic spelling, for example, Czaja as Chiah.

- **Recording** – when you are updating a Family Name copy the previous Family Name into the relevant field.

- **Double barrelled name** - Try including and excluding a hyphen if a double barrelled name.

Date of birth

- **Swap month and day around** (if less than or equal to 12) or try using the first of the month. (01-MM-YYYY).

- When the learner's Date of Birth is not known, as a last resort a DOB is used that they will remember, for example, 1/1/ <choose a year closest to their age>.

Contact information

- Try searching using a previous postcode for the person (or their parent's postcode).

- Try searching using the default postcode ZZ99 9ZZ.

- If you collect the previous postcode for learners you could try uploading a batch file with the previous postcode. Once you have obtained the ULN please update the ULN with the correct postcode.

- If in doubt, use Address matching tools (such as http://postcode.royalmail.com) to produce a full address.

Appendix C – Tips for updating a learner's details

Below is a one page summary when updating learners:

- If you have ULNs for learners, the demographics can be updated using Batch Processing. One mandatory field can be updated per file.

- Prohibited text is not allowed, for example, prisoner. Should the learner's name include prohibited text, please contact the LRS Service Desk. If prohibited a postcode, for example, a prison postcode, please use the learner's last address or the default postcode ZZ99 9ZZ. View a list of published prohibited text.

- Ensure that the learner's details are updated regularly by submitting batches of current learners prior to exam entry.

Contact information

- Always complete the address lines with correct and valid postcode.

- If in doubt, use Address matching tools (such as http://postcode.royalmail.com) to produce a full address.

- Include the email address of the learner - but don't use the word 'none'.

- If you collect the previous postcode for learners you could try uploading a batch file with the previous postcode. Once you have obtained the ULN, please update the Organisation Portal with the correct postcode.

Names

- Always use the learner's legal name and not nicknames as these can be recorded in 'Preferred Given Name'.

- Include the learner's 'Previous Family Name' if known because this can improve search results.

- Add middle names to 'Middle Other Name' using a space between each.

- When updating a Family Name, copy the previous Family Name into 'Previous Family Name'.

Date of birth

- When the learner's Date of Birth is not known, as a last resort use a DoB that they will remember, for example, 1/1/ <choose a year closest to their age>.

School age

- If updating the School at Age 16, enter the proper school name but do not include the word 'School' or 'College'.

Place of birth

- If you have this information, please include it in 'Place of Birth'. This should be the city/town as recorded on their birth certificate.

Appendix D – Create/update learner fields

Field	Entry type	Format/drop down choice
Title	Free Text	
Given Name	Free Text	
Middle Other Name	Free Text	
Family Name	Free Text	
Email		
Gender	Drop Down	Not Known Male Female Not specified
Date of Birth	Drop Down	Date
Last Known Address 1	Free Text	
Last Known Address 2	Free Text	
Last Known Town	Free Text	
Last Known County or City	Free Text	
Last Known Postcode	Free Text	
Date of Address Capture	Drop Down	Date
Previous Family Name	Free Text	
Family Name at 16	Free Text	
Preferred Given Name	Free Text	
Place of Birth	Free Text	
Nationality	Drop Down	Please see Appendix B
School at Age 16	Free Text	
Scottish Candidate Number	Free Text	
Verification Type	Drop Down	Please see Appendix E
Other Verification Description	Free Text	
Ability to Share	Drop Down	Please see Appendix E

Appendix E – Verification Type and Ability to Share

Field	Format/drop down choice
Verification Type	• None Provided • Relationship with School – should be used by schools • Passport • Driving Licence • ID Card or Other Form of National Identification • National Insurance Card • Certificate of Entitlement to Funding • Bank/Credit/Debit Card • Other – if selected the other verification description field needs to be completed
Ability to Share	• FPN Not Seen • FPN Seen and Able to Share Data • FPN Seen and Unable to Share Data

Verification Type

The facility for recording verification is provided by two fields: 'Verification Type' and 'Other Verification Description'. The 'Verification Type' field is a controlled list whilst the 'Other Verification Description' is a free text entry field and is only used in value 'Other' is selected in Verification Type).

The verification type value 'relationship with school' should be used by pre-16 schools, where the identity checking processes typically involves verifying the identity of the learner with the parents or guardians.

Other Verification Description

Where the 'Other' value is assigned to the 'Verification Type' field, the verification document must be issued by a trusted third party. Any documentation that does not conform to the standard verification types or 'other' trusted documentation should result in the learner being registered with the verification type value 'none'.

Examples of trusted document types are:

- Photographic security pass for current place of employment

- Armed Forces service ID

- Re-enrolment of known student (record as 'returning student')

- Exam Certificates

Appendix F – Nationality Codes

	Codes		Country
00	000	000	Not known
AF	AFG	004	Afghanistan
AX	ALA	248	Aland Islands
AL	ALB	008	Albania
DZ	DZA	012	Algeria
AS	ASM	016	American Samoa
AD	AND	020	Andorra
AO	AGO	024	Angola
AI	AIA	660	Anguilla
AQ	ATA	010	Antarctica
AG	ATG	028	Antigua and Barbuda
AR	ARG	032	Argentina
AM	ARM	051	Armenia
AW	ABW	533	Aruba
AU	AUS	036	Australia
AT	AUT	040	Austria
AZ	AZE	031	Azerbaijan
BS	BHS	044	Bahamas
BH	BHR	048	Bahrain
BD	BGD	050	Bangladesh
BB	BRB	052	Barbados
BY	BLR	112	Belarus
BE	BEL	056	Belgium
BZ	BLZ	084	Belize
BJ	BEN	204	Benin
BM	BMU	060	Bermuda
BT	BTN	064	Bhutan
BO	BOL	068	Bolivia
BA	BIH	070	Bosnia and Herzegovina
BW	BWA	072	Botswana
BV	BVT	074	Bouvet Island
BR	BRA	076	Brazil
BQ	ATB	???	British Antarctic Territory
IO	IOT	092	British Indian Ocean Territory
BN	BRN	096	Brunei
BG	BGR	100	Bulgaria
BF	BFA	854	Burkina Faso
BU	BUR	104	Burma
BI	BDI	108	Burundi
BY	BYS	112	Byelorussian SSR
KH	KHM	116	Cambodia
CM	CMR	120	Cameroon
CA	CAN	124	Canada
CT	CTE	128	Canton and Enderbury Islands
CV	CPV	132	Cape Verde
KY	CYM	136	Cayman Islands

CF	CAF	140	Central African Republic
TD	TCD	148	Chad
CL	CHL	152	Chile
CN	CHN	156	China
CX	CXR	162	Christmas Island
CC	CCK	166	Cocos (Keeling) Islands
CO	COL	170	Colombia
KM	COM	174	Comoros
CG	COG	178	Congo
CD	COD	180	Congo Democratic Republic
CK	COK	184	Cook Islands
CR	CRI	188	Costa Rica
HR	HRV	191	Croatia
CU	CUB	192	Cuba,
CY	CYP	196	Cyprus
CZ	CZE	203	Czech Republic
CS	CSK	200	Czechoslovakia
DY	DHY	204	Dahomey
YD	YMD	720	Democratic Yemen
DK	DNK	208	Denmark
DJ	DJI	262	Djibouti
DM	DMA	212	Dominica
DO	DOM	214	Dominican Republic
NQ	ATN	216	Dronning Maud Land
TP	TMP	626	East Timor
EC	ECU	218	Ecuador
EG	EGY	818	Egypt
SV	SLV	222	El Salvador
GQ	GNQ	226	Equatorial Guinea
ER	ERI	232	Eritrea
EE	EST	233	Estonia
ET	ETH	231	Ethiopia
ET	ETH	230	Ethiopia
FK	FLK	238	Falkland Islands
FO	FRO	234	Faroe Islands
DE	DEU	280	Federal Republic of Germany
FJ	FJI	242	Fiji
FI	FIN	246	Finland
FI	FIN	246	Finland
FR	FRA	250	France
GF	GUF	254	French Guiana
PF	PYF	258	French Polynesia
TF	ATF	260	French Southern Territories
AI	AFI	262	French Territory of Afars and Issas
GA	GAB	266	Gabon
GM	GMB	270	Gambia The
GE	GEO	268	Georgia
DD	DDR	278	German Democratic Republic
DE	DEU	276	Germany

NOT PROTECTIVELY MARKED

GH	GHA	288	Ghana
GI	GIB	292	Gibraltar
GE	GEL	???	Gilbert and Ellice Islands
GE	GEL	296	Gilbert Islands
GR	GRC	300	Greece
GL	GRL	304	Greenland
GD	GRD	308	Grenada
GP	GLP	312	Guadeloupe
GU	GUM	316	Guam
GT	GTM	320	Guatemala
GG	GGY	831	Guernsey
GN	GIN	324	Guinea
GW	GNB	624	Guinea-Bissau
GY	GUY	328	Guyana
HT	HTI	332	Haiti
HM	HMD	334	Heard Island and McDonald Islands
VA	VAT	336	Holy See
HN	HND	340	Honduras
HK	HKG	344	Hong Kong
HU	HUN	348	Hungary
IS	ISL	352	Iceland
IN	IND	356	India
ID	IDN	360	Indonesia
IR	IRN	364	Iran
IQ	IRQ	368	Iraq
IE	IRL	372	Ireland
IM	IMN	833	Isle of Man
IL	ISR	376	Israel
IT	ITA	380	Italy
CI	CIV	384	Ivory Coast
JM	JAM	388	Jamaica
JP	JPN	392	Japan
JE	JEY	832	Jersey
JT	JTN	396	Johnston Atoll
JO	JOR	400	Jordan
KH	KHM	116	Kampuchea
KZ	KAZ	398	Kazakhstan
KE	KEN	404	Kenya
KI	KIR	296	Kiribati
KP	PRK	408	Korea North
KR	KOR	410	Korea South
KW	KWT	414	Kuwait
KG	KGZ	417	Kyrgyzstan
LA	LAO	418	Laos
LV	LVA	428	Latvia
LB	LBN	422	Lebanon
LS	LSO	426	Lesotho
LR	LBR	430	Liberia
LY	LBY	434	Libya

LI	LIE	438	Liechtenstein
LT	LTU	440	Lithuania
LU	LUX	442	Luxembourg
MO	MAC	446	Macao
MK	MKD	807	Macedonia
MG	MDG	450	Madagascar
MW	MWI	454	Malawi
MY	MYS	458	Malaysia
MV	MDV	462	Maldives
ML	MLI	466	Mali
MT	MLT	470	Malta
MH	MHL	584	Marshall Islands
MQ	MTQ	474	Martinique
MR	MRT	478	Mauritania
MU	MUS	480	Mauritius
YT	MYT	175	Mayotte
MX	MEX	484	Mexico
FM	FSM	583	Micronesia
MI	MID	488	Midway Islands
MD	MDA	498	Moldova
MC	MCO	492	Monaco
MN	MNG	496	Mongolia
ME	MNE	499	Montenegro
MS	MSR	500	Montserrat
MA	MAR	504	Morocco
MZ	MOZ	508	Mozambique
MM	MMR	104	Myanmar
NA	NAM	516	Namibia
NR	NRU	520	Nauru
NP	NPL	524	Nepal
NL	NLD	528	Netherlands
AN	ANT	530	Netherlands Antilles
AN	ANT	532	Netherlands Antilles
NC	NCL	540	New Caledonia
NH	NHB	548	New Hebrides
NZ	NZL	554	New Zealand
NI	NIC	558	Nicaragua
NE	NER	562	Niger
NG	NGA	566	Nigeria
NU	NIU	570	Niue
NF	NFK	574	Norfolk Island
MP	MNP	580	Northern Mariana Islands
NO	NOR	578	Norway
OM	OMN	512	Oman
PK	PAK	586	Pakistan
PW	PLW	585	Palau
PS	PSE	275	Palestine
PA	PAN	591	Panama
PZ	PCZ	???	Panama Canal Zone

PG	PNG	598	Papua New Guinea
PY	PRY	600	Paraguay
PE	PER	604	Peru
PH	PHL	608	Philippines
PN	PCN	612	Pitcairn
PL	POL	616	Poland
PT	PRT	620	Portugal
PR	PRI	630	Puerto Rico
QA	QAT	634	Qatar
RE	REU	638	Reunion
RO	ROU	642	Romania
RU	RUS	643	Russia
RW	RWA	646	Rwanda
SH	SHN	654	Saint Helena
KN	KNA	659	Saint Kitts and Nevis
KN	KNA	658	Saint Kitts-Nevis-Anguilla
LC	LCA	662	Saint Lucia
PM	SPM	666	Saint Pierre and Miquelon
VC	VCT	670	Saint Vincent and the Grenadines
WS	WSM	882	Samoa
SM	SMR	674	San Marino
ST	STP	678	Sao Tome and Principe
SA	SAU	682	Saudi Arabia
SN	SEN	686	Senegal
RS	SRB	688	Serbia
CS	SCG	891	Serbia and Montenegro
SC	SYC	690	Seychelles
SL	SLE	694	Sierra Leone
SK	SKM	???	Sikkim
SG	SGP	702	Singapore
SK	SVK	703	Slovakia
SI	SVN	705	Slovenia
SB	SLB	090	Solomon Islands
SO	SOM	706	Somalia
ZA	ZAF	710	South Africa
GS	SGS	239	South Georgia
VD	VDR	???	South Vietnam
RH	RHO	'716	Southern Rhodesia
ES	ESP	724	Spain
EH	ESH	732	Spanish Sahara
LK	LKA	144	Sri Lanka
SD	SDN	736	Sudan
SR	SUR	740	Suriname
SJ	SJM	744	Svalbard and Jan Mayen
SZ	SWZ	748	Swaziland
SE	SWE	752	Sweden
CH	CHE	756	Switzerland
SY	SYR	760	Syria
TW	TWN	158	Taiwan

TJ	TJK	762	Tajikistan
TZ	TZA	834	Tanzania
TH	THA	764	Thailand
TL	TLS	626	Timor-Leste
TG	TGO	768	Togo
TK	TKL	772	Tokelau
TO	TON	776	Tonga
TT	TTO	780	Trinidad and Tobago
PC	PCI	582	Trust Territory of the Pacific Islands
TN	TUN	788	Tunisia
TR	TUR	792	Turkey
TM	TKM	795	Turkmenistan
TC	TCA	796	Turks and Caicos Islands
TV	TUV	798	Tuvalu
UG	UGA	800	Uganda
UA	UKR	804	Ukraine
UA	UKR	804	Ukrainian SSR
SU	SUN	810	Union of Soviet Socialist Republics
AE	ARE	784	United Arab Emirates
GB	GBR	826	United Kingdom
US	USA	840	United States
UM	UMI	581	United States Minor Outlying Islands
PU	PUS	849	United States Miscellaneous Pacific Islands
HV	HVO	854	Upper Volta
UY	URY	858	Uruguay
UZ	UZB	860	Uzbekistan
VU	VUT	548	Vanuatu
VA	VAT	336	Vatican City State
VE	VEN	862	Venezuela
VN	VNM	704	Vietnam
VG	VGB	092	Virgin Islands British
VI	VIR	850	Virgin Islands U.S
WK	WAK	872	Wake Island
WF	WLF	876	Wallis and Futuna
EH	ESH	732	Western Sahara
YE	YEM	887	Yemen
YE	YEM	886	Yemen
YU	YUG	891	Yugoslavia
ZR	ZAR	180	Zaire
ZM	ZMB	894	Zambia
ZW	ZWE	716	Zimbabwe

Appendix G – Return Codes RC001-RC011

RC001 to RC005 are not classed as exceptions', although some action from you may be needed.

Code	Description	Information or Exception	Learner Supplied	
			With ULN	**Without ULN**
RC001	Linked master ULN returned	Information	✓	✓
RC002	ULN confirmed and updated	Information	✓	
RC003	ULN confirmed	Information	✓	✓
RC004	No match – new ULN created. **Note:** newly created ULN is returned in the ULN data column	Information		✓
RC005	No match – no ULN created	Information		✓

RC006 to RC011 return codes all represent 'exceptions' which you need to address:

Return codes and description	Explanation and possible resolution	Action required
RC006 Insufficient data to create a ULN	Failed to create a ULN one or more of the mandatory fields have not been supplied particularly Verification Type and/or Ability to Share not supplied.	Check the batch file, one or more of the mandatory fields have not been populated: • Given Name • Family Name • Date of Birth • Gender • Postcode • Verification Type • Ability to Share You need to re-submit your batch file
RC007 Possible match	Failed to find/create a ULN – the LRS found up to 10 possible matches for the learner.	Refer to Appendix B
RC008 Too many matches	Failed to find/create a ULN - the LRS found more than 10 possible matches.	Try refining your search – do you have any other details you can use i.e. previous family name, preferred name
RC009 No ULN match	The ULN supplied in your batch file has not been	Check that the ULN you entered has 10 digits and that

	recognised.	the Given Name, Family Name, Date of Birth, Gender and Postcode match this ULN.
RC010 Null values	One or more of the mandatory fields is blank apart from Given Name or Family Name	Check the mandatory fields.
RC011 Incorrect format	The learner record submitted in the batch file contains data which does not meet LRS formats. This could be: • Either the Family Name and/or Given Name are incomplete or contain an invalid name. • Prohibited text or postcode has been entered into any of the fields. • ULN already exists and file is attempting to update Verification Type being updated to 999 = Other and Verification Description field is blank. • Date of birth value means learner is less than 11 years old or more than 110 years old. • ULN already exists and Ability to Share is being set back to FPN Not Seen or when learner has previously set this field themselves (set their preference). • There is a double space in the Postcode field.	

Appendix H – Glossary

Abbreviation/Term	Explanation
AO	Awarding Organisation
CRB	Check Criminal Records Bureau Check
CSV / XML	File formats – Comma Separated Values or Extensible Markup Language
Family Name	The surname or family name of the learner
FPN	Fair Processing Notice – summary of the way data may be shared
Given Name	The learner's legal forename or the first name
ICO	Information Commissioners Office
ILR	Individualised Learner Record
LAD	Learning Aims Database
LR	Learner Register
LRB(s)	Learner Registration Body/Bodies
LRS	Learning Records Service (previously MIAP)
MIAP	Managing Information Across Partners
MIS	Management Information System
NPD	National Pupil Database
NQF	National Qualifications Framework
Ofqual	Office of Qualifications and Examinations Regulation
PLR	Personal Learning Record
QCF	Qualification and Credit Framework
RoC	Rules of Combination
RtA	Routes to Achievement
Super User	Responsible for managing users in an organisation
UKPRN	UK Provider Reference Number
UKRLP	UK Register of Learning Providers
ULN	Unique Learner Number